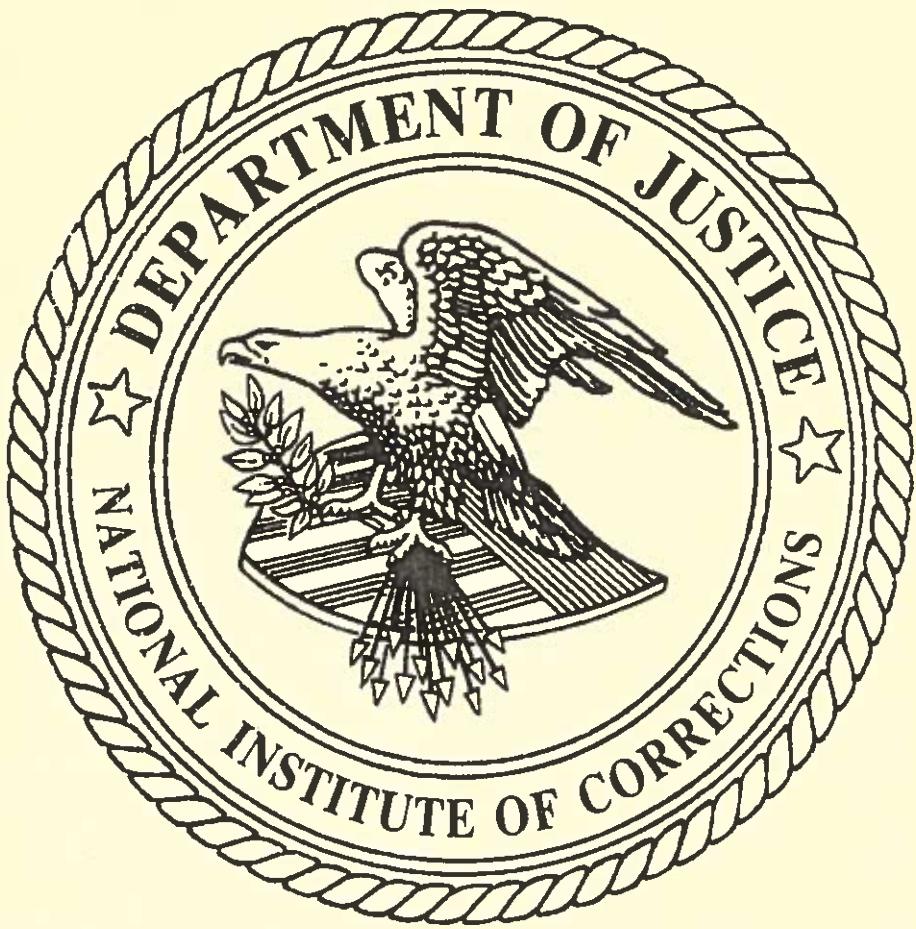


**U.S. Department of Justice  
National Institute of Corrections**

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**Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions  
03-S8002  
Lesson Plans**

# ORIGINAL: NOT TO LEAVE BUILDING

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**NATIONAL INSTITUTE OF CORRECTIONS**

**COURSE TITLE: Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions**

**CORE MODULES:** (Suggested Order of Delivery)

- Paradigms and Social Learning - 4 hours
- Overview of "What Works" Research - 2 hours
- Adolescent Development - 1.5 hours
- Criminal Thinking and Strategies for Change - 4 hours
- Classification and Risk Needs Assessment - 4 hours
- Intervention and Programming Issues - 3 hours
- Aftercare - 6 hours

**ELECTIVE MODULES** (Alphabetical Order)

- Getting Started - 3 hours
- Health and Nutritional Needs - 1 hour
- Legal Issues - 2 hours
- Mental Health Issues - 1.5 hours
- Moving From Planning to Implementation - 4 hours
- Physical Plant - 4 hours
- Physical, Sexual and Emotional Abuse - 2 hours
- Policy and Procedure Development - 4 hours
- Program Assessment - 3 hours
- Recreation - 2 hours
- Security and Scheduling - 4 hours
- Selection, Training and Supervision of Staff - 4 hours
- Suicide Prevention - 2 hours

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# **Youthful Offenders in Adult Corrections: A Systemic Approach Using Effective Interventions**

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- Tab B Presentation slides
- Tab C Participant workbook pages

#### **Section 3 Adolescent Development**

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**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** Paradigms and Social Learning Theory

**WRITTEN BY:** Ray Ferns and Bill Sturgeon, 2002

**TIME FRAME:** 4 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Define paradigms and describe how they apply to working with youthful offenders
- Describe the five basic tenets of Social Learning Theory.
- Describe the influence of attitudes and beliefs on individual behavior.
- Assess the amount of time spent on risk control and risk reduction strategies and develop a plan to use a balanced approach.
- Describe the connection between paradigms, Social Learning Theory and using "What Works" practices with youthful offenders.

AUDIENCE	EQUIPMENT/SUPPLIES NEEDED
Groups of 18 - 30 Correctional Professionals who work with young offenders	<ul style="list-style-type: none"><li>• In-focus machine, Computer</li><li>• Chart stands and pads, markers</li><li>• Participant workbook</li><li>• Diskette with slide show</li><li>• Television and VCR</li><li>• Video - <i>The Business of Paradigms</i></li></ul>
SPACE REQUIREMENTS	Classroom set-up in pods: 5 participants at each table

**REFERENCES**

- Bandura, Albert, Ph. D., *Social Learning Theory*, 1977 and 1993.
- Barker, Joel. *Future Edge: Discovering the New Paradigms of Success*, William Morrow & Company, 1992.
- Barker, Joel. *Paradigms: The Business of Discovering the Future*, Harper Business, 1993.

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **Slide 1 – Paradigms and Social Learning Theory**

### **ANTICIPATORY SET**

*Have you ever had the experience of attending a movie with someone and you loved it and they hated it? Both of you saw the same movie. Why might one person really enjoy or like it and another not?*

#### **Possible responses**

People see things differently. People have different likes and dislikes.

*Sure, people see things differently; they have different ways of viewing the same reality.*

*Why might this occur?*

#### **Possible responses:**

We are all unique. We are brought up in different ways, in different environments.

*This phenomenon, where each person views or experiences an event in a unique way is sometimes called a paradigm. Everyone we work with has their own set of paradigms that affect what they say and do.*

## **Slide 2 - Definition of Paradigms**

*Joel Barker, a futurist who has spent years exploring the concept of paradigms defines it as follows.*

*A set of rules and regulations, written and unwritten, that does two things:*

- 1) Establishes or defines boundaries
- 2) Tells you how to behave inside the boundaries in order to be successful.

*In this module we will examine the concept of paradigms and a complementary theory regarding human behavior called Social Learning Theory. Our specific objectives are:*

### **Slides 3 and 4 - Performance Objectives**

*To further explore the concept of paradigms, we are going to watch a video, "The Business of Paradigms." Since one key purpose of the video is to help you explore new ways of looking at things, let's take a minute to prepare yourself for the information it offers. Close your eyes and inhale deeply. Now exhale clearing out your thoughts about what else you may need to be doing. Inhale again, slowly. Now exhale. Open your eyes and I will start the video.*

## INSTRUCTIONAL INPUT

### Trainer Note

Show the 45-minute video.

Debrief the video using the following questions:

- Which ideas in the video were new for you?
- What did you learn about paradigms?
- How can you use what you have learned about paradigms in your work with youthful offenders?

*"Paradigm" is another term used to describe why it is important for us to filter information and to construct a reality that we are comfortable living in. The importance of understanding this is that because of social learning experiences we construct reality differently. This results in each of us having our own unique paradigms. These paradigms form very early in our development and we may operate from paradigms we are not aware of.*

*To effect long term change in behavior, in how we respond to life, in how we make order out of our experiences starts with developing the skill to reflect on our thinking and our paradigms. Then we determine if this way of thinking, using these operational paradigms, is getting us what we want. The next skill is changing them (in cases where they are not getting us what we want.) Then we must develop the skills for not allowing ourselves to fall back into old paradigms under stress. When offenders "get" this process they are able to make significant changes in their lives. The same is true for all of us.*

*Next, we will delve deeper into this idea of paradigms by looking at a complementary theory, "Social Learning."*

## Slide 5 - Social Learning Theory

### Social Learning Theory (SLT)

*This theory comes from the work of Albert Bandura, Ph.D. a professor at Stanford University. Albert Bandura first began publishing his work on SLT in the early 1960's. Most of his research and the development of this theory came from Dr. Bandura's observations of children and the way children appeared to learn.*

*Social Learning Theory has been applied extensively to the understanding of aggression (Bandura 1973) and psychological disorders, particularly in the context of behavioral modification. It is also the theoretical foundation for the technique of behavior modeling which is widely used in training programs. In 1986, Bandura wrote a book, "Social Foundation of Thought and Action, A*

*Social Cognitive Theory.” In recent years, Bandura has focused his work on the concept of self-efficacy in a variety of contexts (e.g., Bandura 1993).*

*Social Learning Theory is also cited as the theoretical foundation for the body of research commonly referred to as, “what works” in reducing criminal risk. Later in this training we will be going into some more detail about the “what works” research and how that research applies to how we interact with youthful offenders and the types of programming activities that are the most likely to be successful with youthful offenders.*

## **INSTRUCTIONAL INPUT**

### **Slide 6 - Triangulation**

*According to Social Learning Theory, individual behavior can be best explained by the dynamic interaction between three forces, environment, cognitive structure, and behavior.*

#### **Trainer Note**

Ask the participants to take out a blank piece of paper. Prepare a chart page with the following information:

1. Draw a line down the center of the piece of paper.
2. At the top of the left hand column, write, “*What I need to do to get the most from a training or learning experience.*”
3. List five things you need to do, to get the most from the training.

Provide the following instructions to the participants:

1. *Draw a line down the center of the piece of paper.*
2. *At the top of the left hand column, write, “What I need to do to get the most from a training, or learning experience.”*
3. *List four or five things you need to do, to get the most from the training.* (Allow 2 or 3 minutes.)
4. *Put that list away for a moment and imagine that you just received word that a loved one has been injured in a car accident and you are needed at home right away.*
5. *Now identify which item(s) on your list seems more important than your need to make arrangements to get home.*

#### **Debrief**

*What external factors in the exercise influenced your thinking?*

### **Anticipated response**

The telephone call from home influenced my decision.

### **Key points:**

- *So the call from home, an external environment change, caused you to think differently.*
- *And because your thinking, your cognitive structure was influenced by your environment, you would likely act differently than what you just wrote down.*
- *See how a change in your environment can cause you to think about situations differently which can cause you to act differently? That is what we mean by a triadic, dynamic influence.*

*What are some additional examples of how your environment might cause you to change your thinking and behavior?*

### **Slide 7, 8, 9- Tenets of Social Learning Theory**

#### **Trainer Note**

Review each tenet as described in the slides. Give an example in corrections of each tenet and how that tenet relates to the supervision and management of youthful offenders.

- Response consequences (rewards or punishments) influence the likelihood that a person will act in a certain way in a given situation.
- Humans can learn by observing others.
- Individuals are most likely to model behavior observed by others they identify with.
- Personality development occurs within a context of social experiences and social interactions.
- The nature of these interactions helps determine a *cognitive structure* of sorts, which includes attitudes, beliefs, values and principles.
- While this structure is very powerful in determining behavior, it is often not observable.
- Early childhood social experiences heavily influence these structures.
- Triangulation of factors, cognitive structures and environment are dynamic, each having potential influence on the other.
- Conduct or behavior is a product of the interaction within this structure.

## Slide 10- Offender Risk Management

### Trainer Note

Here are the key points to emphasize from this slide:

- *Risk control and risk reducing strategies to manage offenders are a compatible package. One approach does not have to take precedence over the other. Each is viable and valuable.*
- *If we understand and apply social learning to correctional practices then we must pay attention to the environment we help establish that supports change inside correctional institutions.*
- *If the thinking that supports the criminal behavior does not change, neither will the criminal behavior.*
- *People will sometimes modify their behavior to avoid a consequence, but their thinking has not really changed. Once the threat of the consequence is removed the old behavior comes back because the thinking never changed.*

### Trainer Note

For this exercise:

1. Break the participants into small groups of 5 or 6 participants.
2. Ask each group, as a group to answer the following questions (which are in their workbook).

#### Balancing Risk Control and Risk Reduction Strategies

- At your facility, how much of your daily effort (10%, 20%, 30%) goes into trying to understand and influence the thinking of young offenders?
- What techniques do you use to understand the thinking of the population you work with?
- How much of your daily efforts go into responding or managing youthful offender behavior?
- What techniques do you use to get young offenders to change their behavior?
- Going back to the Iceberg, at your facility, where do you spend most of your time and energy, in risk control strategies or risk reduction strategies?
- How can you better balance your time between risk control and risk reduction strategies?

## Slide 11 – Offender Risk Management

### Trainer Note

Debrief by asking several participants to share their thoughts. Then, make the following key points while showing this slide.

- *Risk control and Risk reduction are a package-you need to be skilled and good at both.*
- *Appropriate pro-social modeling of staff in their interactions with youth is critical in supporting change with young offenders. In a minute we will talk about this in more detail, examining how each of you can be an effective “agent of change.”*

### **Relationship Between Paradigms and Social Learning Theory**

*As you have already observed, paradigms serve to define the context and rules about a specific area of study, (laws of physics). Paradigms can be thought of as specific relationships in science and social science that establish and define boundaries and tell us how to behave within those boundaries. Paradigms become limiting when the “rules” or “boundaries” inhibit the possibilities of interactions or relationships that may exist outside of the known area of study. “Today’s problems can not be solved with the same thinking that created them. Solving such problems requires thinking outside of the existing paradigms.”*

*As we learned, Social Learning Theory is a specific theory of human behavior. This theory suggests that, cognitive structures (our unique, individual thoughts, feelings, attitudes and beliefs), environment and behavior are dynamic interacting foundational factors in human behavior. To become better at understanding and predicting human behavior we must understand individual attitudes, beliefs, patterns of thoughts and feeling, the environment in which these structures interact, and human behavior.*

*Paradigms are then, a subset or part of our cognitive structures. To become better at understanding and changing our own behavior, and the behavior of others, we must be willing to look at our existing paradigms, to think about our thinking and to change the rules, change our thinking when needed.*

*Let's look at a possible existing paradigm in corrections:*

#### **Trainer Note**

Write the following example on chart paper:

*“If you make the consequence bad enough it will alter the behavior.”*

*Consider this statement, “If you make the consequence bad enough it will alter the behavior.” Take a few minutes to answer the questions in your workbook.*

## Paradigms in Corrections

*"If you make the consequence bad enough it will alter the behavior."*

- Describe an example of where you have seen this "rule" or paradigm in corrections.
- Do you have policies and practices within your agency based on this paradigm?
- Is it the paradigm true? Why or why not?
- Does making the consequence worse actually increase the likelihood of the behavior reoccurring?
- Does that ever happen in corrections? Describe an example.
- How does this paradigm impact your ability to affect positive change in the youthful offender population?

### **Trainer Note**

Debrief by having the small groups share their responses.

*The point is to ask you to be open to new ways of thinking, to new paradigms as we look together at all of the things to consider as you look at how you want to develop your Youthful Offender Program.*

## **CLOSURE AND EVALUATION**

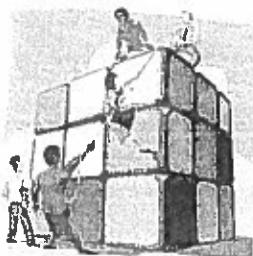
*In this training program you will learn that research shows that programs that work with offenders are based on social learning principles and seek to use those principles to change the way the offender thinks and acts.*

*The authority represented by correctional staff, including uniformed officers, is a positive enhancement, not a detriment, to the credibility and effectiveness of these programs (usually referred to as cognitive/behavioral social-learning programs).*

*People with good interpersonal skills, but no clinical training, can be trained to deliver and help offenders to benefit from cognitive social learning programs. The crucial element is consistent modeling by staff members who practice and believe in the principles they are espousing. When staff participate in the principles and practices of the correctional programs, they are less likely to burn out, lose job satisfaction, or use authority inappropriately.*

*If you are successful in creating a climate where you support one another, where you are operating from the same theoretical platform in managing and delivering services, you can create a powerful correctional environment supportive of change.*

## **Paradigms and Social Learning Theory**



### **Paradigms - Definition**

- Set of rules, written and unwritten, that does two things:
  - 1) Establishes or defines boundaries
  - 2) Tells you how to behave inside the boundaries in order to be successful

2

### **Performance Objectives**

- Define paradigms and describe how they apply to working with youthful offenders.
- Describe the five basic tenets of Social Learning Theory.
- Describe the influence of attitudes and beliefs on individual behavior.

3

### **Performance Objectives**

- Assess the amount of time spent on risk control/risk reduction strategies and develop a plan to use a balanced approach.
- Describe the connection between paradigms, Social Learning Theory, and using "What Works" practices with youthful offenders.

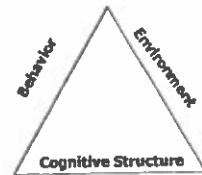
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## Social Learning Theory

- From the work of Albert Bandura, Ph.D.
- Cited as the theoretical foundation for the body of research referred to as, "what works" in reducing criminal risk

## SLT-Triangulation Effect

- A triangulation of dynamic factors, behavior, environment and "cognitive structures" each having potential influence over the other.



## Tenets of Social Learning Theory

(A. Bandura, *Social Learning Theory*, 1977)

- Response consequences (rewards or punishments) influence the likelihood that a person will act in a certain way in a given situation.
- Humans can learn by observing others.
- Individuals are most likely to model behavior observed by others they identify with.

## Social Learning Theory-

Continued

- Personality development occurs within a context of social experiences and social interactions.
- The nature of these interactions helps determine a *cognitive structure* of sorts, which includes attitudes, beliefs, values and principles.
- While this structure is very powerful in determining behavior, it is often not observable.

## Social Learning Theory-Continued

- Early childhood social experiences heavily influence these structures.
- Triangulation of factors, cognitive structures and environment are dynamic, each having potential influence on the other.
- Conduct or behavior is a product of the interaction within this structure.

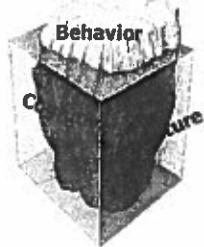
## Offender Risk Management

### Risk Control

- Punishments
- External focus
- Sanctions
- Conditions
- Compliance

### Skills

- Clear directives; Swift application; Firm, Fair, Consistent



*If the thinking  
doesn't change,  
the behavior never  
will.*

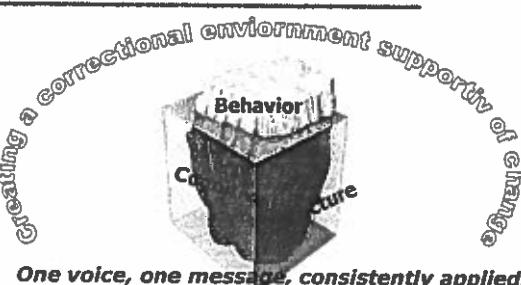
### Risk Reduction

- Internal focus
- Self-reflection
- Self-regulation
- Personal choice

### Skills

- Express empathy
- Roll with resistance
- Reflective listening
- Develop discrepancies

## Offender Risk Management





# **Performance Objectives**

## **PARADIGMS AND SOCIAL LEARNING THEORY**

As a result of this module you will be able to:

- Define paradigms and describe how they apply to working with youthful offenders.
- Describe the five basic tenets of Social Learning Theory.
- Describe the influence of attitudes and beliefs on individual behavior.
- Assess the amount of time you spend on risk control and risk reduction strategies and develop a plan to use a balanced approach.
- Describe the connection between paradigms, Social Learning Theory and using “What Works” practices with youthful offenders.

## Balancing Risk Control and Risk Reduction Strategies

- At your facility, how much of your daily effort (10%, 20%, 30%) goes into trying to understand and influence the thinking of young offenders?

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- What techniques do you use to understand the thinking of the population you work with?

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- How much of your daily efforts go into responding or managing youthful offender behavior?

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- What techniques do you use to get young offenders to change their behavior?

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- Going back to the Iceberg, at your facility, where do you spend most of your time and energy, in risk control strategies or risk reduction strategies?

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- How can you better balance your time between risk control and risk reduction strategies?

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## Paradigms in Corrections

*If you make the consequence bad enough it will alter the behavior.*

- Describe an example of where you have seen this “rule” or paradigm in corrections.

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- Do you have policies and practices within your agency based on this paradigm?

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- Is it the paradigm true? Why or why not?

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- Does making the consequence worse actually increase the likelihood of the behavior reoccurring?

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- Does that ever happen in corrections? Describe an example.

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# *Offender Risk Management*

## Risk Control: Static risk focused

- External focus
- Punishments
- Sanctions
- Conditions/compliance

## Skills set principles

- Clear directives
- Swift application
- Fair, firm and consistent

Connecting the principles of  
*Risk, Needs, and Responsivity*  
In the design and delivery of  
correctional services

Above the surface –  
**BEHAVIOR**

Beneath the surface is a  
*cognitive structure* made up of  
**THINKING – FEELING**  
**ATTITUDES/ BELIEFS**  
**CORE BELIEFS**

## Risk Reduction: Dynamic risk focused

- Internal focus
- Self reflection
- Self adjustment
- Personal choice

## Skill set principles:

- Express empathy
- Develop discrepancy
- Avoid argumentation
- Roll with resistance
- Support Self-efficacy

## Tenets of Social Learning Theory:

1. Response Consequence (rewards and punishments) influence behavior.
2. Humans can learn from observing others, (vicarious learning).
3. Individuals are most likely to model behavior observed by others they identify with.
4. Observable learning occurs early in life.

**AS LONG AS THE STRUCTURE  
BELOW THE SURFACE NEVER  
CHANGES – THE BEHAVIORS  
WILL NEVER CHANGE**

**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** OVERVIEW OF "WHAT WORKS" RESEARCH

**WRITTEN BY:** Edward Latessa, Ph. D.

**TIME FRAME:** 2 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Describe the theory behind the "what works" research.
- List major and minor risk and need factors.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **ANTICIPATORY SET**

### **Slide 1 - Overview of What Works**

#### **What Works Research**

*In this module we will explore a body of research called, "What Works" and examine how this applies to your work with Youthful Offenders.*

## **INSTRUCTIONAL INPUT**

### **Review of Research on Reducing Recidivism**

*The problem with research is that you can find a study to support just about anything you want. Rather than look at one study in isolation, it is more useful to examine a body of knowledge. Lets look at research in two areas:*

1. *Correctional effectiveness*
2. *Predictors of offending*

*Before we examine the research on recidivism, there are two important terms that we need to define:*

1. *Evidence*
2. *Risk*

### **Slide 2 - Research Terms**

#### **Evidence**

*When a judge hears the term evidence he or she thinks of something different than a researcher. Evidence here refers to results from controlled studies. In other words, if 100 offenders receive a program and 100 don't, and at the end of a period of time a similar number have "recidivated," we would say that there is no evidence that the program had any effect.*

#### **Risk**

*The same is true with the term risk. When the public hears the term risk they often associate it with seriousness of crime. When we use the term we are referring to risk of re-offending. Higher risk offenders have higher probability of re-offending than low risk offenders.*

*What does the research tell us about recidivism?*

### **Slide 3 - How is research reviewed?**

*There are three ways that research is reviewed. The first and most common is the literature review. Using this approach, the researcher reads the studies that are available on a topic and then summarizes what they think the major conclusions are from that body of research. The second approach is called ballot counting. With this technique, the researcher gathers the research studies on a particular topic and then "counts" the number of studies that show or don't show some effect. This is the approach that Martinson used to arrive at his now famous conclusion that "nothing works". He gathered 231 studies on correctional intervention, divided them into topics (e.g. education programs, work programs, etc.) and then determined that there were more studies that showed no effect than those that did. Thus his conclusion was based on a tallying of the number of studies that showed no effect (by the way, 48% of the studies he reviewed showed a positive effect).*

*The third approach that has become increasingly popular with researchers is called meta-analysis. This approach uses a quantitative synthesis of research findings in a body of literature. Meta analysis computes the "effect size" between the treatment and outcome variable--in our case, recidivism. The effect size can be negative (treatment increases recidivism), zero, or positive (treatment reduces recidivism).*

### **Slide 4 - Summary of Research Reviews**

*Not one review of research has found consistent evidence that punishment can reduce recidivism. On the other hand, 40-60% of reviews of correctional treatment show reduced recidivism rates.*

*Let's review some of the studies that have been done.*

### **Slide 5 - Criminal Sanctions vs. Treatment**

#### **Trainer Note**

Sometimes participants have difficulty with accepting the information on the ineffectiveness of boot camps. Try to focus on the difference between boot camp and the entire military experience. People in the military continue to form relationships well after boot camp, therefore that pro-social behavior continues to be supported in the military family well after the boot camp experience. Many programs are still using the military structure of boot camps to deliver programs and treatment that get at criminogenic need areas. The key to their effectiveness is inclusion of programs and treatment that targets the criminogenic need area.

*Slide 5 shows the results from a meta analysis conducted by Andrews. The N refers to the number of studies. Thirty studies of sanctions without treatment (e.g. jail time, electronic monitoring, intensive supervision, etc.) show an average effect size of -.07. In other words, recidivism rates increased. For 124 studies of treatment, the average effect size was .15; a reduction in recidivism.*

*Of course, what we are really interested in is which interventions and programs produce the greatest reductions in recidivism.*

### **Slide 6 - Behavioral vs. Non-Behavioral**

*Slide 6 shows what happens when we divide studies into three categories:*

1. *Criminal sanctions*
2. *Non-behavioral interventions*
3. *Behavioral interventions.*

*These results show that we get the greatest effect size for the behavioral strategies. Remember that these are average effect sizes. Some programs produce even greater effects. Other studies have shown similar results.*

### **Slide 7 - 8 - What Doesn't Work**

#### **Trainer Note**

Slides 7 and 8 are based on data from a recent study conducted for the National Institute of Justice by University of Maryland researchers. This was a review of the available research (not a meta analysis). The presenter can go through some of the findings from this overhead and tell the audience that when the workshop is completed they should have a better idea as to WHY many of these interventions did not work.

The purpose of these studies is to show the audience that there is a great deal of research, which forms the basis of "effective interventions." That this research has been conducted over time, across programs, jurisdictions, etc.

Slides 9 - 10 show the results from an analysis of juvenile programs by Lipsey and Wilson.

### **Slides 11 - 17 - Most Effective Interventions for Serious Juvenile Offenders**

*Another example can be seen in Slides 11 - 17. Researchers in the State of Washington recently did this study. They wanted to examine the effectiveness of the programs and interventions used in Washington. They conducted a meta-analysis on the available research. This slide (17) shows the effect size of several treatment family or cognitive based interventions compared to juvenile boot*

camps. As we can see from this study, the treatment programs resulted in significant reductions in recidivism while juvenile boot camps on average increased recidivism rates by 11 percent.

### **Slide 18 - Punishing Smarter Programs**

*Finally, Slide 18 shows a summary of punishing smarter programs on recidivism.*

*One of the limitations of this research however, is that it tells us little about the "quality" of the programs that were studied. In other words, in some instances you might have a program that should work but doesn't because it does not have any program integrity (e.g. not well implemented, inadequate funding, staff not well trained, etc.). These are some of the issues that are covered in this curriculum.*

#### **Trainer Notes**

Don't overdo this section. Most participants are not researchers, nor do they want to become one. The objective is to show them that there is empirical evidence to support what they are about to learn.

## **Overview of Research on Predictors of Criminal and Delinquent Behavior**

### **Predictors**

*The third piece of the research puzzle centers on the predictors of criminal behavior. Take a minute at your tables to discuss the following question: "What do think are some of the predictors of criminal behavior?"*

*What did you come up with?*

#### **Possible responses:**

Age, race, socioeconomic status, sex.

*Those are some great responses. Trying to determine predictors of criminal behavior is not new. Criminologists have examined predictors since the science of criminology began.*

*That is what the third piece of the research puzzle centers on: the predictors of criminal behavior. Criminologists have examined predictors since criminology began. In fact, Lombroso was the first to empirically look at criminals by attempting to identify types (born criminal, occasional criminal, etc.) As we know Lombroso was wrong in his conclusions, but what he did was inspire others to*

*begin looking at those factors that are correlated with criminal behavior. Let's look at a summary of the research:*

### **Slide 19 - Factors Correlated with Risk (Andrews and Bonta)**

*Slide 19 shows a meta analysis of studies that examine predictors of offending conducted by Andrews and Bonta. The way you read this figure is that the r is a measure of correlation. The lowest the value could be is zero (no correlation), and the highest is one. Thus, a .3 is stronger than a .2 and so forth.*

#### **Trainer Note**

The presenter should review the figure and point out the order from weakest to strongest. Personal distress refers to items like emotional problems, self-esteem, and so forth.

### **Slide 20 - Factors Correlated with Risk (Simourd)**

*Slide 20 shows another example of a meta analysis of predictors. Simourd did this study. Here fewer studies were included, but we see the same order (and somewhat stronger values).*

#### **Trainer Note**

The presenter should point out that Simourd breaks out family structure (e.g. coming from a single parent home), from poor parent child relations. The latter increases the strength of the correlation by 3.

The presenter should then introduce the literature on females versus males. There are considerably fewer studies of female offenders than males, but the available research shows the same pattern as for males. Slide 21 and 22 should then be reviewed similar to above.

### **Slide 23 - 24 - Youthful LSI by Gender**

*Slides 23 and 24 show the results from an assessment of male and female youthful offenders using the Youthful Level of Services Inventory. Although there are some differences in individual domains, overall, the same percentage of offenders were found in each risk category. We will talk more about offender assessment later in the training.*

#### **Trainer Note**

The presenter may want to point out that these data do not mean that gender is not a responsibility consideration.

Next the presenter should introduce the major and minor risk/need factors.

## **Slides 25 - 27 - Major Risk/Need Factors**

### **Trainer Note**

Slides 25 - 27 shows the major factors in the order of their importance. The presenter should review each of the major areas.

## **Slide 28 - Minor Risk Need Factors**

### **Trainer Note**

Slide 28 shows the minor predictors. Generally, these factors are not strongly correlated with criminal behavior, and targeting them alone will not be beneficial.

## **GUIDED PRACTICE**

### **Trainer Note**

Have participants work to answer the following question:

- Based on what you have learned about what doesn't work to reduce criminal risk, how would you change your current correctional practices in your facility and why?

Debrief by hearing some of their ideas.

## **CLOSURE AND EVALUATION**

### **Creating a "What Works" Environment**

*So how, in an organization do you create a "what works" environment? Creating a "what works" environment means that everyone who has anything to do with an offender - from entry into the system to completion - is focused on assisting that person to be successful and is consistent on how they do that. In upcoming modules that is a principle we will adhere to as we examine security, programming, staffing, policy and procedure.*

### **Trainer Note**

This is a required module. There is a page in the *Case Planning - Reception to Release* section of the workbook for the participants to complete (once they have completed this *Overview* module and the *Criminal Thinking* module.)

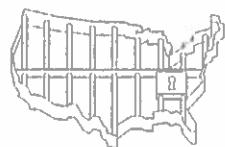
### **Criminal Thinking/What Works**

Keeping in mind what you have learned in the *Overview of What Works*, add to your case plan by completing the following information.

- What attitudes and beliefs do your youthful offenders hold?  
Describe what you know about the crime they committed
- Describe what you know about any victims involved.
- Describe his or her employment history.
- Describe his or her past substance use.
- Describe the criminal beliefs, attitudes, and behaviors he or she exhibits. Which of these attitudes and beliefs do you think are most predictive of continued criminal behavior on the part of this youth?
- Describe how the youthful offender reacts to: Institutional rules, people in authority, friends, and family members.
- What activities or programs will you target this youth for to reduce that risk?

## **What Works Research**

### **An Overview**



## **Research Terms**

- **Evidence**  
Distinguishes between experimental and control groups.
- **Risk of Re-offending**  
Recidivism rates compared over specified follow-up period.

1

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## **How is research reviewed?**

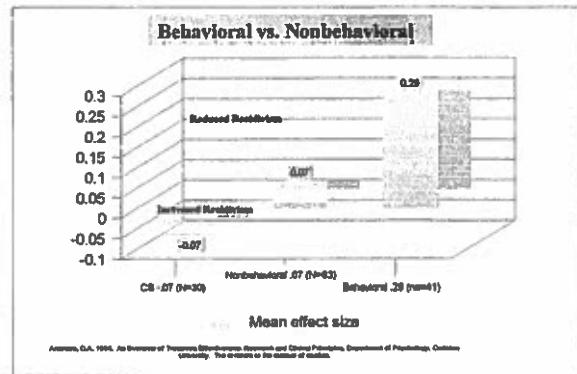
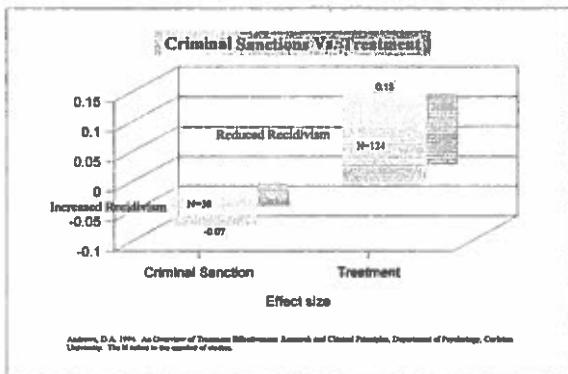
- Literature Review
- Ballot Counting
- Meta-Analysis

## **Summary Of Research Reviews**

- No consistent evidence that official punishment reduces recidivism.
- Use of correctional treatment services reduced recidivism rates up to 60%.

3

4



5

6

**Recent Review From The National Institute of Justice  
What Doesn't Work?**

- Correctional boot camps using traditional military type training
- Drug prevention class focused on fear or other emotional appeals
- D.A.R.E.
- School based leisure-time enrichment programs
- "Scared Straight" programs where juveniles visit adult prisons
- "Shock" Probation or Parole

**Recent Review From The National Institute of Justice  
What Doesn't Work?**

- Split sentences, adding time to probation or parole
- Home detention with electronic monitoring
- Intensive supervision
- Rehabilitation programs using unstructured counseling
- Residential programs for juveniles using challenging experiences in rural settings

Source: Edwards, Gottschalk, Miethe, Sif, Smith, and Rindfuss (1994). *Promoting Crime-Free Neighborhoods: What Doesn't Work*. Washington, DC: National Institute of Justice, Research Report 94-18.

7

8

## Most Effective Interventions For Serious Juvenile Offenders

### Institutionalized

- Positive Consistent Evidence
  - \* Interpersonal skills
  - \* Working with family
- Positive, Less Consistent Evidence
  - \* Behavioral Programs
  - \* Community Residential
  - \* Multiple Services

## Most Effective Interventions For Serious Juvenile Offenders

### Institutionalized

- Generally Positive, Inconsistent Evidence
  - \* Individual counseling
  - \* Group counseling
  - \* Guided group
- Weak or No Effect, Inconsistent Evidence
  - \* Employment related
  - \* Wilderness challenged
  - \* Drug abstinence

9

10

## Most Effective Interventions For Serious Juvenile Offenders

### Institutionalized

- Weak or No Effects, Consistent Evidence
  - \* Milieu therapy

## Most Effective Interventions For Serious Juvenile Offenders

### Non-Institutionalized

- Positive Consistent Evidence
  - \* Individual counseling
  - \* Behavioral programs
  - \* Interpersonal skills
- Positive, Less Consistent Evidence
  - \* Multiple services
  - \* Restitution, Probation and Parole

11

12

## **Most Effective Interventions For Serious Juvenile Offenders**

### **Non-Institutionalized**

- **Generally Positive, Inconsistent Evidence**
  - \* Employment related
  - \* Advocacy/casework
  - \* Group counseling
  - \* Academic programs
  - \* Family counseling
- **Weak or No Effect, Inconsistent Evidence**
  - \* Reduced caseload, probation and parole

## **Most Effective Interventions For Serious Juvenile Offenders**

### **Non-Institutionalized**

- **Weak or No Effects, Consistent  
Evidence**
  - \* Wilderness challenge
  - \* Deterrence programs
  - \* Early release probation and parole
  - \* Vocational programs

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## **Other Findings For Serious Juvenile Offenders**

### **Non-Institutionalized**

- Treatment effects were larger for more serious offenders.
- Longer time in treatment more effective.
- More involvement of researcher in treatment, stronger effects.

## **Other Findings For Serious Juvenile Offenders**

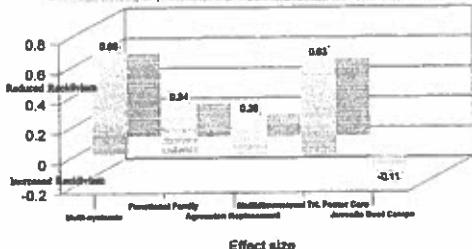
### **Institutionalized**

- Integrity of treatment implementation.
- Longer the time in treatment, more effect.
- More established programs yield greater results (2 or more years).
- Treatment provided by mental health professional resulted in larger effects.

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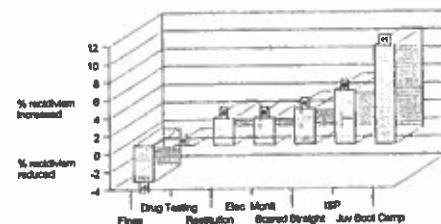
### Meta-Analysis - WA Juvenile Programs



Ann F. Phillips, S. Steward, & Lind (1999) The Comparative Costs and Benefits of Programs to Reduce Crime: A Review of National Research Findings with Implications for Washington State. Washington State Institute for Public Policy.

### Punishing Smarter Programs

#### Effect on Recidivism



17

18

### Factors Correlated With Risk (Andrews& Bonta)

	Mean r	# of Studies
Lower class origins	.06	97
Personal distress/ psycho pathology	.08	226
Education/vocational achievement	.12	129
Parental/family factors	.18	334
Temperament/personality	.21	621
Antisocial attitudes/associates	.22	168

### Factors Correlated With Risk (Simourd)

	Mean r	# of Studies
Lower class origins	.05	38
Personality distress	.07	34
Parental/family factors	.07	25
Minor personality variables	.12	18
Poor parent-child relations	.20	62
Education/vocational achievement	.28	68
Temperament/self-control	.38	90
Antisocial attitudes/associates	.48	106

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20

Correlates of Criminal Conduct & Gender		
	Male	Female
■ Lower class origins	.06	.07
■ Personal distress/ psychopathology	.09	.10
■ Family structure/parent problems	.09	.07
■ Minor personality variables	.22	.18
■ Poor parent-child relations	.22	.20
■ Personal educational/ vocational achievement	.23	.24
■ Temperament/self-control	.36	.35
■ Antisocial attitudes/associates	.40	.39

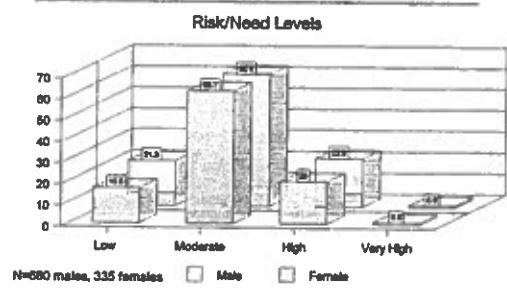
#### Correlates of Criminal Conduct & Gender

	Male	Female
■ Lower class origins	.04 (58)	.03 (12)
■ Personal distress/ psychopathology	.09 (157)	.08(19)
■ Education/vocational achievement	.11 (96)	.13 (7)
■ Parental/family factors	.16 (180)	.16 (43)
■ Temperament/misconduct/ personality	.18 (461)	.23 (38)
■ Antisocial attitudes/associates	.21 (113)	.23 (12)
> Overall	.16 (1065)	.16 (131)

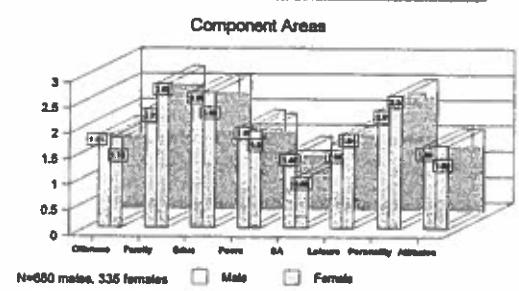
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#### Youthful LSI by Gender



#### Youthful LSI by Gender



23

24

### **Major Risk/Need Factors**

- Antisocial/pro-criminal attitudes, values, beliefs and cognitive-emotional states.
- Procriminal associates and isolation from anti-criminal others.

### **Major Risk/Need Factors**

*Temperamental and personality factors conducive to criminal activity:*

- Psychopathy
- Weak socialization, impulsivity
- Restless/aggressive energy
- Egocentrism
- Below average verbal intelligence
- A taste for risk
- Weak problem solving/self-regulation skills

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### **Major Risk/Need Factors**

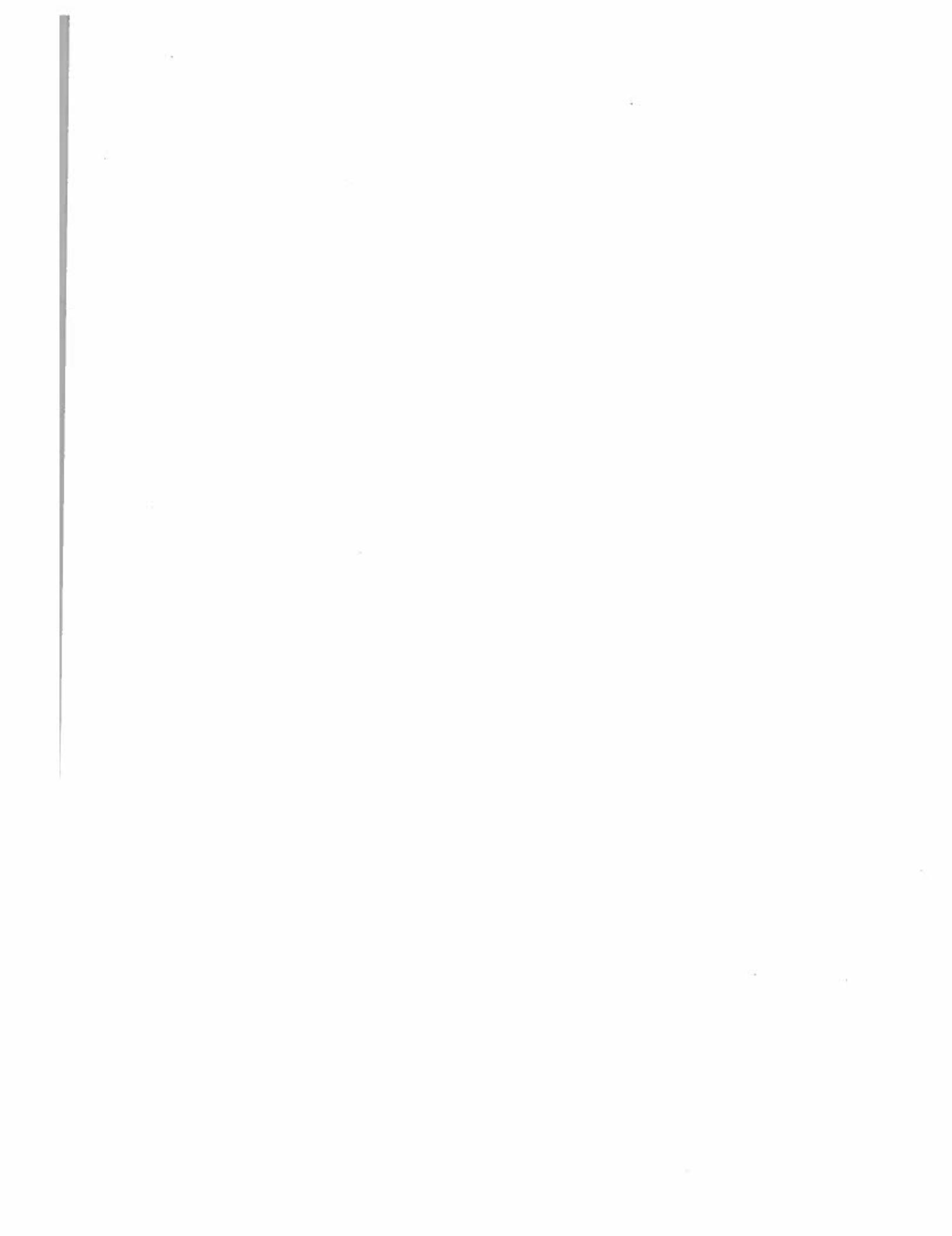
- History of antisocial behavior:
  - > evident from a young age
  - > in a variety of settings
  - > involving number & variety of different acts
- Familial factors that include criminality and:
  - > low level of affection, caring, cohesiveness
  - > poor parental supervision/discipline practices
  - > outright neglect and/or abuse
- Low levels of personal, educational, vocational, financial achievement

### **Minor Risk/Need Factors**

- Lower class origins
  - > adverse neighborhood conditions
  - > poor parental educational/vocational/economic achievement
- Personal distress:
  - > strain, alienation
  - > low self-esteem, anxiety, depression, worry
  - > officially labeled mental disorder
- Biological or neuropsychological indicators

27

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# **Performance Objectives**

## **OVERVIEW OF “WHAT WORKS”**

As a result of this module you will be able to:

- Describe the empirical basis for “what works” and how it applies when working with youthful offenders.

## **Recent Review From The National Institute of Justice *What Doesn't Work?***

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- Correctional boot camps using traditional military type training
- Drug prevention class focused on fear or other emotional appeals
- D.A.R.E.
- School based leisure-time enrichment programs
- “Scared Straight” programs where juveniles visit adult prisons
- “Shock” Probation or Parole
- Split sentences, adding time to probation or parole
- Home detention with electronic monitoring
- Intensive supervision
- Rehabilitation programs using unstructured counseling
- Residential programs for juveniles using challenging experiences in rural settings

Source: Sherman, Gottfredson, MacKenzie, Eck, Reuter, and Bushway (1998) *Preventing Crime: What Works, What Doesn't, What's Promising*. National Institute of Justice Research in Brief.

## **Moving from Correctional Program to Correctional Strategy: Using Proven Practices to Change Criminal Behavior**

**By Mark Gornik, 2002**

Criminal justice treatment and appropriate sanctions are both essential components of the criminal justice mission (including Juvenile Justice). Partners in the criminal justice system (judges, treatment providers, probation/parole officers, case managers, and others) have limited time, excessive caseloads, and competing agendas. These factors magnify the need for efficiency in the way we do business. Elements of responsible, informed, and efficient correctional practice are no longer opinion but are grounded in evidence; they are not just desirable but essential. Success of the criminal justice mission involves competency in programs that are designed and delivered using research-based principles and practices. Success will also demand seeing and understanding programs from a custody, offender management, and broader organizational context. It is past time we leave the treatment, no treatment debate behind and take the challenge of developing correctional strategies using proven practices.

Although most of the anecdotal information from criminal justice practitioners suggests there are a variety of program approaches working to change offender behavior including the twelve step programs, there is often a fair amount of debate as to what the research is reflecting. Closer inspection reveals the efficacy of programs appears to be more about misuse and/or misapplication of the program than the utility and effectiveness of the program itself. The challenge is to look for principles and practices identified by research and work toward their appropriate application and further research. Wholesale elimination of programs that show promise, or continued misapplication, are unacceptable alternatives in a system already strained by limited resources.

A number of comprehensive reviews of the offender treatment literature have been conducted in recent years. While treatment in general has been shown to modestly reduce recidivism, programs that incorporate the principles of effective treatment described in this report do far better. For example, in an analysis of 154 controlled outcome studies of treatment effectiveness, Donald Andrews and others at Carleton University divided programs into four groups: traditional punishments, inappropriate treatment, appropriate treatment, and unspecified treatment. (“Appropriate” and “inappropriate” refer to conformity with the principles of effective treatment.) The graph to the right shows the relative effect on recidivism of each of these categories compared to control groups of offenders who did not receive treatment. Negative numbers indicate that recidivism rates were higher for the treatment group than for the control group.

Further review of correctional research demonstrates that cognitive behavioral and social learning approaches have answered the question “What Works?” to change offender behavior. “What Works” is a term used nationally by correctional agencies in reference to researched principles and practices common to effective public safety and offender programming. “What Works” research has also identified the offender attributes “Criminogenic Risks and Needs” that successful correctional programs must target (Gendreau & Andrews, 1990).

Although the principles and practices discussed in this article are approached as general strategies to offender change, they have been found to be especially effective in the area of substance abuse. (Knight, Hiller, & Simpson, 1999)

### **Attributes Associated with Criminal Behaviors and Recidivism**

Antisocial attitudes, values, and beliefs (criminal thinking);  
Pro-criminal associates and isolation from pro-social associates;  
Particular temperament and behavioral characteristics (e.g., egocentrism);  
Weak problem-solving and social skills;  
Criminal history;  
Negative family factors (i.e., abuse, unstructured or undisciplined environment, Criminality in the family, substance abuse in the family);  
Low levels of vocational and educational skills;  
Substance abuse.  
(Gendreau & Andrews, 1990)

### **Proven Practices**

“What Works” research literature has identified common characteristics that must exist in programs if they are to be successful:

Supported by community and policymaker partnerships;  
Supported by qualified and involved leadership who understand the program objectives;  
Designed and implemented around proven theoretical models beginning with assessment and continuing through aftercare;  
Include use of standardized and objective assessments of risk and need factors to make appropriate program assignment for offenders;  
Target crime-producing attributes and uses proven treatment models to prepare offenders for return into the community;  
Are delivered in a manner consistent with the ability and learning style of the individuals being treated;  
Implemented by well-trained staff who deliver proven programs as designed;  
Evaluated to ensure quality;  
Target high-risk offenders.

Some correctional agencies have come to accept and are attempting to implement these practices. However, many jurisdictions are frustrated in their ability to combine these “best practices” in a complementary continuum of services. Understanding and integrating the various elements of effective offender intervention is the challenge before us.

## **Practices Associated with Effective Intervention**

The design of interventions should be guided by the principles that are known to maximize their effectiveness. Features of effective interventions include the following:

They target the criminogenic risk and need emphasizing a clear understanding of criminal logic;  
They are cognitive/behavioral in nature and incorporate social-learning practices;  
They incorporate the principle of responsivity;  
They incorporate a balanced integrated approach to sanctions and interventions and (when appropriate) relapse prevention;  
They have therapeutic integrity.

### **The Risk Principle**

The risk principle embodies the assumption that criminal behavior can be predicted for individual offenders on the basis of certain factors. Some factors, such as criminal history, are static and unchangeable. Others, such as substance abuse, antisocial attitudes and antisocial associates, are dynamic and changeable. With proper assessment of these factors, researchers and practitioners have demonstrated that it is possible to classify offenders according to their relative likelihood of committing new offenses with as much as 80 percent accuracy.

Application of the risk principle requires matching levels or intensity of treatment with the risk levels of offenders. High-risk offenders require intensive interventions to reduce recidivism, while low-risk offenders benefit most from low intensity interventions or no intervention at all (Gendreau & Andrews, 1990).

### **The Criminogenic Need Principle**

Most offenders have many needs. However, certain needs are directly linked to crime. Criminogenic needs constitute dynamic risk factors or attributes of offenders that, when changed, influence the probability of recidivism. Non-criminogenic needs may also be dynamic and changeable, but they are not directly associated with new offense behavior (Gendreau & Andrews, 1990).

### **The Responsivity Principle**

The responsivity principle refers to the delivery of treatment programs in a manner that is consistent with the ability and learning style of an offender. Treatment effectiveness (as measured by recidivism) is influenced by the interaction between offender characteristics (relative empathy, cognitive ability, maturity, etc.) and service characteristics (location, structure, skill and interest of providers, etc.) Characteristics such as the gender and ethnicity of an offender also influence responsivity to treatment.

Application of the risk principle helps identify *who should receive treatment*, the criminogenic need principle focuses on *what should be treated*, and the responsivity principle underscores the importance of *how treatment should be delivered* (Gendreau & Andrews, 1990).

## **Criminal Thinking: Understanding the Logic and Rewards**

When surveyed, most correctional practitioners admit that dealing effectively with antisocial logic is the single most important part of public safety and offender change. While they admit it is important, staff also report they lack the necessary understanding and skill to deal with criminal thinking (Gornik, Bush & Labarbera, 1999).

Antisocial thinking is very seldom simply a matter of imagining crimes or plotting assaults. With most offenders, there is almost always a more subtle network of attitudes, beliefs, and thinking patterns that create an entitlement and righteousness about selfish and harmful acts. Antisocial thinking provides a self-validating and rewarding escape from responsibility and social norms. Many offenders are accustomed to feeling unfairly treated and have learned a defiant, hostile attitude as part of their basic orientation toward life and other people. Hostile responses and victim-stance thinking are learned cognitive behaviors. For the offender, feeling like a victim creates a sense of outrage, power, and self-gratification. These powerful emotional experiences create cognitive reinforcement. Conversely, to admit a mistake would be a sign of weakness and vulnerability.

Relationships with other people are adversarial and dominated by a struggle for power. Cooperation is seldom more than a passing convenience. A win-lose (us/them) orientation dominates personal relationships. Winning is defined as forcing someone else to lose. The gratification that comes with this kind of winning is, for some offenders, the only real satisfaction and gratification they ever learned. This need to win is exaggerated in the offenders' interactions with security staff. Whether they win or lose, the underlying cognitive structure is reinforced. This self-serving logic creates a vicious cycle (Bush & Bilodeau, 1994). As offenders progress through treatment, respect for custody staff is an important measure of change. Research has also identified motivation and readiness to change as main factors in successful treatment outcomes.

## **Cognitive Behavioral Intervention: Targeting Offender Behavior**

### **Social Learning and Behavioral Intervention**

Offender change and re-socialization require direct instructional methods, modeling and observation of the individuals in the environment. Behavioral psychologists, such as Albert Bandura, have shown us the benefit that social learning plays in teaching and modeling socially acceptable behavior.

The majority of offenders have significant deficits in their understanding of how to behave in a socially responsible manner. In fact, most offenders see little value in socially responsible behavior, either because it is not supported within their peer culture or it doesn't provide the immediate gratification and excitement of crime. Often, offender thinking patterns are so entrenched that they cannot break free without a considerable period of de-conditioning followed by re-conditioning. Old

patterns of behavior are extinguished and new behaviors reinforced by the process of appropriate application of punishers and rewards. Research suggests a ratio of four rewards to every punisher. Ultimately, offenders learn to practice self-regulation and self-management skills.

The elements that support the environment in which social learning can take place are *structure* and *accountability*. Structure organizes the behavior of members toward a common goal of “right living.” Staff, operating as a rational authority, provides an organized structure of values, rules, roles, and responsibilities. The necessary information is provided to increase awareness and knowledge of behavioral, attitudinal and/or emotional consequences. Accountability teaches respect for structure and moves the offender from an observer stance (strong denial and resistance), to a participant stance (willing to comply, but attitudinally still in the criminal thinking mode), to a member stance (a willing participant who shares the new values of right living). The environment provides the opportunity for practice and success. This process continually reinforces gains and builds self-efficacy.

### **Models of Social Learning**

#### **Community Model of Re-Socialization for Offenders**

In the community model, an environment is established within a correctional institution that both supports and provides offenders with the experience of living a pro-social lifestyle. It is a strategy to combat the traditional “convict code” and lifestyle found in traditional prison populations. Community models incorporate evidence-based principles and practices of social learning and behavioral programs such as: social learning principles and practices that include: empathy, encouragement of self-efficacy, non-authoritarian, non-blaming, effective modeling, effective reinforcement, effective disapproval, self-regulation and self-management skills, relapse-prevention strategies, advocacy, brokerage, planned practice, extinction, concrete verbal suggestions, token economy, resource provision, and effective use of punishers (Bush & Labarbera, 1995).

#### **Types of Community Models**

Community models can take many shapes and designs. The most familiar interpretation of the community model is the Therapeutic Community (TC). The TC has shown success with the most severely drug-abusing and criminogenic offender. TC has also been used in modified forms to help develop pro-social behavior among other special needs populations, such as sex offenders, mentally ill offenders, and dually diagnosed offenders and has shown success with these populations. There is some evidence that offenders who are more pro-socially oriented (low risk offenders) do not require the highly structured, long term, and expensive therapeutic community modality. Although modified therapeutic community models are sometimes employed with low-risk offender populations, successful correctional programs treat low and high-risk offenders separately.

## **Cognitive Programs**

Cognitive programs operate with the following assumptions:

Cognitive process (thinking) is often the key to social behavior. Problem behavior is almost always rooted in modes of thinking that promote and support that behavior. Permanent change in problem behavior demands change at a cognitive level (i.e., change in the underlying beliefs, attitudes, and ways of thinking);

Authority and control that increases resentment and antisocial attitudes is counterproductive. Punitive methods of controlling behavior all too often reinforce modes of thinking that were responsible for the initial antisocial behavior. The alternative to punitive measures is not permissiveness. The alternative is a rational strategy of authority and control combined with programs of cognitive change;

Authority and control can achieve both compliance and cooperation. Authority can define rules, enforce consequences, and be non-coercive while reminding and encouraging offenders to make their own decisions. As offenders choose pro-social behaviors it is also vital staff use positive reinforcement and appropriate reward. As offenders learn to make conscious and deliberate decisions they accept responsibility for their behavior;

Programs of cognitive change can teach pro-social ways of thinking, even to severely criminogenic and violent offenders. The effectiveness of cognitive programs in changing antisocial behavior has been demonstrated in numerous scientific studies;

The values of cognitive strategies extend well beyond the correctional environment. Cognitive principles can be applied to victim restitution, educational settings, personal development, and as an overall approach to public safety and offender change.

### **Types of Cognitive Approaches**

There are two main types of cognitive programs: cognitive restructuring and cognitive skills.

Cognitive restructuring is based on the premise that offenders have learned destructive attitudes and thinking habits that reinforce criminal behavior. Cognitive restructuring consists of identifying the specific attitudes and ways of thinking that point to criminality and systematically replacing them with new, pro-social attitudes and ways of thinking. To facilitate appropriate understanding and use of the pro-social skills necessary for crime free living, it is important that cognitive restructuring be used at the beginning of treatment. This is especially true with high-risk offenders.

Cognitive skills' training is based on the premise that offenders have never learned the "thinking skills" required to function productively and responsibly in society. This skill deficit is remedied by systematic training in skills, such as problem solving, negotiation, assertiveness, anger control,

and social skills focused on specific social situations, like making a complaint or asking for help.

Cognitive restructuring and cognitive skills approaches are complementary and can be combined in a single program. When practiced in a community model, resocialization can be enhanced and accelerated. Both cognitive strategies take an objective and systematic approach to change. Change should not be coerced; rather offenders should be taught how to think for themselves and to make their own decisions.

Cognitive correctional programs regard offenders as fully responsible for their behavior. Thinking is viewed as a type of learned behavior. Dishonesty and irresponsibility are the primary targets for change. Limit setting and accountability for behavior do not conflict with the cognitive approach to offender change they support it.

Although emotions are not discussed at length in this paper, they are recognized as an integrated and inseparable part of the "whole person". Treatment of high-risk offenders, like any other treatment should not be reduced to any one approach or modality. As with all human service it involves a complex blend of treatment type, frequency, duration, and intensity. Rather, as already mentioned, this complex mix should be driven by research and the years of experience available. Because of the many problems associated with offender emotional response, cognitive approaches allow for the observation and identification of emotions while minimizing many of those problems such as using emotions as manipulation, impulsive inappropriate behavior driven by habitual thought/feeling responses, planned use of emotion to gain control, etc.

If done in the proper sequence cognitive programs can allow offenders better self control and ultimately the examination and identification of other psycho-social problems, processing and appropriate expression of emotions as they move into the latter stages of change.

### **Programs that Incorporate the Principle of Responsivity**

Responsivity addresses the importance of delivering treatment services in a manner that facilitates the learning of new pro-social skills by the offender and creates appropriate competencies in staff. Thus, successful programs (1) match the treatment approach with the learning style and personality of the offender; (2) match the characteristics of the offender with those of the treatment provider; and (3) match the skills of the treatment provider with the type of program.

One aspect of responsivity often overlooked in correctional programs is appropriate communication. Communication is the primary means of getting and using information needed to treat and manage offenders effectively. Cognitive/behavioral communication strategies provide both custody and treatment staff with the competencies necessary to make use of what we know about antisocial logic. In order for staff to communicate in a manner that has an effect on the offender's view of the world, the communication must *intrude* on, disrupt, or confront the offender's normal thought process. A critical correctional communication competency is: "knowing when to use behavioral confrontation

and when to use cognitive confrontation.” Behavioral confrontation describes the behavior and is followed by appropriate disapproval and approval. Genuine concern is often a rare commodity in correctional settings therefore confrontation should be closely monitored for correct application. On the other hand, cognitive confrontation must come through personal self-disclosure, awareness, and the connection between thoughts, behavior, and consequences. Competent communication also requires combining confrontation with the appropriate application of positive and negative reinforcers. Understanding antisocial logic and the effective use of these techniques can mean the difference between failure and success in offender programs.

In this context, effective communication defines the interpersonal relationship between staff and offenders as one of accountability and support. It is important to remember the best information for both custody and treatment purposes can come from the offender when it is given voluntarily and without coercion. For maximum treatment outcome, custody, treatment, and administrative staff must all become competent in the use of the various correctional communication skills. Some of the more promising techniques include: cognitive reflective communication, motivational interviewing, and a social learning application of behavioral confrontation.

Closely linked to communication is the responsivity principle of motivation. Extensive research directly links to early engagement in treatment and that engagement is linked to client retention and good outcomes. Whether treatment is voluntary or coerced, good programs must include motivational techniques as part of the integrated strategy (Blankenship, Dansereau, & Simpson, 1998).

The importance of the various risk factors has consistently held true across age, culture, gender, mental health and other areas typically known as special need responsivity issues. These areas all represent important components of good correctional treatment strategy of which detailed discussion is beyond the scope of this paper. It is important to recognize, however, that many of the special need areas such as domestic violence and sexual trauma associated with many female offenders represent the need for specialized approaches to treatment and often must be dealt with simultaneously or before any significant work on primary risk factors.

### **Transition and Re-Entry: Programs that Incorporate Relapse Prevention and Strategies**

The transition process, like many of the elements of the “What Works” strategy, is always in danger of being minimized or overlooked. However, transition, as research suggests, is a direct link to treatment effectiveness. The transition process exists to serve the broader community’s interest in public safety, effective use of scarce resources and restoration of victims, offenders, and communities. Members of the public, community justice and human service agencies all are stakeholders in how well the transition process functions. Transition programs focus on preventing the offender from relapsing into criminal behavior. These transition programs are a critical link between the prison and community/restorative justice components of evidence-based practice.

Relapse prevention strategies typically incorporate the following elements:

Development of an individualized plan and rehearsal of alternative pro-social responses that are specific to the behaviors or circumstances that increase the risk of re-offending for offender in question;

Development of self-monitoring skills and the ability to anticipate problem situations; and Training of significant others, such as family, friends, and employers, to reinforce pro-social behavior and to recognize triggers and risk situations.

In addition, it is often important to provide booster sessions to offenders after they leave formal treatment or are released into the community.

### **Sanctions and Treatment: Accountability and Change**

Currently, sanctions are seldom used intentionally as companions to offender treatment or strategies to modify behavior. Such sanctions include intensive supervision, home confinement, frequent drug testing, restitution, shock incarceration, electronic monitoring, and mandated twelve-step programs.

The primary intent of most sanctions is for purposes other than their impact on re-offense behavior. For example, drug testing and intensive supervision are often employed to monitor compliance (or detect noncompliance) with conditions of probation or parole. Restitution is a component of restorative justice rather than an attempt at crime control. Similarly, interventions such as home confinement, electronic monitoring, and short periods of shock incarceration are sometimes imposed because they are less expensive forms of punishment. None of these strategies have shown any significant results. Further, sanctions, *if not accompanied by appropriate treatment*, have shown little or no evidence of reducing recidivism.

*The key idea is simply this: effective correctional intervention must produce a change in the offender's fundamental worldlier, especially their perception of authority, rules, and accountability. This marks an essential difference between pro-social and antisocial attitudes and behaviors. Addressing this aspect of antisocial logic is a vital part of effective program strategy. Sanctions alone fail to affect the desired outcomes.*

This part of a correctional strategy should be conceived as these three messages:

Our society's determination to enforce social limits and the law;

Extension of a genuine opportunity to change;

Respect for an offender's capacity to make his or her own choice.

In this message, security (in the broad sense of the term, including law enforcement and accountability) and treatment are complementary. Neither is an isolated component, able to stand on its' own. Each derives meaning by its relation to the other. The same applies to the condition of respect. Society must not impose an insurmountable barrier between itself and the offender. This

is not a matter of altruism, but rather a matter of effective strategy and social learning theory applied. Three messages, one voice, meaning each message qualifies and defines the others. Consequently, the message provides closer monitoring, better supervision, and has positive effects on recidivism. With a clear understanding of these principles, even punishment and retribution can be combined appropriately with interventions to produce enhanced outcomes. (Bush & Bilodeau, 1994)

### **“The Cognitive Community”**

Treatment models that maximize outcomes as part of correctional strategy incorporate an in-depth understanding of antisocial logic, social learning, cognitive/behavioral programs, and appropriate communication. Such a program could be referred to as a “cognitive community.” Competent delivery includes appropriate situational and interchangeable application of these methods. One example of application is knowing when and how to confront crime producing attitudes and beliefs (cognitive restructuring and cognitive skill building) and when to use the behavioral confrontation tools of the therapeutic community. In a cognitive community, cognitive behavioral programs are far more than simply a type of group to be placed into a therapeutic environment as a learning experience or a group activity. In effective application, social learning must never become rote compliance or peer coercion. The treatment model employed must be flexible enough to encompass self-actualization, but structured enough to create a climate for peer accountability and consequences (Gornik, Bush & Labarbera, 1999).

In the cognitive community, thinking and behavior are both exposed to the larger community. The community then becomes the baseline and milieu in which new learning and change can take place. Once implemented, the cognitive community should emulate a real life setting. All staff, including custody, participates in the cognitive community practices. Thoughts and behaviors that typically lead to relapse are discovered more quickly. Staff’s ability to recognize the internalization of offender change is more efficient. The cognitive community operates 24 hours a day, 7 days a week, and 365 days a year. Social learning and cognitive change operates as the oxygen and lifeblood of the community and fosters a “no place to hide” philosophy. Cognitive/behavioral practices form the lifestyle in which all other operations and activities exist including: work, both on-and-off the living unit, educational programming, drug treatment and counseling, specialized programs and groups, visitation, family re-unification, and transition planning.

### **Twelve-Step Programs and Criminal Justice Treatment**

With most high-risk offenders, many of the components of the 12-step program (Alcoholics or Narcotics Anonymous) are problematic, such as: limited structure, no formal or recognized leadership, free choice, self-help, admission of powerlessness, spirituality, helping others, disclosure of shortcomings and handicaps to peers, and making direct amends. In fact, if criminal thinking, criminal behavior, and other criminal attributes are left untreated by structured directive programming, almost every suggestion in the 12-step program can be manipulated or misused toward self serving and counter-productive ends. Conversely, preliminary anecdotal data indicates that when criminal conduct is addressed through proven criminal justice treatment, 12-step programs can

become an effective companion to treatment. Proper use of 12-step programs is especially important in rural communities where there are minimal aftercare services other than self-help groups. There is a need for scientific research where these practices co-exist.

Anecdotal data suggests that a combination of criminal justice treatment and 12-step programs enhance pro-social self-efficacy. Taken in tandem with cognitive/behavioral approaches, the 12-step programs cross train offenders in the efficacious principles and practices inherent in all three approaches. This blend provides the clinical structure of the cognitive/behavioral and therapeutic community modalities needed during incarceration and intense supervision, while enabling offenders to understand and use these principles appropriately in less structured community-based programs upon release. The TC structure provides a controlled application of the social learning principles found in 12-step programs. Cognitive programs address criminal thinking, which typically prevents effective use of 12-step programs, and 12-step programs then allow offenders the opportunity to practice these principles by choice in a self-help context. Consistent volitional pro-social behavior should be seen as the highest measure of program success (Gornik & Bush, 2000).

Correctional treatment programs that engage offenders in the 12-step programs must address the unique characteristics of the offender population; those identified by research as predictors of recidivism. It is especially important for programs to address characteristics associated with extreme antisocial and criminal conduct.

### **Staff as Community Members and Agents of Change**

In healthy communities, the involvement and support of every member is important; however, within correctional treatment communities it is essential. Correctional officers, probation and parole officers, teachers, counselors, and volunteers all make excellent members of the treatment team and are considered part of the community. The authority represented by correctional staff, including uniformed officers, is a positive enhancement, not a detriment, to the credibility and effectiveness of cognitive/ behavioral social-learning programs. People with good interpersonal skills, but no clinical training, can be trained to deliver and benefit by cognitive social learning programs. The crucial element is consistent modeling by staff that practices and believes in the principles they are espousing. As staff participates in the principles and practices of the correctional programs, they are less likely to burn out, lose job satisfaction, or use authority inappropriately. Multi-disciplinary involvement creates a "One Voice-One Message" philosophy and is one more critical element of integrated correctional strategy.

Staff and offender growth is measured in stages, and competency is measured in three domains (knowledge, skills, and attitude). Competency measured in this way insures the full range of abilities necessary for internalized and lasting change. This type of competency measurement can track offender progress more effectively through the process from compliance to endorsement. Initially, staff will be primarily responsible for modeling and enforcing pro-social values and behaviors. However, as the community matures, the community itself becomes the primary agent of change. This is the core of social learning.

## Organizational and Community Issues

Optimum results for offender change require an infrastructure whose leadership is informed, supportive and who model the principles and practices of the research based, data driven service approaches. In this context, leadership evaluates and measures the organization's decision making, personnel practices, problem solving, etc. by the "What Works" principles and practices. Administration understands, serves, and supports the vision, principles, and practices of evidence-based programming and correspondingly holds supervisors accountable at all levels. Members of the criminal justice partnership entrusted with autonomous authority, such as use of deadly force, sentencing powers, and paroling authority, must understand the responsibilities and boundaries appropriate to evidence-based best practice.

Also necessary for successful outcomes is a balanced inclusion of community partners in decision-making and service delivery. External stakeholders are heard and understood and appropriate needs are acted upon. The full range of external stakeholders, from victim advocates to policy makers, must also understand, model, support and be supported in the delivery of programs based in offender risk, need, and responsivity. The principles must exist in all aspects of the offender's life (whether in prison or in the community), programming, staff/offender/community communications, and program structure.

One of the most meaningful and publicly relevant efforts to create effective evidence based partnerships with the community has been the restorative or community justice and Broken Windows Reinventing Probation movements. The restorative/community justice structure has taken on many meanings, as it has become a catchword in the field of criminal and juvenile justice. In its purest sense, the vision of restorative justice is to restore a sense of wholeness and safety to primary and secondary victims of criminal activity or abuse.

A secondary aspect or hope of this vision is that through the process:

- The offender gains an understanding and awareness of the negative impact of his/her behavior on others;
- The offender is incorporated into the community as a productive member by proving his/her willingness to make amends; and
- Partnerships with community become a must in successfully reintegrating offenders back into the community and preventing further victimization. (Jennings, 2001)

We know that almost all offenders return to the community, and that the likelihood of re-offending decreases as positive community involvement increases. Therefore, solidifying offender/community relationships is essential for a positive impact on recidivism and on advancing the quality of life for all residents in a given community. In contact with offenders the quality of the contact and its therapeutic value should always be regarded above the quantity of contacts. We also know that the myopic view that "we can do it all ourselves" is both self-defeating and patently untrue. We need to form partnerships with the community in order to have any hope of stemming victimization and

the tide of cases coming into the system. However we must take care to ensure the elements of these major strategies are implemented fully and with quality assurance safeguards lest they become ineffective catch phrases.

### **Therapeutic Integrity – Maximizing Results**

After many decades of experience, including trial and error, the criminal justice system can finally draw some conclusions about offender treatment. Over time these conclusions once opinion have been validated by research. There has emerged a common thread of best correctional practice across justice disciplines: counselors, program managers, administrators, and justice-treatment consultants.

We know effective programs require an understanding of self-centeredness and oppositional behavior, not only in offenders, but also in staff and the organization as a whole. Successful programs utilize competent, well-trained, and well-supervised staff that possess good communication skills. However, program failure is more often an attitudinal problem than a lack of skill or knowledge. Everyone in the organization and its community partners must believe in and practice the values given to offenders in the change process. Social learning principles practiced at the organizational level provide a safe atmosphere for staff to disclose, seek help, and correct personal and program problems. Staff health practices should work in tandem with good offender treatment.

A balanced, integrated approach to security and treatment must go beyond practices targeted at offender change and management. Accountability and change must become a system norm supported and practiced by leadership. Implementing a seamless continuum of service between prison programs and the community means participation by leadership and involvement by the community. Proper assessment of need and appropriate ongoing care should be seen as a universal practice, good for all people in the system.

Practices used to promote public safety and offender change should be understood and continuously evaluated by all stakeholders, from policy makers to offenders. Informed decision-making demands responsible examination of one's own attitudes and beliefs, prior to evaluating others. The challenge before us is to translate the various roles of an integrated system, built on evidence based best practice, into role specific language. Wherein working toward a common goal, each role is understood, valued, and easily passed on.

## **END NOTES**

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**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** ADOLESCENT DEVELOPMENT

**WRITTEN BY:** Dr. Barry Glick, 2001, Revised by Renee Bergeron/Ray Ferns 2002

**TIME FRAME:** 1.5 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Describe the assumptions and principles underlying the adolescent development model.
- Describe the Adolescent Development Matrix.
- Apply these concepts to your work with youthful offenders.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **Slide 1 - Title Slide (Adolescent Development)**

### **ANTICIPATORY SET**

*Take 30 seconds to think about these three questions. (Pause) Then list your answers on paper.*

- *What is an attitude or belief you hold about adolescence?*
- *What is an attitude or belief you have about adolescents that you work with?*
- *What is your role and function with these offenders?*

#### **Trainer Notes**

Chart the above questions prior to beginning your session.

Give participants about 5 minutes to jot down some answers. Debrief by asking participants for some of their responses. Get several responses to the first question only: Then get several responses to the second question, then the third question. Responses will vary. Some examples are listed below.

#### **Suggested Responses**

- *What is an attitude or belief you hold about adolescence*  
*Those going through adolescence don't like authority, they are impressionable.*
- *What is an attitude or belief you have about adolescents that you work with?*  
*Have very little support, I believe that they believe they are victims, their value system is skewed, they are anti-social, they are reckless.*

#### **Key Point**

*Our attitudes and beliefs control our actions or behavior and will impact how we perceive our role and how we function.*

*It is important for you to think about your thinking because your thinking impacts how you behave. You can teach new skills but attitude needs to match.*

*Only you can value what you believe and hold to be truth. Another person can judge if this is right or wrong. But whatever attitude or value you hold, will impact how you do business which in turn impacts the offenders.*

*Remember that attitudes and beliefs are dynamic risk predictors in youthful offenders, dynamic meaning what?*

### **Possible responses**

That they can be changed.

*Yes, we expect offenders to change antisocial attitudes and beliefs to those that are pro-social. The behaviors that staff model will impact the offenders success in making these changes.*

*Let's hear some of your responses regarding roles and functions.*

- *What is your role and function with these offenders?*

### **Possible responses**

To help them, to make sure they are punished, to correct their behavior, to "cure" them, be a good role model, listener, teach, observe, and maintain security.

### **Key Point**

*Roles and functions are sometimes dictated by our job rather than our attitudes and beliefs.*

*You may have very positive beliefs about adolescents but how well you can act on those beliefs is a function of the system within which you work.*

*If the gap between your attitudes and beliefs and that of your organization's is big, problems such as lower morale and excessive sick time are likely to occur.*

*Each of you can influence your own organization. So the degree to which you can appreciate what adolescent development is in relation to the prison environment, the better you will be able to do your job.*

*Youthful Offenders placed in adult systems, whether they be incarcerated in jails, prisons, or involved with Community Corrections, pose special challenges to staff as staff attempt to provide a constitutionally safe environment with prescriptive programs and services.*

*Basically these youthful offenders, although they have committed some heinous crimes, are going through the second most active human growth period, after infancy: Adolescence. As such, many of their behaviors are very typical adolescent reactions to what is happening within themselves and in their immediate environments.*

*Corrections staff who better understand the concepts of adolescent development are better equipped to manage these youthful offenders and provide the most effective services for them. In this regard, we shall summarize and review an adolescent development model that empowers staff to target their interactions with this population in a more efficient manner.*

### **Trainer Note**

Review the performance objectives.

### **Slide 2 - Performance Objectives**

As a result of this module you will be able to:

- Describe the assumptions and principles underlying the adolescent development model.
- Describe the Adolescent Development Matrix.
- Apply these concepts to your work with youthful offenders.

### **INSTRUCTIONAL INPUT**

*Take this model and think about how you can use it as a tool to impact the attitudes and beliefs that you have about working with adolescents in a facility. If you empower yourself with this information you can impact not only what you do but what your system does.*

### **Slide 3 - Adolescent Development - Assumptions**

*If you believe that adolescence is a process of growth you will look at it differently. Like all processes, there is not necessarily a beginning and an end.*

*In the 1940's it was believed that adolescence starts at 13 and ends at 18. In the 60's it was 12 - 19. Today it is 10 or 11 to 23 or 24. We'll talk about why these changes have taken place when we define some terms.*

*It is a process during which people explore attitudes, values and beliefs. Even if they are serving time they are still exploring attitudes, values and beliefs but now they are the prison attitudes, values and beliefs.*

*Cognitive restructuring and skills are acquired during this process, more so than at any other time of human development. This means we are faced with the challenge of dealing with a young population thinking through how they are going to get to adulthood. If you believe that kids are not going to change you will act that way.*

### **Slide 4 - Definitions - Developmental theory**

*Life involves a series of human growth stages (pre-natal to geriatrics). Each stage has certain tasks that must be mastered for human development to occur.*

*Each stage is unique, the developmental tasks you learn in each stage are different. For example, in middle age, the tasks we learn are different than those we learned in adolescence.*

### **Slide 5 - Definition - Developmental stage**

*A chronological period where certain behaviors, experiences, needs and skills are common and distinguishable from other age groups.*

### **Slide 6 - Definition - Critical tasks**

*Emotional, physical, psychological, and social functions which must be mastered to progress along the continuum of development.*

*Any stage of human development must be mastered to progress along the continuum of development.*

*If it does not happen, what happens instead? You can't move on or you move on "differently," you take a different road.*

*Our task is to look for fixation or arrest in the young offenders and to help them move on.*

*If a kid is immature with poor social skills, instead of being angry with him you might want to consider it an opportunity to help the kid learn some things.*

### **Slide 7 - Definitions - Adolescence**

*A process during which young people, through a series of experiences, acquire greater:*

- \* Autonomy
- \* Independence
- \* Skill development
- \* Emotional maturity

*This definition applies to normal adolescence. Is the Young Offender normal? Your beliefs and attitudes will impact your reactions.*

*If you believe they are normal adolescents who made an error in judgement, then you will also hold as true that they will go through the process of adolescent development no matter where they are.*

*So if we provide them with a set of attitudes and beliefs about "getting over" other negative stuff then we will produce a more sophisticated predator criminal that our*

*communities will not be able to respond to. We may not even know what crimes they are committing because now, they are smarter and don't get caught.*

*Unless we do something different to deal with this young offender population the above will prevail.*

*Their thinking is, "I'm here because I got caught." They already have low self esteem. Now they think, "I am not even a successful criminal." They will be successful when they get out (and won't get caught).*

### **Slide 8 - Chronological Stages**

*Early Adolescence ----10 -12 years of age*

*Middle Adolescence ----13 -15 years of age*

*Late Adolescence ---- 16+ years of age*

*Why is adolescence starting sooner?*

*Let's look at the Developmental domains to answer that.*

### **Slide 9 - Physical**

- *Dramatic physical change.*
- *Hair grows and darkens.*
- *Genitalia in males, breasts in females enlarge.*
- *Tremendous chemical and biological changes.*
- *Increases in hormones.*

*Physical changes such as hair growth and darkening did not occur at 9 or 10 as it does now. This is why textbooks had to change their 1940's definition of adolescence.*

### **Slide 10 - Cognitive**

- *Changes occur because of physical brain growth.*
- *Educational and social experiences.*
- *Exploration of alternatives.*
- *Thinking is first concrete, then abstract.*

### **Slide 11 - Emotional**

- *Most misunderstood by care givers.*

- *Acts unpredictably.*
- *Experience a roller-coaster of mood swings.*
- *Egocentric.*
- *Exploration of identity.*
- *Influenced more by peers than family.*
- *Heroes.*

*This domain is probably most misunderstood by care givers. If you think that an offender is angry and acting out, that is probably not the correct emotion. If you can recognize this, and act appropriately, critical incidents will go down.*

### **Side 12 - Social**

- *Most difficult to understand.*
- *More time with peers.*
- *Friendships mature.*
- *Exploration of male/female relationships.*
- *Dating begins.*
- *Initiation of one-on-one and active sexual relationships.*

*This is a critical domain because by the time an adolescent gets to adulthood they need to have one on one gender appropriate relationships. Unfortunately, prison does not lend itself to allowing adolescents to develop in this domain. For example, adolescents need some "alone" time. They may act out to get into administrative segregation just to get time alone.*

### **Slides 13 - 15 Adolescent Matrix**

*Look in your notebooks at the adolescent development matrix. You can follow along there and make additional notes as I talk.*

*We see these behaviors manifested in an atypical way, through criminal behavior. These tasks in the matrix must be accomplished for the adolescent to proceed to adulthood.*

*Note that even kids who don't go to prison may not go through these tasks and they end up having problems too. For example, adults that still act immaturely, like teenagers. Why? Because they have not mastered some of these critical tasks.*

*Programs can help address some of these deficits. Cognitive programming is one example.*

*So, looking at the first matrix, labeled "Early Adolescence." There are the four domains (physical, cognitive, emotional, social). Under each domain are the tasks that need to be accomplished to go to the next stage.*

*Some of the tasks in one domain can impact another. Physical pain from a "growth spurt" can impact the emotional or social domain.*

*It is important for staff to recognize this and do some probing to try to figure out what is going on. For example, you tell an offender it is time to go to a class and they say, "I don't want to go." You can write them up or you can ask another question, "Why?" He or she may respond that they hurt, don't feel good etc. You can let them sit down for a minute and then join the group.*

*Using this matrix will put you in a better position to impact behavior changes.*

## **PRACTICE**

*To close the session, let's do a little review. I will give you a specific issue. Tell me what approach(es) may be applied considering the information you have learned about stages of adolescent development.*

*An adolescent is ..... What approach would you use for early adolescence?*

*Middle adolescence?*

*Late adolescence?*

## **CLOSURE AND EVALUATION**

*The ability for correctional professionals to understand and apply adolescent development principles to the youthful offender population placed under their supervision is directly related to the effective and efficient services provided to this population. Appropriate supervision is critically important to the health and well being of adolescents, even if they happen to be placed within a criminal justice system.*

### **Trainer Note**

This is a required module. There is a page in the Action Planning Section (Case Planning - Reception to Release) of the workbook for the participants to complete.

#### **Adolescent Development**

- Based on what you know about adolescent development, which stage of development is your youthful offender in?
- What are his or her nutritional needs?
- What behaviors are you likely to see that are a reflection of their development stage?



## Adolescent Development

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## Performance Objectives

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- Describe the assumptions and principles underlying the adolescent development model
- Describe the Adolescent Development Matrix
- Apply these concepts to your work with youthful offenders.

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## Adolescent Development

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### Assumptions

- Adolescence is a process of growth
- Attitudes, beliefs and values are explored
- Cognitive restructuring and skills are acquired
- Developmental tasks are learned in four domains, across chronological stages

## Definitions

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### Developmental Theory

- A series of human growth stages
- Each stage has certain critical tasks that must be mastered for normal development to occur

## Definitions

### Developmental Stage

- A chronological period where certain behaviors, experiences, needs, and skills are common and distinguishable from other age groups.

## Definitions

### Critical Tasks

- Emotional, physical, psychological, and social functions which must be mastered to progress along the continuum of development.

## Definitions

### Adolescence

- A process during which young people, through a series of experiences, acquire greater:
  - Autonomy
  - Independence
  - Skill development
  - Emotional maturity

## Chronological Stages

- Early adolescence  
10 – 12 years of age
- Middle adolescence  
13 – 15 years of age
- Late adolescence  
16+ years of age

## Developmental Domains

### Physical

- Dramatic physical change
- Hair grows and darkens
- Genitalia in males, breasts in females enlarge
- Tremendous chemical and biological changes
- Increases in hormones

## Developmental Domains

### Cognitive

- Changes occur because of physical brain growth
- Educational and social experiences
- Exploration of alternatives
- Thinking is first concrete, then abstract

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## Developmental Domains

### Emotional

- Most misunderstood by care givers
- Act unpredictably
- Experience a roller-coaster of mood swings
- Egocentric
- Exploration of identity
- Influenced more by peers than family
- Heroes

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## Developmental Domains

### Social

- Most difficult to understand
- More time with peers
- Friendships mature
- Exploration of male/female relationships
- Dating begins
- Initiation of one-on-one and active sexual relationships

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### A Matrix of Developmental Tasks

#### Early Adolescence

Physical	Cognitive	Emotional	Social
Rapid growth; changes in body; puberty begins	Inconsistent thoughts	Seeks independence	Desire to fit in and be well-liked
Pubic hair thickens, darkens	Discover logic, reasoning	Starts mature relationships with siblings	Resist adult supervision, form cliques
Fidgets, squirms	Their opinion counts	Adult approval critical for self-esteem	Constant peer pressure
Needs lots of physical activity	Thoughts of self-consciousness	Appearance important	Experimentation (drugs and sex)

### A Matrix of Developmental Tasks

#### Middle Adolescence

Physical	Cognitive	Emotional	Social
Puberty continues (acne and body odor)	Think abstractly Learn by doing	Craves freedom Masks feelings	Friendships and romance improve
Form habits impacting life-long physical health	Academic separating from success & failure	Hormones, body changes lead to low self-esteem and confidence	Appreciates different viewpoints
Improved motor skills	Decreased parental influence	Needs privacy	Develops, defines self-concept
Poor health habits	Decreased creativity, flexibility	Increased sexual desire, experimentation	Improved communication, negotiation skills

### A Matrix of Developmental Tasks

#### Late Adolescence

Physical	Cognitive	Emotional	Social
Boys' growth doubled since age 12	Critical thinking, reasoning begins	Develops personal identity	Peer pressure declines
Physical tasks learned, managed	Contemplates meaning of life	Increased self-esteem	Increased need for parental love, care, respect
Increased appetite	Beliefs, values, attitudes, career choice develops	Develop decision making, stress management, problem solving skills	Heterosexual groups, same sex friendships
Eating disorders may appear	Limited creativity		Involved with social causes
Life patterns consistent	Increased peer conformity	Friendships based on mature intimacy	

# **Performance Objectives**

## **ADOLESCENT DEVELOPMENT**

As a result of this module you will be able to:

- Describe the assumptions and principles underlying the adolescent development model.
- Describe the Adolescent Development Matrix.
- Apply these concepts to your work with youthful offenders.

## A MATRIX OF DEVELOPMENTAL TASKS

### EARLY ADOLESCENCE

Physical	Cognitive	Emotional	Social
<ul style="list-style-type: none"><li>❖ Rapid growth, changes in body. Puberty begins.</li><li>❖ Pubic hair thickens, darkens.</li><li>❖ Fidgets, squirms, can't sit still.</li><li>❖ Needs lots of physical activity.</li></ul>	<ul style="list-style-type: none"><li>❖ Inconsistent thoughts.</li><li>❖ Discover logic, reasoning.</li><li>❖ Their opinion counts.</li><li>❖ Thoughts of self-consciousness.</li></ul>	<ul style="list-style-type: none"><li>❖ Seeks independent relationships.</li><li>❖ Starts mature relationships with siblings.</li><li>❖ Adult approval critical for self-esteem.</li><li>❖ Appearance important.</li><li>❖ Girls feel less attractive.</li></ul>	<ul style="list-style-type: none"><li>❖ Desire to fit in and be well liked.</li><li>❖ Resist adult supervision. Form cliques.</li><li>❖ Constant peer pressure.</li><li>❖ Experimentation with smoking, drugs and sex.</li></ul>

## A MATRIX OF DEVELOPMENTAL TASKS

### MIDDLE ADOLESCENCE

Physical	Cognitive	Emotional	Social
❖ Puberty continues (acne and body odor present).	❖ Think abstractly. ❖ Learn by doing.	❖ Craves freedom. ❖ Masks feelings. ❖ Needs privacy. ❖ Hormones, body changes lead to low self-esteem and confidence.	❖ Friendships and romance improve. ❖ Appreciates different view points. ❖ Develops, defines self-concept.
❖ Form habits impacting life-long physical health.	❖ Academic separating of success and failure.	❖ Increased sexual desire, experimentation.	❖ Improved communication, negotiation skills.
❖ Improved motor skills.	❖ Decreased parental influence.	❖ Needs praise and approval.	❖ Hangs with other teens, same sex groups.
❖ Poor health habits.	❖ Decreased creativity, flexibility.		

## A MATRIX OF DEVELOPMENTAL TASKS

### LATE ADOLESCENCE

Physical	Cognitive	Emotional	Social
❖ Boys' growth doubled since age 12.	❖ Critical thinking, reasoning begins.	❖ Develops personal ID. ❖ Increased self-esteem.	❖ Peer pressure declines.
❖ Physical tasks learned, managed.	❖ Contemplates meaning of life.	❖ Develop decision making, stress management, problem resolution skills.	❖ Increased need for parental love, care, respect.
❖ Increased appetite.	❖ Beliefs, values, attitudes, career choice develops.	❖ Friendships based on mature intimacy.	❖ Heterosexual groups; same sex friendship.
❖ Eating disorders may appear.	❖ Increased peer conformity.		❖ Involved with social causes.
❖ Life patterns consistent.	❖ Limited creativity.		❖ Appearance important..

# **ADOLESCENT DEVELOPMENT**

**Applying what you have learned.**

- Think about a youthful offender that you work with.
- Based on what you know about adolescent development, which stage of development is your youthful offender in?
- What are his or her nutritional needs?
- What behaviors are you likely to see that are a reflection of their development stage?



**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** Criminal Thinking and Strategies for Change

**WRITTEN BY:** Kerry LaFramboise and Mark Gornik, February 2002

**TIME FRAME:** 2 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Describe the logic of criminal thinking, how it produces criminal behavior, is associated with criminogenic risk factors, and imposes limitations on the offender's ability to perceive the world.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals  
who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at  
each table

**REFERENCES**

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **Slide 1 – Title Slide - Criminal Thinking**

### **ANTICIPATORY SET**

*In order to understand youthful offender behavior it is important to revisit how behavior can be affected by the way they think and process information.*

### **Slide – 2 Objectives**

*In this module we will look at the logic of criminal thinking and how it produces criminal behavior. We will examine its association with criminogenic risk factors and how it imposes limitations on the offender's ability to perceive the world.*

*Let's look at a model that can help identify the beliefs behind the behavior they are exhibiting: The Franklin Reality Model defines addiction as short term, compulsive behavior. Usually when we think of addiction, we think in terms of substance abuse. This model however considers addiction as a more general behavior pattern.*

### **Slide 3 – Franklin Reality Model**

*Hyrum Smith, President of the Franklin Quest, (the Franklin Planner company which holds the copyright for the Franklin Reality Model) feels that the model can help individuals and organizations change their personal and organizational behavior.*

*As I mentioned, often when we hear the word "addiction," we think about someone who is addicted to drugs or alcohol, which is true, but it encompasses more than just substance abuse. Hyrum Smith says that, "Addiction is compulsive behavior with short term benefits and long term destruction." We may become trapped in addictive behaviors that rob us of our productivity and our health. Smith says that, "Addiction is the result of deep and unmet needs."*

### **Slide – 4 Basic Needs**

*What does that mean? Well, each of us has four basic needs:*

*"The need to live (survival);  
The need to love and be loved;  
the need to feel important; and  
the need to experience variety." (Hyrum Smith)*

*Trying to fulfill one or more of these needs can cause all sorts of behavior including addiction.*

*We all have a set of principles that drive our behavior. As we grow up and live we come to believe that certain things are true. "Everything you see, hear and do becomes a part of you." Futurist Joel Barker calls this phenomenon a "paradigm." Joel Barker defines a paradigm as a set of rules and regulations,*

written and unwritten, that do two things: 1) establishes or defines boundaries and 2) tells you how to behave inside the boundaries in order to be successful. This then drives your behavior.

Having a set of principles or paradigms is necessary. All of us need boundaries. Boundaries help us predict behavior. We may think that we know what people believe based on what they do. We have created paradigms in our minds about everything. As we progress not only with our careers but also in life, we must work to open our paradigms (boxes) to accept new information, information that may seem foreign or even wrong. If we don't allow this new information into our paradigms, we will be doomed to dealing with new issues using old ideas, continuing behaviors that no longer work for us.

How do we know if a behavior is still okay? The way to tell if we have a correct principle on our "belief window" is to determine if the results of the behavior will meet our needs. If the results meet our needs, then we have a correct principle. The problem with addictive behaviors is that results take time to measure. People who are addicted to alcohol or tobacco may feel that their behavior is okay because it meets their immediate needs to feel better. But the long-term effect could cause health problems or even death.

Let's take some time now to practice with this idea of how our beliefs can affect our behavior.

#### Trainer Note

Divide the participants into small groups of 5 to 8 participants each. Give each group an example of a person and their belief. Based on the example ask each group to identify the need driving the belief, the if-then rules, the behavior and the results.

Here is one example: Tell one group that they represent a correctional officer. As this correctional officer, they have a principle on their belief window that all programs are a waste of time and a security risk.

Based on that principle, describe which of the four basic needs would drive a principle like that. List your "if- then" rules. What is your behavior going to look like and what are the results? Will the results of your behavior based on this belief, meet your needs over time?

Give each group about 10 or 15 minutes to do the exercise and 10 or 15 minutes to report out.

This is a good way to bring up existing beliefs with the participants which may be barriers to applying the "what works" research. When you debrief the exercise focus on getting people to objectively look at their beliefs and how they do or don't get them the results they want over time.

## **Slide 5 and 6 - Seven Natural Laws**

*If we want to change how we behave in certain situations we need to examine the principles that drive that behavior and determine if the results of that behavior will meet our needs over time. Here are Hyrum Smith's Seven Natural Laws.*

### **Trainer Note**

Review the 7 Natural Laws:

1. If the results of your behavior do not meet your needs there is an incorrect principle on your belief window.
2. Results take time to measure.
3. Growth (repentance) is the process of changing principles on your belief window.
4. Addiction is the result of deep and unmet needs.
5. If your self-worth is dependent on anything external you are in big trouble.
6. When the results of your behavior meet your needs over time, you experience inner peace.
7. The mind naturally seeks harmony when presented with two opposing principles.

## **Slide 7 – Steps to Behavior Change**

*Changing behavior whether it is our own or helping others to change theirs is a process of examining the principles we believe and changing those that do not meet our needs over time. Hyrum Smith identified six steps to follow:*

1. Identify the behavior patterns.
2. Identify possible principles driving the behavior. (Ask why . . .?)
3. Predict future behavior based on those principles.
4. Identify alternative principles.
5. Predict future behavior based on the new principles.
6. Compare steps 3 and 5. Which makes sense?

*This model speaks volumes to individuals struggling to meet their needs with addictive behavior or by trying to get others to change their behavior. We cannot change the behavior of other people. We can only change our behavior. And maybe when we do, others will respond to the changes in us. When our behavior meets our needs over time we will be happy with ourselves.*

## **Slide 8 – Antisocial Logic**

### **ANTICIPATORY SET**

*It is important to learn the “logic of criminal thinking” and how it produces criminal behavior (criminogenic risk). Once this is understood, we can begin to appreciate how criminal logic imposes limitations on the young offender’s ability to perceive the world. For example, young offenders see situations in terms of “win-lose,” they also lack empathy, which as we shall see are patterns of criminal thinking.*

## **Slide 9 – Rewards of Criminal Logic**

*If we understand criminal logic, we can then ask ourselves, “What effect will punishment have on someone who used this criminal logic?” This leads to a better understanding of the emotional conflicts and power struggles that are inherent in working with the youthful offender population.*

*Another factor to consider is the relationship between thoughts and behaviors that are not necessarily criminal but might cause problems or present the risk to do something irresponsible or hurtful. So let’s take a few minutes to explore what this means to you and your work with youthful offenders. With the understanding that offenders do not all fit into nice little categories, I would like you to take a few minutes now to think about that by answering the following questions:*

- *Describe the offenders you currently work with.*
- *Describe the attitudes you see in the majority of offenders relative to authority and rules.*
- *Describe the kind of thoughts that you hear from offenders when they talk.*
- *Describe the offenders belief system.*
- *What beliefs do offenders have?*
- *Describe offender behaviors that you typically have to respond to in a correctional environment.*

### **Trainer Note**

Have questions written on chart paper. Debrief by hearing several responses to each statement or questions.

*So what does this all mean? It basically describes something known as cognitive structure.*

## **Slide 10 – Cognitive Structure**

*As human beings, we all develop a cognitive structure, a particular way of viewing the world and the daily events that make up our lives. This cognitive structure is developed and reinforced over time. Our cognitive structure shapes our attitudes and belief systems, which in turn help reinforce our cognitive structure. The words we say in our minds (often called “self-talk”) help us understand what this cognitive structure is.*

*There are many ways to describe, explain, or define the terms: distortions, thinking errors, and risk. It is not important which term is used to describe the thinking. What is important is that the offender is able to understand and put into words why it is important that he/she understand the impact their thinking has on their behavior. In other words, one should focus on the content of the thought and not the label.*

*Using your responses to the questions about offender attitudes and beliefs, describe some of the thoughts that might be present in an offender’s self talk that would help shape the offender’s cognitive structure. For example an offender’s self talk might sound like this, “No one is going to control me” or “Everyone is selfish.”*

### **Trainer Note**

Give participants about five minutes to jot down some examples of offender “self-talk,” tell them you will hear some responses in a little while. Next, present the first of the three thinking patterns then have participants share “self-talk” examples that fit that particular pattern. After you present all three patterns, ask them for other examples they had that did not fit any one of the three you described.

As we build the picture of this cognitive structure, we begin to see patterns of thinking. We will highlight three major patterns here. Listen to see if any of your examples fit into one of these three.

## **Slide 11 – Patterns of Thinking**

How would you describe someone that had a thinking pattern labeled “victim stance”?

### **Trainer Note**

Tie in the participant’s descriptions with the actual definition that follows:

This is a position the criminal takes when they are held accountable for their actions. The criminal believes that they are not responsible for their actions and that he or she is the victim! Anything that goes wrong in their life is someone else’s fault. The world doesn’t give them what they think they are entitled to, so they view themselves as poorly treated and thus a victim.

This type of thinking is extremely limiting. It prevents the offender from being able to see things from another person’s perspective (empathy). Because, how can you see

from someone else's perspective if you are always the victim? How can you put yourself in someone else's shoes if you are always the victim?

*Looking at the examples of self-talk you have written, what are some that fit this victim stance pattern of thinking?*

**Possible responses**

Responses will vary.

Using victim stance as a repeated form of self-talk, coupled with offender logic will block the offenders' ability to conceive of another person's point of view or experience.

**Entitlement**

Entitlement is a second pattern of criminal thinking.

**Trainer Note**

Again, ask the participants for their understanding of this thinking pattern. Listen to their responses and tie them in as needed with the actual definition:

Since the criminal has suffered (victim stance), they are entitled to be paid back by life. Everything should be easy for the criminal. They should not have to exert any effort towards getting a job, a relationship, a car, love, friendship, etc. If they make a mistake or do something illegal, they should not have to experience any consequences. People should understand that they made a mistake because they are/were a victim of .... (You name it!)

*What are some examples of self talk that fall under this pattern?*

*Can you see the trap? How can you see the win-win in a given situation if you are always thinking that you are entitled? If you cannot see the win-win in a given situation, how likely is it that you will ever invest yourself in a compromise?*

*What impact does this form of logic have on the offender's response to rules in a correctional environment?*

**Possible responses**

Responses will vary.

*The final pattern of thinking we will discuss is righteous rage.*

**Righteous Rage**

*Righteous rage is about anger. Anger is a basic part of the criminal's way of life. They respond angrily to anything they interpret as opposing what they want for themselves. Anger is a major way of controlling people and situations.*

*What are some situations that you have seen or in which offenders have demonstrated this form of logic?*

**Possible responses**

Responses will vary.

*How well can you listen to someone else or reason with someone else when you are emotionally attached to your point of view? What if this type of response becomes a pattern of your logic? Would it inhibit your ability to reason or see the win-win in a given situation?*

*Again, we can begin to see the limitations that patterns of logic can produce when those patterns become ingrained*

*Did you have any other examples that didn't fit into these three patterns of victim stance, entitlement or righteous rage?*

**Possible responses**

Responses will vary.

**Practice Exercise:**

Using the patterns of logic that you have just reviewed, work in your small groups to answer these questions:

If I am an offender who has victim stance, entitlement, or righteous rage as a pattern of my logic and am placed in a jail, prison, or under community supervision, how do you think I will respond to rules in that correctional setting?

If I am caught breaking the rules and suffer a consequence of breaking the rules, how do you think I will internalize the experience of being held accountable?

**Trainer Notes**

Debrief the activity by hearing some responses.

**Slide 12 – Application of Punishment**

*The application of punishments in and of itself often does little to disengage offenders from patterns of thinking that re-enforce the logic of crime and the logic of non-accountability. This phenomenon helps to explain how criminals fail to learn from prior negative experiences and why the simple application of negative experience, alone, does little to change criminal logic and little to change criminal behavior.*

*How does a concept like, "If you make the consequence bad enough the behavior will change" fit into what we have described as the phenomenon of criminal logic?*

*How do correctional sentencing practices like, "Three strikes and you are out" impact this form of logic?*

### **Slide 13 – Pro-social Logic**

*The "Just Desserts" model of criminal justice is based on pro-social logic systems. Pro-social people explore the potential consequence of an action before engaging in the action. Pro-social people weigh the potential outcome against a whole set of criteria based on a cognitive structure, a structure that is connected to a belief system of values and morals. As pro-social people then, it is logical for us to conclude that if you make the consequence bad enough the behavior will change. The reason this logic is not successful with criminal populations, juvenile or otherwise, is that criminals do not process these events in the same way. Rather, the patterns of logic that make up their cognitive structure, inhibit their ability to use ends/means reasoning; to see the win-win in a given situation; and to see and appreciate the nature of a problem from another person's perspective. The use of punishments alone does little to change behavior because the use of punishments alone, most often, does not change the cognitive structures of offenders.*

### **Slide 14 – Consistency is Key**

*This does not mean that consequence or punishments should be avoided with criminal populations. Just the opposite is true! The consistent, fair, and reasonable application of consequence is essential in managing criminal populations. However, the reliance on consequence alone to alter or influence the cognitive structures of offenders, which drives their criminality, has not proven to be effective with criminal populations! That is why cognitive restructuring programs such as the Cognitive Self-Change program are so important in providing criminal populations with meaningful opportunities to change.*

### **Slide 15 - "You become part of what you are around!"**

*The next concept that we will discuss is the idea the "You become part of what you are around!" For example, research shows that in the field of medicine that a certain percentage of people studying a particular disease will actually take on the symptoms of that disease without ever actually contracting the disease.*

*Another example many of you may be familiar with is what happens when a person relocates from one part of the country to another. If the dialect is a little different in your new location, and you stay in that area for a period of time, you will start to speak more like those people around you.*

*What are some other examples of this phenomenon?*

*This being true, is it not logical to expect that as corrections professionals we might begin to adopt some of the cognitive patterns that offenders display?*

*Have you ever seen any of your peers displaying logic that looks like victim stance, entitlement, and righteous rage?*

*How does this type of logic impact the culture of your organization?*

*Does this type of logic increase or decrease a person's ability to manage stress on the job?*

*If you cannot manage your stress on the job what are the potential consequences for yourself, your family, your co-workers, etc.*

*If these patterns affect us, as has been demonstrated, how would they affect the youthful offenders ability to change their behavior?*

### **Slide 16 - Examining Thinking Patterns**

#### **Trainer Note**

This activity will demonstrate to participants how they can examine their thoughts and beliefs. This will give them insight into how offenders can do the same thing and begin to change their behavior based on in depth examination of their thoughts in various situations.

At this time mention to the participants that you will be asking for volunteers later today for a role-playing exercise.

Now, using a chart paper, draw a line down the center of the paper. Tell the participants to each take out a piece of paper and draw a line down the center of the paper as you have demonstrated.

At the top of one half of the chart page write the following words and ask the participants to do the same on their paper: "*What I need to do to get the most from today's training on criminal thinking.*"

After you have written these words down on the top of one half of the chart page, ask the participants to list for themselves, four or five different things they need to do as participants to get the most from this training. Stress that these are to be the participants' responsibilities, not the trainers. Allow about 5 minutes for participants to complete this task.

On the other side of the line at the top of the page write the word "situation," and ask the participants to do the same. As you write the word "situation," define this word as, "a brief, objective reporting of a specific subjective event." Restate this definition several times.

Under the word "situation," write the following on the chart paper, and ask the participants to do the same on their piece of paper.

*"Remember I said that I will be asking for volunteers to role play after the break. Does that statement meet the criteria for the definition of a situation? Is it a brief objective description of a specific subjective event?"* The answer you are looking for is, "yes."

Once that has been established, ask the participants to do the following: *"Under situation I want you to write down four or five thoughts you had when I said that I would be asking for volunteers. Please do not edit your thoughts. Write them down just like they happened in your head. Next to at least one of your thoughts I want you to write down what it felt like when you had this thought. Was there some emotion connected to this thinking? If so please describe it.* Allow participants about 5 to 10 minutes to complete this step.

On the chart paper number 1 through 5 under the situation, leaving enough space to write a statement beside each number.

When the participants have completed writing down their thoughts ask this question exactly like this: *"Does the thinking you wrote down, relative to this situation, move you closer to, or further away from, what you say is important to you in getting the most from this training about criminal thinking?"* Repeat this question several times and ask the participants to just answer the question for themselves. Allow three or four minutes to pass before moving on.

Go back to the side of the chart that has the heading: *What I need to do to get the most from this training.* Ask the participants to give you some of their examples and write these examples on the flip chart.

#### Possible responses

Fully participate, take risks; be open to new ideas, etc.

Move to the other side of the chart and ask the participants to give you examples of their thinking. List all of the thoughts that do not support volunteering in one color and any thoughts that do support volunteering in another color. Reaffirm for the participants that it is not our job to judge these thoughts, they are not "good thoughts or bad thoughts" they are simply a reflection of your thoughts in this situation. After you have listed four or five thoughts from the participants, ask this question: *"Looking at these thoughts, if you were to have thoughts just like this, what is the likelihood that you would volunteer to role play?"* Ask for some discussion! Some additional follow up questions that you can ask:

- *Can you see how each thought builds from the preceding thought?*
- *Can you see how a particular pattern of thinking can begin to eliminate the potential choices in any given situation?*

- Do you really experience having choices or options, if you are always locked into the same pattern of logic?
- If you can't see the choices you have, could this help explain why you might revert back to doing the same old thing you have always done, even if you don't like the results?
- How does this relate to offenders who return over and over again to prison?

Ask the participants to list some of the emotions that they experienced with the thoughts they wrote down. List these emotions on chart paper. Ask the participants a question like, "Why is it important to understand and reflect on emotions as well as thinking?" In this discussion, emphasize that it is often easier to remember what we were feeling than what we were thinking; that feelings are a very important part of becoming aware, in an objective way, of a very subjective experience. By understanding the emotional content of certain experiences we can begin to increase our awareness of how we think in those experiences.

Go back over the exercise and use a thought that would support doing the role-play. Ask the participants a question like: *Imagine that you had a thought like, 'Role plays can be fun,' or, 'I do role plays well.' If you had a thought like that, what would be the likelihood that you would volunteer to role play?"* As you have this discussion, introduce the concept of interventions.

"*Interventions*" are alternative thoughts that support a different behavior or outcome. Ask the participants to give you some examples of alternative thoughts that they might have that would support the behavior of volunteering to do the role-play.

### **Examine Thinking Patterns**

#### **KEY POINTS**

Now, go back over the dynamics of this exercise to emphasize these points.

*These are the steps then to examining thinking patterns and coming up with alternative ways to behave in a given situation. The process is called a "thinking report."*

- Capture a specific space in time and define this space as a situation. A "situation" is a brief objective description of a specific event.
- Examine the logic that supports a particular behavior, based on this situation.
- Ask participants to write down their thoughts and feelings, just like they happened in their minds, without editing.
- Examine that logic in non-threatening, non-judgmental ways.
- Examine interventions, or alternative ways of thinking in that situation.

## **CRIMINAL CONTINUUM**

### **Trainer Note**

The purpose of this section is to illustrate crime, criminality, and criminal thinking as a continuum.

*If we begin to see criminality as a continuum, it allows us to examine concepts like risk factors or stages of personal change and then you can begin to gauge how or if change is really occurring in the offenders who are in this program.*

*Take a few minutes in your small groups to answer these questions:*

- How can you tell when an offender is really changing?
- Don't we all have thinking errors, or criminal thinking?
- What makes us different than people who end up in prison?

### **Trainer Note**

Debrief the questions by hearing a variety of responses.

### **Slide 17 – Criminal Behavior Continuum**

*We may diagram this continuum with no crime, and responsible behavior at one end of the continuum and extreme irresponsible and habitual criminal thinking and acting at the other. A continuum can be established in terms of something specific and easily measured, such as height, or criminal behavior. This continuum can also describe less tangible entities such as personality features, which can be conceived as lying along a continuum. For example: larceny; we would say that a person with no thoughts of larceny moving to a more feeble desire to commit larceny is at one end of the continuum and a person for whom larceny is virtually a way of life is at the other end. The emphasis of the continuum is on the thinking and behavior that the irresponsible but non-arrestable person, the petty thief and the professional criminal all manifest, but to different degrees and with different consequences.*

*Example: A person who lies frequently and habitually usually also has many of the characteristics of the arrestable criminal. A responsible person may also lie, but infrequently and not habitually. In his case lying is not a way of life. It may be just a piece of ice floating in a sea, or it may be the tip of the iceberg that contains the entire spectrum of criminal patterns, untruthfulness being only one element. (Explain how as one moves back and forth on this continuum the characteristic thoughts, attitudes, beliefs, etc. combine to become who they are, their personality, rather than an isolated thought/behavior.) This is how you can begin to measure change from criminal values, thoughts, and belief systems to more pro-social thoughts, beliefs, attitudes, etc.*

*As a person moves farther on the continuum toward arrestable and/or extreme crimes, thinking processes that support criminality have become very centered on self-servicing objectives at the expense of others. As a person moves toward this end of the*

*continuum, their risk to offend increases correspondingly. This identification of thinking patterns is a good means of risk predication and aids in strategies for risk reduction. (Explain that on the extreme left of the continuum are other centered people who have a balance on how to take care of themselves, (meeting their needs) while considering the needs of others, (family, friends, community, etc.) While on the other end of the continuum are those who see feeling good, being right, looking good, power and control, etc., as needs to be satisfied at any expense, including the expense of others. Explain that once these self-centered values become the offender's only point of view the choice to think pro-socially seems practically non-existent.)*

#### **Self-centered/other-centered**

*For the person who moves farther on the continuum towards arrestable and/or extreme crimes, their thinking processes have become much distorted, and have become automatic and habitually centered around self-serving objectives at the expense of others. It is no longer what they do; it is who they have become. It is no longer isolated thinking errors; they are very entrenched in the thought processes that are automatic and habitual.*

#### **Trainer Note**

Explain and draw attention to the line on the continuum, illustrating the loss of control and boundaries. Upon crossing this line, people are no longer willing to self-adjust based on legal, social or moral limits or consequences. Give some examples such as: Get ticket, be angry, pay ticket; as opposed to Get ticket, get angry, throw ticket away, be rude to officer.

Explain that just as the continuum can be used to measure the degree (amount, frequency and severity of criminal thought, behavior and risk to re-offend) it can also be used to gauge and measure the degree of change or the decreasing risk of criminal behavior.

Explain that by allowing the offenders to place themselves on this continuum they can see how movement away from criminality can be achieved and measured which reinforces the concept of self-change. Also, explain how observing offenders placing themselves on the continuum can be a diagnostic tool for staff to gauge their degree of self-awareness.

Refer to the box in the lower right hand corner of the criminal continuum over-head and give examples of wrong thing-wrong reason; right thing-right reason; right thing-wrong reason; right thing- because I care. Explain how in the later stages of the program, pro-social sentiments like empathy and care for others begin to develop.

*How might you use this concept of "criminal continuum" to gauge changes in offenders over time?*

*Are there other ways to use this concept?*

*What are some other examples of "Right Thing for the Right Reason" thinking?*

**Trainer Note**

Debrief by having several participants share their thoughts.

**Possible responses**

*The youthful offenders we supervise need to be able to move beyond what they currently think they see or know if they are to grow and to change. Let's take a look at the process for doing that.*

**Slide 18 - The Change Process**

The change process is, as most of us know, not an overnight process. It has taken years to lay down interwoven patterns of thoughts, beliefs, etc., and it may take years of hard work to lay down new ones.

**Slide 19 – Progression**

Change progresses as the offender moves from:

- Wrong thing-wrong reasoning, to
- Right thing-wrong reason (selfish), to
- Right thing-right reason, to
- Right thing with pro-social sentiment (caring).

**Slide 20 – Disguised Motives**

*It takes a long time to outgrow selfish thoughts and habits. Therefore, selfish values, motives and goals may be disguised by what seem to be helpful or pro-social ones. Giving away drugs and calling it generosity is one example. Helping someone with strings attached is another. Telling someone what he or she wants to hear to get your way is yet another example. What are some others?*

**Slide 21 - Finding Balance**

*We often go from one lack of proportion to another in finding a balance that meets our basic needs. We may even have good motives to start with. Example: Going from no exercise at all to exercising all the time for the "feeling" and making other responsibilities and people wait until I get my workout in.*

*Can you think of some other examples?*

## CLOSURE AND EVALUATION

### Trainer Note

This is a required module. There is a page in the *Case Planning - Reception to Release* section of the workbook for the participants to complete (once they have completed this *Overview* module and the *Criminal Thinking* module.)

#### Criminal Thinking/What Works

Keeping in mind what you have learned in the *Overview of What Works*, add to your case plan by completing the following information.

- What attitudes and beliefs do your youthful offenders hold?
- Describe what you know about the crime they committed.
- Describe what you know about any victims involved.
- Describe his or her employment history.
- Describe his or her past substance use.
- Describe the criminal beliefs, attitudes, and behaviors he or she exhibits.
- Which of these attitudes and beliefs do you think are most predictive of continued criminal behavior on the part of this youth?
- Describe how the youthful offender reacts to: Institutional rules, people in authority, friends, and family members.
- What activities or programs will you target this youth for to reduce that risk?

## CRIMINAL THINKING AND STRATEGIES FOR CHANGE

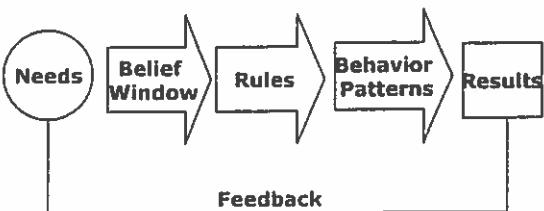


### Objectives

- Describe the logic of criminal thinking, how it produces criminal behavior, is associated with criminogenic risk factors, and imposes limitations on the offender's ability to perceive the world.



### The Franklin Reality Model



### 4 Basic Needs

- The need to live (survival);
- The need to love and be loved;
- The need to feel important; and
- The need to experience variety.

Hyrum Smith, President of the  
Franklin Quest

## 7 Natural Laws (Hyrum Smith)

1. If results of behavior don't meet your needs there is an incorrect principle on your belief window.
2. Results take time to measure.
3. Growth (Repentance) is the process of changing principles on your belief window.

## 7 Natural Laws (Hyrum Smith)

4. Addiction is the result of deep/unmet needs.
5. If self-worth is dependent on anything external you're in big trouble.
6. When results of behavior meet your needs over time, you experience inner peace.
7. The mind naturally seeks harmony when presented with two opposing principles.

## Steps to Behavior Change

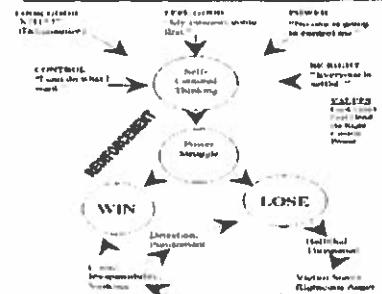
1. Identify the behavior patterns.
2. Identify possible principles driving behavior.
3. Predict future behavior based on those principles.
4. Identify alternative principles.
5. Predict future behavior based on the new principles.
6. Compare steps 3 and 5. Which makes sense?

## Antisocial Logic

Criminal thinking imposes limitations on the young offender's ability to perceive the world.



### **Learning the Rewards of Criminal Thinking**



### **Cognitive Structure**

- A particular way of viewing the world and the daily events that make up our lives

10

### **Patterns of Thinking**

- Victim stance
- Entitlement
- Righteous rage

11

### **Application of Punishment**

- Does little to disengage offenders from patterns of thinking that reinforce the logic of crime and the logic of non-accountability
- Criminals fail to learn from prior negative experiences

12

## Pro-social Logic

- Explore potential consequences
- If consequence is bad enough, behavior will change

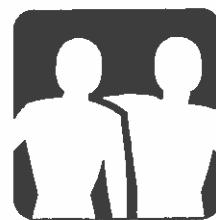
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## Consistency is Key

- Consistent, fair, and reasonable application of consequence is essential in managing criminal populations
- Reliance on consequence alone has not proven to be effective with criminal populations

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**"You become part of what you are around!"**

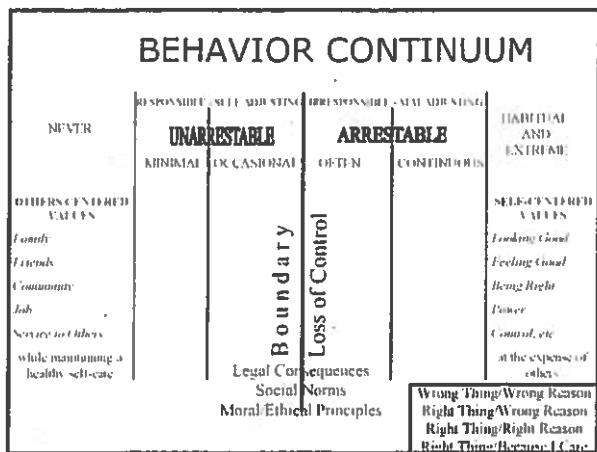


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## Examine Thinking Patterns

- Capture a "situation"
- Examine the logic that supports a particular behavior
- Write thoughts and feelings
- Examine that logic
- Examine interventions

16



## Change Process

- Not an overnight process
- Takes years to lay down interwoven patterns of thoughts, beliefs, etc.
- Takes years of hard work to lay down new ones

18

## Progression

Change progresses as the offender moves from:

- Wrong thing-wrong reasoning, to
- Right thing-wrong reason (selfish), to
- Right thing-right reason, to
- Right thing with pro-social sentiment (caring)

19

## Disguised Motives

- Helping with strings attached
- Telling someone what he or she wants to hear

20

## Finding Balance



21

# **Performance Objectives**

## **CRIMINAL THINKING AND STRATEGIES FOR CHANGE**

As a result of this module you will be able to:

- Describe the logic of criminal thinking, how it produces criminal behavior, is associated with criminogenic risk factors, and imposes limitations on the youthful offender's ability to perceive the world.

# Patterns of Thinking

## VICTIM STANCE

This is a position the criminal takes when they are held accountable for their actions. The criminal believes that they are not responsible for their actions and that they are the victim! Anything that goes wrong in their life is someone else's fault. The world doesn't give them what they think they are entitled to, so they view themselves as poorly treated and thus a victim.

### Example

You get fired from work. You think, "My boss is a jerk who treats me unfairly. I wasn't late that often. He is just picking on me."

### Immediate Payoff

I don't have to take responsibility for my own mistakes.

### Consequences

By using anti-social logic, the criminal does not learn from their mistakes. They alienate others because they blame them for their problems. They are always looking for someone to fix things for them and it never happens.

- How can you see from someone else's perspective if you are always the victim?

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- How can you put yourself in someone else's shoes if you are always the victim?

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## **ENTITLEMENT**

Since the criminal has suffered (victim stance), they are entitled to be paid back by life. Everything should be easy for the criminal. They should not have to exert any effort towards getting a job, a relationship, a car, love, friendship, etc. If they make a mistake or do something illegal, they should not have to experience any consequences. People should understand that they made a mistake because they are/were a victim of ... ..... (you name it!)

### **Example**

You can't believe the judge fined you \$1000 for your DUI. He should understand. You don't have that kind of money. You come from a poor family; your dad was an alcoholic. Given your history, staying sober is very, very hard for you.

### **Payoffs**

- *Describe the payoffs of entitlement:*

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### **Consequences**

- *What are the consequences of entitlement?*

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At your table take about five minutes to discuss these questions about entitlement:

- How can you see the win-win in a given situation if you are always thinking you are entitled?

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- If you can't see the win-win in a given situation, how likely is it that you will ever invest yourself in a compromise?

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- What impact does this form of logic have on the offender's response to rules in a correctional environment?

## **Righteous Rage**

Anger is a basic part of the criminal's way of life. They respond angrily to anything they interpret as opposing what they want for themselves. Anger is a major way of controlling people and situations.

Take a few minutes to discuss the following questions:

- What are some examples where you have seen offenders exhibit this form of logic?

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- What did they say or do?

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- How well can you listen to someone else or reason with someone else when you become very emotionally attached to your point of view?

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- What if this type of response becomes a pattern of your logic?

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- Would it inhibit your ability to reason or see the win-win in a given situation?

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- What are some examples of where you have seen offenders break the rules, were sanctioned for it, and still were able to not take responsibility for what they did?

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## **Thinking Reports**

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This is how to write a Thinking Report:

- Write a brief, objective description of the situation.
- Write down all the thoughts you can remember having in this situation.
- Write down all the feelings you can remember having in this situation.
- Write down all the attitudes or beliefs that were part of your thinking in this situation

Once you complete the Thinking Report, do the following:

- Review your thinking report.
- Identify one key thought that puts you at risk of doing something hurtful.
- Identify one new thought, belief, or attitude that you could use to reduce the risk.
- Sketch a realistic scenario using your new thinking as an intervention.

## **Format For A Thinking Report**

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### **Situation**

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### **Thoughts**

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### **Feelings**

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### **Identify Risky Thinking**

*What are some examples of risky thinking in this situation?*

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### **Finding New Ways to Think**

*What are some intervention thoughts and counter beliefs that might come from this situation?*

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### **Counter Beliefs**

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# Example of an Offender Thinking Report

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**Situation**      *Wanting to get high.*

## Thoughts

- Man, I'd like to smoke a fat log.
- I could smoke one and it wouldn't effect my urine.
- I'd have time to get clean before my next test.
- I only need 2 weeks to get clean before my next test.
- They might not even test me.
- As long as they don't see me, they can't test me.
- I can get one right now, no problem.
- It sure would be nice.
- It doesn't hurt anything.
- It helps me sleep good.
- One joint wouldn't hurt.

## Feelings

- Confused
- Pressured
- Challenged
- Desperate
- Threatened
- Defiant

## Beliefs

There's nothing wrong with it. It should be legal.

## Core Beliefs

I don't have to do anything I don't want to. No one has the right to tell me what to do.

## Identify Risky Thinking

I might get away with this and more.

## Finding New Ways to Think- Intervention Thoughts

- I made a commitment, and I want to stand by it.
- If I do it, I'll never get out of here.
- You know it wouldn't be just one joint
- Eventually, they'd test me again.
- I can't give them the satisfaction.
- I want out of here.
- It's just not worth it.

## Counter beliefs

I'm not doing this for them; I'm doing it for me. Doing this doesn't make me less than them. Sometimes a woman/man has to do things he/she doesn't want to.

## **Four Steps of Cognitive Change**

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**Step 1:** Pay attention to your thoughts and feelings.

- Identify patterns and cycles of that thinking.
- Identify underlying attitudes and beliefs that drive the thinking.

**Step 2:** Recognize when your thoughts and feelings have risk of leading you to do something hurtful.

- Identify risk distortion and thoughts that cause your problem.
- Appreciate the scope and consequences of this thinking.

**Step 3:** Use new thinking to reduce that risk.

- Develop interventions, controls, and alternative ways of thinking.

**Step 4:** Practice until you're good at it.

- Organize a plan to make and sustain change.
- Apply and monitor that plan.



**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** Classification and Risk/Needs Assessment

**WRITTEN BY:** Edward J. Latessa, Ph.D. and Lawrence F. Travis, III, Ph.D. 2001

**TIME FRAME:** 4 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Describe the elements of classification and assessment.
- Describe the salient factors that are important in classification and assessment of the youthful offender population.
- Develop a plan to use classification and assessment processes with youthful offenders.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals  
who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at  
each table

**REFERENCES**

- Bonta, J. (1996) Risk-Needs Assessment and Treatment. In A.T. Harlan (Ed.). *Choosing Correctional Options that Work*. (pp.18-32) Thousand Oaks, CA: Sage.
- Clear, T. R. (1995) The Design and Implementation of Classification Systems. *Federal Probation*, 59(2):58-61.
- Hoge, R. and D. Andrews (1996). *Assessing the Youthful Offender: Issues and Techniques*. New York, NY:Plenum.
- Holsinger, A. M. (1999). Assessing Criminal Thinking: Attitudes and Orientations Influence Behavior. *Corrections Today*, 22-25.
- Holsinger, A. M., A. J. Lurigio, and E. J. Latessa (June, 2001). A Practitioner's Guide to Understanding the Basis of Assessing Offender Risk. *Federal Probation*: 46-50.
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- Larimore, K. E. and B. Hutchinson N.D. *Risk Assessment, Classification, and Security Level Designation*. American Correctional Association.
- Shields, I. & D. Simourd (1991) Predicting Predatory Behavior in a Population of Incarcerated Young Offenders. *Criminal Justice and Behavior*, 18(2):180-194.
- Wooldredge, J. (1994) Inmate Crime and Victimization in a Southwestern Correctional facility. *Journal of Criminal Justice*, 22(4): 367-81.

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **ANTICIPATORY SET**

### **Slide 1 - Classification and Assessment**

*Today's discussion will focus upon the elements of classification and assessment for managing the youthful offender in an adult correctional setting. In addition, we will review those factors that have been found to be important in classifying this population.*

### **Slide 2 - Performance Objectives**

*By the end of the training you will be able to:*

- *Describe the elements of classification and assessment.*
- *Describe the salient factors that are important in classification and assessment of the youthful offender population.*
- *Develop a plan to use classification and assessment processes with youthful offenders.*

*Let's take a look at the problem.*

#### **Trainer Note**

Refer the participants to their workbook. Have them read the situation and respond to the questions. Allow about 10 minutes to work on the problem and 20 minutes to report out and debrief.

#### **What Would You Do?**

Among several inmates newly received at your institution today, there is one who was convicted of homicide for the killing of a convenience store clerk during a robbery. This inmate has never served time before but now faces a twenty-year term for the killing. The inmate is sixteen years old.

Keeping the situation in mind, respond to these questions:

1. What would be the standard response to this situation?
2. Does that response seem adequate? Why and why not?
3. Would the response change if the inmate were 18?
4. Would the response change if the inmate were 14?
5. What is different about youthful inmates in terms of their adjustment to prison?

## **INSTRUCTIONAL INPUT**

*You have already demonstrated that we do treat offenders differently based on age. As you know, many states have passed laws that allow violent and serious juvenile offenders to be bound-over and tried as adults. Today's module will focus on efforts to assess this young inmate upon reception in order to better classify and manage the youthful offender in an adult institution.*

### **Slide 3 - Classification and Assessment Caveats**

*Before we move on there are a number of items to keep in mind:*

*First, it is important to emphasize that there is no "one size fits all" approach to classification and assessment.*

*Second, each institution has different needs. The levels of security available may vary considerably, as can the size and resources of the institution or system. For example, a facility with a work-release program that releases offenders into the community will need to consider factors that may not be important to an institution without such a program.*

*Third, classification and assessment are not "one time" events. While this is true for all offenders, it is particularly important with the youthful offender. A sixteen-year-old sent to an adult institution will only be a "youthful" offender for a couple of years. Reclassification and reassessment are an integral part of a good system.*

*Fourth, statistical or actuarial prediction is more accurate than clinical prediction. This means that using instruments that have been validated is more reliable than relying on professional judgment. The tendency with clinical prediction is to over predict. Reliability is also a problem. On the other hand, actuarial prediction is not an absolute predictor of an offender's future behavior. Rather it should be viewed as a probability statement.*

### **Slide 4 - Caveats**

*Fifth, classifications based on "objective" data and judgments are more reliable, easier to make, less time consuming, and less expensive.*

*Sixth, individual decisions partially based on objective criteria are less vulnerable to legal challenge.*

*Seventh, it is important to train and retrain staff on the use of classification and assessment instruments. Staff has a tendency to cut corners over time. Not only is*

*training critical, but monitoring the assessments will also help ensure they are done accurately.*

*Finally, classification involves making decisions. Assessment instruments and processes give guidance and information to decision-makers, but the fact remains that they cannot make the decisions. People make decisions.*

### **General Elements of Effective Classification and Assessment**

#### **Trainer Note**

Experience has shown that where the audience is made up primarily of correctional officers, the elements of effective classification goes into more detail than most participants want or can comprehend.

*With these items in mind we can review the 10 elements of effective classification and assessment:*

#### **Slide 5 - Element 1: Purpose**

*Classification and assessment procedures are driven by purpose. In general the purposes of classification and assessment are to allow prisons to treat offenders differently, but to do so systematically. If everyone is to be treated the same then there is no need for classification. Obviously, this is not the case in most penal institutions. Also, there often are multiple needs for classification. If you have several goals, it is reasonable to expect several classification/assessment schemes or tiers.*

#### **Slide 6 - Aims of Classification**

*MacKenzie and her colleagues have identified four main aims that prison classification systems are designed to support:*

1. *Management: Classification systems are expected to assist the institution in maintaining security (safety) and custody (institutional order).*
2. *Treatment: Classification systems are used to diagnose the criminogenic needs of inmates as an aid in assigning them to appropriate service/treatment programs.*
3. *Prediction: Classification systems are designed to categorize inmates according to the degree of risk they pose to themselves (suicide), others (assault), the institution (disorder/riot), and the public (escape or recidivism).*
4. *Understanding: Classification systems are hoped to improve our knowledge about the causes of, or explanations for, criminal behavior, institutional adjustment, and similar factors.*

*Take a few minutes at your table and discuss this question with your small group:  
“What are the purposes of classification for your institution?”*

**Trainer Note**

After a few minutes, get participants to share responses. Observe the similarities and/or differences between their responses regarding the purpose of classification and the research by MacKenzie.

**Slide 7 - Classification Categories**

*Essentially, the aims of classification and assessment can be summarized in three categories:*

1. *Distinguish: To sort out relevant groups.*

*Classification systems that identify specific groups of inmates, which are relevant to institutional mission (security, treatment, and custody), support more efficient use of correctional resources.*

2. *Rank: To measure levels of severity and appropriate placement.*

*Classification systems that distinguish within relevant groupings those inmates who most require attention allow correctional staff to establish priorities for action.*

3. *Control: To understand problems, develop prognosis, and provide case plan.*

*Classification systems that support planning and evaluation of interventions enable correctional staff to modify and improve operations and services.*

*Usually prison systems want to achieve all three of these goals. Unfortunately, a single classification tool often does not achieve all of these aims to the same extent.*

**Slide 8 - Element 2: Organizational Fit**

*Organizations and institutions have different characteristics, capabilities and needs. The levels of security available may vary considerably, as can the size and resources of the institution or system. For example jails and prisons have somewhat different goals, and would require different classification systems.*

*As we all know, resources vary tremendously even within the same type of institution. The range and types of programs offered, the number and quality of staff, the degree of automation, and other resource issues will have an impact on the type of classification processes used. The type of classification used in an institution must be relevant to that facility. For example, the Adult Internal Management System (AIMS) developed by psychologist Herbert Quay is used in several prisons. The original classification accounts for 120 different categories and patterns of scores. In operation, however, the AIMS is typically used to identify three classes of inmate: heavies, moderates, and lights. Most institutions could not adequately respond to 120 distinct "types" of offender. We probably wouldn't know how to vary responses, even if we could. If you only have three custody levels for inmates (maximum, medium and minimum), you only need a classification system that accurately identifies three custody risk levels.*

#### **Trainer Notes**

Ask the participants to talk in their small groups about their institutions in terms of size, inmate populations, programs offered, etc.

#### **Slide 9 - Element 3: Accuracy**

*Accuracy measures how correct the instrument is in classifying offenders in relation to actual outcome.*

*In order for a classification and assessment process to be accurate it must be reliable and valid. Reliability refers to uniform and consistent measurement. In other words, different people should obtain the same results.*

*Validity means that you're measuring what you think you are measuring.*

*For example, say we had an instrument to help us identify inmates who are at risk for suicide. If two intake officers obtain different scores on the same inmate we would say the results are unreliable. On the other hand, if they obtain the same scores the instrument may not be valid. To be valid, those scores must correctly measure risk of suicide. That is, inmates whose scores indicate a low suicide risk should actually be very unlikely to attempt suicide.*

#### **Trainer Note**

Suggested visual aid - Draw three targets, circle inside a circle, on chart paper. Put a dot in the center of the target each time to demonstrate the concept of validity. If the tool you use continues to hit the mark then it is valid. Use the same three targets and place a mark in the center, middle and outside. Say, "If you had three different people using the same tool on the same person and you came up with

these results then you would say that the tool is not reliable because you keep coming up with different scores."

*In order to achieve reliability and validity, a classification and assessment process should involve uniform assessment and validation on the target population.*

*Factors used in predicting outcome do not carry equal importance across different jurisdictions and populations. Since factors used in accurately assessing risk in one jurisdiction may not necessarily be accurate in assessing risk in others, it is necessary to validate on the population with which the instrument will be used.*

*Classification outcomes should be validated on the populations to which they will be applied. There is no easy way around this issue. A sizable body of research indicates that assessments are not always, or even usually, transferable from one setting to another. Even though some prediction factors do appear to be transferable across most jurisdictions, the weights given to each factor in relation to the total score will often need adjustment. A prior record of violent offenses and a large number of disciplinary reports are both predictive of inmate likelihood of assaulting. In some facilities prior offenses may be more important than disciplinary reports while in others the reverse is true. Only by reviewing your population and experience can you tell what factors are most important, and how important they are to your situation.*

*One problem is that many adult institutions are just starting to receive a population of youthful offenders. For smaller institutions or systems it will take some time before enough data can be gathered for validation. The good news is that many factors do cut across jurisdictions and populations. So while the weights given to each factor in relation to the total score may need adjustment for different populations, the factors themselves will probably be valid. This means that you can start a classification process almost immediately. Still, you have to develop and validate your system.*

*Returning to our third element, accuracy refers to how well the classification process or instrument reduces mistakes in predicting or guessing the criterion (outcome) in which you are interested. We can now continue with the other elements of an effective classification and assessment process.*

### ***Slide 10 - Element 4: Parsimony***

*Often we see examples of classification processes where a great deal of information is gathered. We call it the "get everything there is to know" syndrome. There are several problems with this approach. First, it is time consuming. Second, much of the information is not important, at least as predictors are concerned. And third, it is impossible to factor all the information into the decision making process. This brings us to parsimony: The "best" prediction model is one that is most accurate in assessing the outcome criterion while using the least number of predictive variables. In other words, keeping it "short and simple" not only improves the reliability of the instrument, but also takes into consideration the limited time constraints that most agencies work under.*

### ***Slide 11 - Element 5: Distribution***

*What good is a classification process if everyone falls into the same category?*

*How well a classification process can differentiate between the categories (e.g. high, medium, and low) is a very important element. This involves deciding where the cut-off points are between categories of offenders. This is crucial in providing proper services to offenders, and in the planning and allocation of correctional resources.*

*Determining appropriate cut-off points insures that a population of offenders will be properly separated, and (hopefully) dispersed across the various placement options.*

*It is important to remember that cut-off points vary from population to population.*

### ***Slide 12- Element 6: Dynamism***

*To examine the idea of dynamism, I want you to try the following exercise (individually):*

*Think of one example of a case you have known where the inmate has made a successful adjustment to prison. This may be a person who has completed a treatment program, parole supervision, or their sentence. It may also be a person still under custody, but who is a "current success." Try and think of an example of an offender who may have surprised you with a successful outcome.*

*Jot down a summary of the case, the outcome, and what you think some of the reasons are for the successful adjustment. You may choose any definition of success you like.*

#### **Trainer Notes**

This exercise is designed to have participants identify factors they believe are associated with success. Debrief the activity by having participants share their success stories. As they list the reasons for successful adjustment, write the reasons on chart paper making two lists; one should be factors over which the staff have little control, like someone getting older (static factors over which we have little control). The "other" should be those factors that staff can influence, such as treatment programs (dynamic factors which we can influence). Keep these lists on charts for later use.

*As you can see, I have divided your success factors into two lists. What are the differences between the two lists?*

#### **Possible responses**

Some factors are static; we have little control over them. Others are rather dynamic, and are things we can influence.

*The importance of dynamic factors comes into play during a reassessment process. If the items in a classification instrument are all static then the offender's classification level cannot change. A good example can be seen with a needs assessment.*

*Often we are interested in determining the needs of an offender for placement into programs. Some are relatively easy, like educational attainment, since there are many batteries of tests that can be given to measure one's academic level. Others, like substance abuse are more difficult. In either case, we not only want to use factors that tell us the level of need and appropriate placement, but we also want to conduct similar measures after a service has been given. These dynamic factors will allow you to measure progress and to reassess, and if necessary reclassify the offender.*

#### **Slide 13 - Element 7: Utility**

*Classification systems, to be effective, must be useful. Usefulness means that the system must help staff in achieving the purposes of classification and the goals of the agency. Beyond being useful, the classification process must also be used. That is, it must matter to inmate assignment and staff behavior. Experience shows that if staff does not believe the classification system matters, it doesn't.*

*Not only should a classification process work to achieve the goals, it should also be responsive to changing population, staff and organizational needs. Further, classification should be useful as a management tool in changing resource allocations and staff activity. Too often we let our classification process become the decision-making process. An effective classification process is one that helps us accomplish our goals. Classification always results with someone, or some group making a decision.*

*Standardized risk and needs assessment instruments, decision rules and other components of a classification process are intended to structure, guide and assist decision-makers. A good classification process is one that helps staff to make good decisions. What makes a good decision, however, is not something that can be answered empirically, by research. What is good or bad policy and practice is a value judgment. Staff and administrators cannot abdicate their responsibility by referring to the risk or needs assessment alone. They are the ones who interpret what that assessment means (or should mean) to placement and programming.*

*Suppose, for a minute, that an outside research group studied your institution's operations to develop a classification instrument. This group finds that inmate height is the single most important predictor of custody level. For whatever reason, tall inmates are significantly more likely to be classified as maximum or close security, and short inmates to be classified as minimum security. The empirical data would indicate that your classification committee should consider inmate height in making security classifications.*

*Would you do this?*

**Possible responses**

No, it is a static risk factor.

*How do you think the court would react if an inmate sued because of height discrimination?*

**Possible responses**

Probably would rule in the inmates favor.

*Regardless of how well height helps explain security level assigned, what else would you want or need to know?*

**Possible responses**

Responses will vary.

*As this example shows, the unfortunate fact is that creating and implementing a classification process complete with objectively scored instruments will not solve problems of classification. But, a classification process should help resolve those problems. A useful classification process is one that helps you to make decisions.*

*Guides like risk assessment instruments and psychological test scores are information to be considered in making placement decisions. Data based assessment devices tend to be "descriptive" in the sense that they tell us what has been happening, and what we have been doing. An alternative is to use a "prescriptive" process, which directs us concerning what we should do in hopes of achieving what should happen.*

#### ***Prescriptive processes also need to be validated.***

*There is nothing wrong with deciding, based on what is known at the time, how we ought to handle a problem. That, in fact, is what most of us do now. We do it because we have to do something. The difference between the typical "gut level" decision-making and a prescriptive classification process is in the planning. Through developing a process, we consciously consider what factors or characteristics of inmates, in our experience or based on available research, lead to what kinds of outcomes. We then pick the preferred outcome and set decision rules to direct us to make the best decisions.*

*For example, are young offenders more likely to become victims of extortion or assault in institutions? What is your experience?*

*If they are more likely to become victims in your experience, or based on the experiences of other institutions, then you can draft a decision rule that directs the classification committee to consider young offenders as vulnerable and treat them accordingly. If your experience indicates that they are dangerous to other inmates, you would account for that. Over time, you can see how effective this rule has been in reducing the threats posed either to or by these offenders. The point is that we often cannot and should not wait to act.*

#### **Slide 14 - Element 8: Practicality**

*A corollary to utility is that the classification process must be practical. It has to be possible and sensible. Practicality is akin to cost-effectiveness. A classification instrument or process that is 100% accurate, but impossible to apply in your institution does nothing to help you. Similarly, those that are easy to use, but don't lead to better decisions are of no value.*

*If you reasonably can invest an hour of staff time into case assessment, a classification scheme based on a two-hour in-depth interview with the inmate is*

*not practical. To use this system you need to either find an additional hour of staff time for each inmate, or cut your population in half. A process that identifies the likelihood of post release recidivism but gives no guidance on how to change that likelihood is also not practical for use in an institution.*

*Practicality is something, which should guide the development and use of classification efforts. Two models of classification instruments exist: stochastic and additive. In general, neither is better than the other is, but each is better for certain types of decisions.*

### **Slide 15 - Stochastic Classification Models**

*Stochastic, or branching, models lead the decision-maker through a series of yes and no questions, the answers to which generally determine case assignment.*

*Other things being equal, what should be done with an inmate who represents an escape threat?*

*Other things being equal, what should be done with an inmate who represents a suicide threat?*

*Other things being equal, what should be done with an inmate who represents an assault threat?*

*In most institutions, the answer to any of these questions would be, "place in close or maximum security." In many cases the inmate would be put into administrative segregation.*

*Other things being equal, what should be done with an inmate who dropped out of high school?*

*In most institutions, the answer here would be to assign the inmate to an education program to earn a G.E.D.*

*What should be done with an inmate who dropped out of high school and poses an assault threat?*

#### **Trainer Notes**

Show an example of a decision tree

*A stochastic model progresses through the series of questions in an order determined by policy, pooled judgment of personnel, or research on prior institutional cases. In most places, answering "yes," to the question, "Does this*

*"inmate pose an assault threat?" will determine custody level, by itself. This level, in turn, may limit programming options, like school.*

### **Slide 16 - Additive Models**

*Additive models are often easier (more objective) to score or use, but are much less sensitive to individual cases. In such a model, the inmate might be given points for assault threat, suicide risk, programming needs, length of sentence and the like. Placement is then based on the total number of points earned. The example we used earlier of the assault risk instrument is an additive model.*

*An effective classification system might use a combination of these two models. An additive index like the assault risk example might be used to answer the stochastic question, "Does the inmate pose an assault risk?" Alternatively, the stochastic questions may be used to establish a custody level, and an additive model could then be used to determine job or program assignment within that level. Different types of decisions may require different types of classification techniques. Fitting the technique to the task improves practicality.*

### **Slide 17 - Element 9: Justice**

*An effective classification and assessment process should produce just outcomes. Almost any classification process, if reliable and followed regularly by staff, will result in consistent decisions. The earlier example of using inmate height to determine custody classification is an example of consistency. Tall inmates are always placed in higher security than are short inmates. Being consistent, however, does not mean being just.*

*While justice is difficult to define with precision, for the purposes of classification, it means making different assignments based on real differences between inmates. These differences must be relevant to classification purposes. It is just to treat youthful offenders differently from adults if their youthful status puts them at different risks or explains different needs. So too, it is just to treat males and females differently if inmate sex is relevant. It would be unjust to unduly restrict youthful offenders so that their program options were limited simply because they are young.*

### **Slide 18 - Element 10: Sensitivity**

*This last element, presently, is more of a goal than a reality. The most effective classification and assessment process is sensitive to even small differences in inmate types. Sensitivity at its highest level would mean individualized case planning. In reality, the limits of resources and large populations means that most classification schemes identify groups and treat groups differently. In*

*practice, sensitivity can be achieved through the provision of a means to "override" the classification process.*

*If the classification committee, correctional counselor, or perhaps even the inmate him or herself can articulate a reasoned case for an assignment that is not congruent with the outcome of the normal classification process, that case should be considered. The "burden of proof" is on the person who wishes to change the typical classification process, but it should be possible to do so if a strong enough case can be made for such an exception.*

### **Important Factors in Classifying Youthful Offenders**

#### **Trainer Note:**

You might want to spend more time in this area and less on the elements of classification.

*Now that we have explored the elements that make up an effective classification system and the ways in which assessment instruments are developed, it is time to focus on youthful offenders. The two best sources of information about what factors seem to be correlated with inmate adjustment are experience and the research literature. First, let us discuss how we presently deal with the youthful offender.*

*Take a few minutes at your table to discuss the following question, "If you were to receive a sixteen-year-old inmate convicted of a violent offense and sentenced to a relatively long term what is your classification process now?"*

*Earlier we identified characteristics of cases in which inmates had made successful adjustments to prison. Those characteristics included (summarize chart).*

*In regard to a newly admitted young inmate, take a few minutes in your small table groups to answer the following questions:*

1. *What would you like to know (about adjustment/outcome)?*
2. *What instruments/assessments are done?*
3. *How useful are they?*
4. *What information do you feel is missing?*

#### **Trainer Notes**

Have the above questions listed on chart paper.

Keep a listing of currently available instruments and assessments with rankings/descriptions of how useful they are. Link usefulness to things participants say they want to know. Develop a separate listing of missing information.

*Now let's look at what the research literature says about youthful offenders. There is quite a bit of information available about juvenile delinquents and young adult offenders, but not much is known specifically about juveniles who are treated as adults.*

*Juvenile delinquents who are incarcerated differ from those who are not incarcerated in some important ways concerning their prior histories of delinquent and criminal involvement. We can assume that those who are sent to prisons will have the characteristics of those incarcerated in juvenile facilities.*

### **Slide 19 and 20 - Characteristics of Young Offenders**

Thus, the typical youthful offender is likely to:

1. *Be old (for a juvenile), 14 - 17 years old*
2. *Have a history of prior delinquent behavior*
3. *Have been committed to youth facilities before*
4. *Failed probation and/or aftercare supervision*
5. *Have committed a felony level offense--generally a crime of violence for those sentenced to adult prisons*
6. *Have a record of school disciplinary problems*
7. *Had a poor record of school attendance and/or academic progress*

*These youth also tend to have a more pronounced set of social and emotional problems than those who are retained in the community and the juvenile justice system.*

### **Slide 21 and 22 - Social and Emotional Problems**

*As compared to youth treated in the community, those incarcerated:*

1. *Have troubled relations with their parents*
2. *Are more likely to have school related problems including attendance, difficulty with teachers, suspensions, etc.*
3. *Are more alienated (feel less connected to legitimate groups, activities, values, and society in general)*
4. *Have a greater history of substance abuse*
5. *Are more likely to be involved in negative peer groups, notably gangs*

6. *Tend to deny responsibility for their criminal behavior, blaming others, rationalizing their actions*

*It seems that, as with adult offenders in general, youth who are sentenced to prison terms are likely to have more, and more serious criminal records, social, and psychological problems. They are likely to require more program resources, especially educational programming. However, many have a negative experience and attitude towards school to begin with, and a record of disruptive behavior while in an educational setting.*

*If youthful offenders act like their adult counterparts, then they will also pose a higher risk of violence in the institution. Adult male inmates, who are young, have a record of prior arrests and convictions, and who are from non-urban areas seem to have a greater chance of engaging in violence inside the prison. Also, idle time seems to be associated with involvement in violence as either an aggressor or a victim. For adult female inmates, the more aggressive inmates appear to be those who are younger, grew up in "abusive homes," and who were received on conviction for a violent offense.*

*Few assessment instruments have been reported as being developed for this population. There is an adaptation of the Level of Service Inventory called the Young Offender-Level of Service Inventory (YO-LSI), which seems to be accurate in identifying the most aggressive and higher risk inmates among this age group. Similarly, the Criminal Sentiments Scale, which measures antisocial attitudes, also seems helpful in identifying aggressive youthful offenders.*

*There is little research data available to help us rate the risk of assault and disruption posed by these young inmates and even less to inform us about their chances of being victims. One study, published by Professor John Wooldredge is based on a population of adult, male inmates. He found that younger inmates were more likely to become victims of assault and personal crimes while incarcerated if they:*

- *Had a history of personal crimes;*
- *Engaged in less structured recreational and program activities;*
- *Had a more negative attitude towards the institution;*
- *Has fewer friends in the institution;*
- *Were less likely to be visited by family.*

### **Slide 23 - Victims of Prison Assault**

*This research suggests that those most likely to be victims of assault:*

1. *Are younger*

2. *Have a history of violent/personal crime*
3. *Have few friends in the institution*
4. *Have less contact with family*
5. *Have a negative attitude towards the institution*
6. *Engage in less structured activities*

*What can be done with inmates who have these characteristics?*

*What would you do with a young inmate who was received for conviction of a violent crime and who had little contact with his or her family and few friends in the institution?*

#### **Possible responses**

Look to the Dynamic factors. Structured involvement in institutional activities seems to reduce the risk of both violent offending and violent victimization.

*One thing that the institution can control is the inmate's schedule and activities. While the research data are sparse, they indicate that keeping higher risk inmates busy in supervised, structured activities reduces the incidence of both violent offending and violent victimization. Assignment of youthful inmates to structured educational activities, supervised recreation (organized, if possible), and the attempt to build friendships may help reduce both the threat of harm from and the threat of harm to these inmates.*

#### **Slide 24 - Assessing the Offender for Treatment and Services**

*As part of any comprehensive classification and assessment system, it is important to examine the youth's need for treatment and services. This will involve assessing risk, need, and responsivity factors.*

*There are several important purposes of assessment that should be considered. The first is to identify appropriate offenders for the services and treatment offered by the program/facility. The second is to provide risk/need/responsivity levels that will allow the staff to develop an appropriate treatment plan and to target the risk and need factors identified in the assessment. The third purpose is to facilitate the reassessment of the offender to determine the degree to which risk and need factors have changed. Ideally, a process will be utilized that allows for all three of these goals to be accomplished.*

*It is recommended that standardized risk/need assessment instruments be used. These instruments should include risk and need factors that are known correlates of criminal behavior (e.g. antisocial attitudes, values, and beliefs, antisocial peers, substance abuse, etc.). They should provide a summary score that predicts the offender's likelihood of recidivism and can be used in case classification and*

*treatment planning. This will allow the program staff to distinguish risk levels, and more importantly make appropriate assignment to treatment groups.*

*There are four general principles of assessment that should be considered:*

#### **Slide 25 - Risk Principle**

1. *Predicting future criminal behavior*
2. *Matching levels of treatment services to the risk level of the offender*
3. *Targeting the higher risk offenders*

*The intensity of intervention should correspond with recidivism risk: the higher the risk, the greater the intensity of intervention called for. This is because high-risk cases tend to respond better to intensive service, while low risk cases respond better to less intensive service.*

*Risk is easiest to assess, and we have good measures. The risk principle helps in deciding who might profit from intensive programming and where we will be investing our program dollars once major risk factors have been delineated.*

#### **Slide 26 - Risk Principle**

- *Higher risk gets treatment*
- *Lower risk gets less treatment*

*There is also evidence that placing high-risk youth in with lower risk youth has a detrimental effect on the lower risk youth. In order to avoid this negative effect it is important that you identify the higher and lower risk youth using standardized and objective tools.*

#### **Slide 27 - The Need Principle:**

1. *Identification of crime producing needs*
2. *Matching offenders to programs and interventions that address crime producing needs*
3. *Providing the most intense services to higher need offenders*

*The need principle recognizes that involvement in a criminal lifestyle contains within it the seeds of self-perpetuation. So, for offender programs to be effective, the needs that must be targeted are those that are directly linked to continued criminal behavior.*

## **Slide 28 - Examples of Criminogenic Needs**

*Antisocial thoughts  
Antisocial friends  
Substance abuse  
Poor school performance*

*Criminogenic needs are actually dynamic risk factors. A dynamic risk factor is one that can change over time (if they change so does the likelihood of criminal conduct). For example, if a person quits abusing substances they will be less likely to engage in criminal activity. Treatment tends to be more effective when reduced criminogenic need is set as an intermediate objective.*

*The importance of criminogenic needs is that they serve as treatment goals. When programs successfully diminish these needs we can reasonably expect reductions in recidivism.*

## **Slide 29 - Examples of Non-Criminogenic Needs**

*Physical conditioning  
Nutritional needs  
Medical care  
Anxiety  
Depression  
Self-esteem*

*Non-Criminogenic needs also change but these changes have little influence on criminal behavior. When programs target these types of needs reductions in recidivism are negligible.*

*While the risk principle answers the question of who should be the focus of more intensive service (i.e., higher risk offenders) and the need principle answers what needs should be addressed (i.e., criminogenic needs), the responsivity principle helps answer how these needs should be met.*

## **Slide 30 - Responsivity Principle**

*Responsivity factors that may affect treatment, such as level of motivation, level of cognitive functioning, maturity level, coping or stress levels, levels of anxiety, or verbal ability should also be assessed upon intake using standardized and objective instruments that distinguish levels. Once assessed, this information should be incorporated into treatment and case plans.*

*The Responsivity Principle states that styles and modes of service must be matched to the learning styles and abilities of the offender.*

*Individual factors that interfere with or facilitate learning can be considered responsivity factors; therefore, the assessment of such factors is the first step in helping us develop the best strategies as to how to best address an offender's criminogenic needs. This, in turn, can ensure that offenders derive the maximum therapeutic benefit from treatment. Therefore, prior to targeting criminogenic needs, it is important that responsivity factors be examined to prepare the offender for treatment.*

*The responsivity principle dictates that treatment programs should be delivered to an offender in a manner that facilitates his or her learning of new pro-social skills.*

### **Slide 31 - Internal Factors**

*Internal responsivity factors refer to individual offender characteristics such as: motivation, personality characteristics (i.e., psychopathy, interpersonal anxiety, depression, mental illness, self-esteem, poor social skills) cognitive/intellectual deficits (i.e., low intelligence, concrete-oriented thinking, inadequate problem solving skills, poor verbal skills, low verbal intelligence, language deficits) and demographic variables (i.e., age, gender, race, ethnicity and socioeconomic level).*

### **Slide 32 - External Factors**

*External factors refer to counselor characteristics (i.e., some counselors may work better with certain types of offenders) and setting characteristics (i.e., institution versus community, individual versus group). If you compare the responsivity factors seen in the general population with those seen in our clients, there are some significant differences. Take a look in your workbooks to see the comparison between the two populations.*

<b>General Population</b> The general population exhibits the following responsivity characteristics:	<b>Offender Population</b> In our client population the following responsivity characteristics are more commonly exhibited:
<ul style="list-style-type: none"><li>• anxiety</li><li>• Self-esteem</li><li>• Depression</li><li>• Mental illness</li><li>• Age</li><li>• Gender</li><li>• Racial ethnicity</li></ul>	<ul style="list-style-type: none"><li>• Peer social skills</li><li>• Inadequate problems solving skills</li><li>• Concrete oriented thinking</li><li>• Verbal skills</li></ul>

**Trainer notes:**

Have the class complete Inmate Allen exercise

**The Case of "Inmate Allan"**

*Read the following case and answer the questions that follow.*

Inmate Allan is serving a five-year sentence for breaking and entering, possession of stolen property, and felonious assault. According to police reports, the offense occurred a few days before Christmas. He was intoxicated and apprehended at the scene of the crime (drug store).

Inmate Allan is 16 years old, and lives with his Mother and three siblings. He is described as being impulsive and having low self-esteem.

Prior to his arrest, Inmate Allan quit school in October. Soon after quitting school, Inmate Allan began to drink on a daily basis, which brought friction between him and his Mother. He has also been recently diagnosed as being ADD. According to Inmate Allan, he became depressed over not being able to buy gifts for his family and with Christmas approaching decided to steal some gifts. When confronted by a store clerk, he fought and threw the store clerk through a pane glass window. The clerk was seriously hurt as a result and was hospitalized for two weeks.

Information from files indicates that Inmate Allan has a prior juvenile record (Mother has a criminal record and Father committed suicide when Allan was 5). Inmate Allan was a poor student, and only attended intermittently. This is his first term in an institution.

1. What are his static risk factors?
2. What are his dynamic risk factors/criminogenic needs?
3. What are his non-criminogenic needs?
4. What does he need to do to become a better release prospect?
5. What do you think are the most important risk factors to monitor in the institution? Community?

**Slide 33 - Professional Discretion Principle**

*As mentioned previously, once risk, needs, and responsivity factors are identified it is important to factor in professional judgment. As a general rule, no more than 10 percent of the cases assessed with a standardized and objective instrument should be overridden. A higher rate would indicate that the staff does not trust the results from the instrument. On the other hand, if no overrides occur, the staff*

*are probably blindly following the instrument and do not incorporate their own professional judgment.*

### **Slide 34 and 35 - Effective Programs Assess Offenders**

*The evidence clearly indicates that effective programs assess offenders. There are a number of characteristics of effective programs with regard to their assessment of offenders.*

*First, the program receives "appropriate" offenders. That is, the program should have criteria for program inclusion. These criteria should be based on the services and treatment that the program can offer. For example, if the program were designed for sex offenders then non-sex offenders would be inappropriate. Similarly, exclusionary criteria should be developed to weed out those offenders who cannot benefit from the treatment, or for whom services are not available.*

*Second, the offenders are assessed on risk, need, and responsivity factors as described previously.*

*Third, the assessment process is objective and standardized. This helps reduce bias, and ensures that all major risk and need factors are assessed.*

*Fourth, the assessment process determines the levels of risk, needs, and responsivity. In order for a program to meet the risk, need, and responsivity principles it is necessary to determine levels and assign treatment and services accordingly.*

*Finally, the instruments used have been normed and validated on the served population.*

## **CLOSURE AND EVALUATION**

### **Trainer Notes**

Have participants complete the activity below. Debrief by having them share their ideas.

## Action Planning

### Classification and Risk/Needs Assessment - Action Planning

Reflecting on what you have learned in the module on Classification and Risk Assessment, what do you think should be done to improve your existing classification process and response to your Agency's youthful offender population?

Address these Issues:

Is current information adequate?

Is current information system (paper and automated records) adequate?

Are inmate assignments monitored for "success?"

Who should be involved in developing/revising classification system for youthful offenders?

Can these individuals develop a prescriptive system based on what is now known?

How long, reasonably, will it take to implement an initial classification system for youthful offenders?

### Trainer Note

This is a required module. Have the participants continue to build their case plan by turning to the *Case Planning – Reception to Release* in their workbooks to complete the following information.

### Classification/Risk Assessment

Reflecting on what you learned in the module on Classification and Risk Assessment, answer the following questions using the youthful offender for which you have been building a case plan.

- What are his/her static risk factors?
- What are his/her dynamic risk factors/criminogenic needs?
- What are his/her non-criminogenic needs?
- What does he/she need to do to become a better release prospect?
- What are the most important risk factors you will need to monitor in the institution? Community?



## **Classification and Assessment**



## **Objectives**

- Describe the elements of classification and assessment and why they are important when working with a youthful offender population.
- Develop a plan to use classification and assessment processes with youthful offenders.

## **Classification and Assessment Caveats**

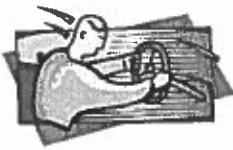
- No “one size fits all”
- Each institution has different needs
- Not one time events
- Use validated instruments

## **Classification and Assessment Caveats**

- Use objective data
- Make decisions based on objective criteria
- Training
- People make the final decision about classification level

### **Element 1: Purposive**

- Classification and assessment procedures are driven by purpose



### **Aims of Classification**

- Management
- Treatment
- Prediction
- Understanding



### **Classification Categories**

- Distinguish
- Rank
- Control

### **Element 2: Organizational Fit**

- Organizations and institutions have different characteristics, capabilities and needs.

### **Element 3: Accuracy**

- How well the classification process or instrument reduces mistakes in predicting or guessing the criterion (outcome) in which you are interested.



### **Element 4: Parsimony**

- "Short and simple" improves reliability
- Considers limited time constraints

10

### **Element 5: Distribution**

- How well a classification process can differentiate between the categories.

11

### **Element 6: Dynamism**

- Dynamic factors let you measure progress and to reassess, and if necessary reclassify the offender.

12

## **Element 7: Utility**

- The system must be useful and used.

13

## **Element 8: Practicality**

- Must be possible to use in your setting
- Must be sensible to use

14

## **Stochastic Classification Models**

- Progresses through the series of questions in an order determined by policy, pooled judgment of personnel, or research on prior institutional cases.

15

## **Additive Models**

- Easier (more objective) to score or use, but are much less sensitive to individual cases.

16

## **Element 9: Justice**

- Making different assignments based on real differences between inmates.



17

## **Element 10: Sensitivity**

- The most effective classification and assessment process is sensitive to even small differences in inmate types.

18

## **Characteristic of Young Offenders**

- Old (for a juvenile), 14 - 17 years old
- History of prior delinquent behavior
- Committed to youth facilities before
- Failed probation and/or aftercare supervision

19

## **Characteristic of Young Offenders**

- Committed a felony level offense
- Record of school disciplinary problems
- Poor record of school attendance and/or academic progress

20

## **Social and Emotional Problems**

- Troubled relations with their parents
- More likely to have school related problems
- More alienated
- Greater history of substance abuse

21

## **Social and Emotional Problems**

- Involved in negative peer groups, notably gangs
- Deny responsibility for their criminal behavior, blaming others, rationalizing their actions

22

## **Victims of Prison Assault**

- Younger
- History of violent/personal crime
- Few friends in the institution
- Less contact with family
- Negative attitude towards the institution
- Engage in less structured activities

23

## **Assessing for Treatment and Services**

- Identify appropriate offenders for the services and treatment offered
- Provide risk/need/responsivity levels
- Facilitate reassessment

24

## Risk Principle

- Predicting future criminal behavior
- Matching levels of treatment services to the risk level of the offender
- Targeting the higher risk offenders

25

## Risk Principle

- Higher risk gets treatment
- Lower risk gets less treatment

26

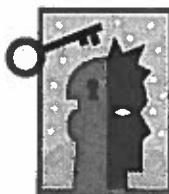
## Need Principle

- Identification of crime producing needs
- Matching offenders to programs and interventions that address crime producing needs
- Providing the most intense services to higher need offenders

27

## Criminogenic Needs

- Antisocial thoughts
- Antisocial friends
- Substance abuse
- Poor school performance



28

## **Non-Criminogenic Needs**

- Physical conditioning
- Nutritional needs
- Medical care
- Anxiety
- Depression
- Self-esteem

29

## **Responsivity Principle**

- Styles and modes of service must be matched to the learning styles and abilities of the offender

30

## **Internal Factors**

- Individual offender characteristics include:
  - Motivation
  - Personality characteristics
  - Cognitive/intellectual
  - Demographic variables

31

## **External Factors**

- Counselor characteristics
- Setting characteristics

32

## **Professional Discretion Principle**

- As a general rule, no more than 10 percent of the cases assessed with a standardized and objective instrument should be overridden.

33

## **Effective Programs Assess Offenders**

- Program receives "appropriate" offenders
- Offenders assessed on risk, need, and responsivity factors
- Assessment process is objective and standardized

34

## **Effective Programs Assess Offenders**

- Assessment process determines the levels of risk, needs, and responsivity
- Instruments have been normed and validated on the served population

35

## **Classification and Assessment**



36



# **Performance Objectives**

## **CLASSIFICATION AND RISK/NEEDS ASSESSMENT**

As a result of this module you will be able to:

- Describe the elements of classification and assessment and why they are important when working with a youthful offender population.
- Develop a plan to use classification and assessment processes with youthful offenders.

## **What Would You Do?**

Among several inmates newly received at your institution today, there is one who was convicted of homicide for the killing of a convenience store clerk during a robbery. This inmate has never served time before but now faces a twenty-year term for the killing. The inmate is sixteen years old.

Keeping the situation in mind, respond to these questions:

1. What would be the standard response to this situation?

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2. Does that response seem adequate? Why or why not?

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3. Would the response change if the inmate were 18?

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4. Would the response change if the inmate were 14?

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5. What is different about youthful inmates in terms of their adjustment to prison?

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# **Comparison of the Responsivity Factors General Population Versus Offender Population**

## **General Population**

The general population exhibits the following responsivity characteristics:

- Anxiety
- Self-esteem
- Depression
- Mental illness
- Age
- Gender
- Racial ethnicity

## **Offender Population**

In the offender population the following responsivity characteristics are more commonly exhibited:

- Poor social skills
- Inadequate problem solving skills
- Concrete oriented thinking
- Verbal skills

## The Case of “Inmate Allan”

*Read the following case and answer the questions that follow.*

Inmate Allan is serving a five-year sentence for breaking and entering, possession of stolen property, and felonious assault. According to police reports, the offense occurred a few days before Christmas. He was intoxicated and apprehended at the scene of the crime (drug store).

Inmate Allan is 16 years old, and lives with his Mother and three siblings. He is described as being impulsive and having low self-esteem.

Prior to his arrest, Inmate Allan quit school in October. Soon after quitting school, Inmate Allan began to drink on a daily basis, which brought friction between him and his Mother. He has also been recently diagnosed as being ADD. According to Inmate Allan, he became depressed over not being able to buy gifts for his family and with Christmas approaching decided to steal some gifts. When confronted by a store clerk, he fought and threw the store clerk through a pane glass window. The clerk was seriously hurt as a result and was hospitalized for two weeks.

Information from files indicates that Inmate Allan has a prior juvenile record (Mother has a criminal record and Father committed suicide when Allan was 5). Inmate Allan was a poor student, and only attended intermittently. This is his first term in an institution.

1. What are his static risk factors?

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2. What are his dynamic risk factors/criminogenic needs?

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3. What are his non-criminogenic needs?

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4. What does he need to do to become a better release prospect?

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5. What do you think are the most important risk factors to monitor in the institution? Community?

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## Action Planning

Reflecting on what you learned in the module on *Classification and Risk Assessment*, what do you think needs to be done to improve your existing classification process and response to your Agency's youthful offender population?

Address these issues:

- Is current information adequate?

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- Is current information system (paper and automated records) adequate?

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- Are inmate assignments monitored for success?

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- Who should be involved in developing/revising classification system for youthful offenders?

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- Can these individuals develop a prescriptive system based on what is now known?

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- How long, reasonably, will it take to implement an initial classification system for youthful offenders?

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**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** INTERVENTIONS AND PROGRAMMING ISSUES

**WRITTEN BY:** Edward J. Latessa, Ph.D., 2001

**TIME FRAME:** 3 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Discern between programs that are effective in reducing recidivism from those that are not.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

- Andrews, D., and J. Bonta (1994). *The Psychology of Criminal Conduct*, Cincinnati: Anderson.
- Howell, J. C., B. Krisberg, J. D. Hawkins, and J. J. Wilson, Eds. (1995) *Serious, Violent, and Chronic Juvenile Offenders: A Sourcebook*. Thousand Oaks., CA: Sage.
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- Loeber, R., and D. P. Farrington (1998), *Serious and Violent Juvenile Offenders: Risk Factors and Successful Interventions*, Thousand Oaks, CA: Sage.

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **ANTICIPATORY SET**

### **Slide 1 - Interventions and Programming Issues**

*This module will examine some of the treatment models and approaches that have been found to be effective in reducing recidivism and those for which there is little evidence that they will have much impact.*

### **Slide 2 - Objectives**

*After completing this module you should be able to discern between programs that are effective in reducing recidivism from those that are not.*

## **INSTRUCTIONAL INPUT**

### **Slide 3 - Target Crime-Producing Behaviors**

*The first important aspect to any correctional program that intends to have an effect on delinquent and criminal conduct is to focus on criminogenic factors. Antisocial attitudes, values, and beliefs, antisocial peers, substance abuse, family problems, and antisocial personality characteristics are all examples of crime producing needs. Effective programs target crime-producing behaviors. Effective programs make sure that most of their activities and interventions are directed toward addressing crime producing behaviors.*

### **Slide 4 - Treatment Models with Demonstrated Effectiveness**

*Effective programs use treatment models that have demonstrated effectiveness with offenders. Programs that use behavioral models are the most effective in reducing recidivism. Some examples include:*

- *Structured social learning programs where new skills are taught, and behavior and attitudes are reinforced.*
- *Cognitive behavioral programs that target attitudes, values, peers, substance use, anger, etc*
- *Family based interventions that train family on appropriate behavioral techniques.*

*Since most institutional programs do not include family as part of the treatment, we will focus on social learning and cognitive behavioral models.*

### **Slide 5 - Social Learning**

*Social learning refers to several processes through which individuals acquire attitudes, behavior, or knowledge from the persons around them. Both modeling and instrumental conditioning appear to play a role in such learning. This is the most powerful theory that we have to explain who we are and why we behave like we do. Modeling and reinforcement are very important in this model. Unfortunately, social learning also explains much of the antisocial behavior that offenders engage in.*

### **Slide 6 - Principles of Cognitive Intervention**

*Let's examine some illustration of the principles of cognitive approaches. Cognitive behavioral and cognitive skill approaches focus on the distorted thinking and attitudes that many offenders have. There are four principles of cognitive intervention. They are:*

1. *Thinking affects behavior.*
2. *Antisocial, distorted, unproductive, irrational thinking causes unproductive behavior.*
3. *Thinking can be influenced.*
4. *We can change how we feel and behave by changing what we think.*

### **Slide 7 - Thoughts that Lead to Pro-criminal Behaviors**

*Thoughts that include:*

- *Unrealistic assumptions or demands (about self, others, the world)*
- *Catastrophizing*
- *Overgeneralizing*
- *Absolute or rigid self-talk (using words such as: "Can't," "Must," "Never," "Always")*
- *Neutralizing (excuses), blaming, denying, minimizing, rationalizing.*

### **Slide 8-9 - Cognitive Deficits Linked to Criminal Behavior**

- *Impulsiveness associated with poor verbal self-regulation*
- *Impairment in means-end reasoning*
- *Concrete thinking style that impinges on ability to appreciate thoughts and feelings of others*
- *Conceptual rigidity that inclines people to a repetitive pattern of self-defeating behavior*
- *Poor interpersonal problem-solving skills*
- *Being egocentric*
- *Poor critical reasoning*
- *Selfish perspective – focus on how their actions affect themselves instead of considering effects of their actions on others*

## **Slide 10-12 - Targeting Cognitive Behavioral Deficits**

*Here are some examples of ways to target cognitive behavioral deficits:*

- *Reduce fatalistic thinking by teaching offenders skills that enable them to assess the role their thinking has in influencing their actions*
- *Reduce antisocial behavior by teaching offenders to replace these behaviors with pro-social ones*
- *Modify illogical thinking by developing critical reasoning skills*
- *Reduce impulsiveness by teaching consequential thinking*
- *Minimize rigid thinking by teaching creative thinking skills to provide the offenders with pro-social alternatives in responding to interpersonal problems*
- *Reduce egocentrism by teaching offenders social perspective taking and values enhancement*
- *Improve social adjustment by training offenders in self-control techniques*

## **Slide 13 - Components of Cognitive Behavioral Strategies**

*Components of Cognitive Behavioral Strategies often include:*

- *Cognitive self-control*
- *Anger management*
- *Social perspective taking*
- *Moral reasoning*
- *Social problem solving*
- *Attitudinal change*

*Cognitive behavioral programs that include multiple components appear to have the greatest potential for reducing antisocial or violent behavior*

*Effects may be short term unless other social system factors are addressed (such as family, peers, and school)*

*With any behavioral program, modeling and reinforcement play a critical role.*

## **Slide 14 - Effective Modeling**

- *Demonstrate behavior*
- *Specify the rewards for behaving this way*
  - What do most people gain in the short and long term?*
  - What can the offender expect to gain?*
- *Provide reinforcement each and every time the offender behaves in the desired way*

## **Slide 15 - Applying Rewards**

*Here are some steps for applying rewards:*

- *Immediately show or tell the offender that you like what s/he did (be clear and specific).*
- *Tell him/her why you like what they did.*
- *Congratulate the offender for behaving the way s/he did.*
- *Encourage her/him to consider why their behavior is desirable and the short and long term benefits of continuing the behavior.*

## **Slide 16 - Applying Disapproval**

*Here are some steps for applying disapproval:*

- *Immediately tell the offender that you disapprove or disagree with what s/he did (be clear, specific, and concrete).*
- *Explain why you disapprove with what the offender did.*
- *Encourage the offender to consider why his/her behavior is undesirable and the short and long term consequences of continuing the behavior.*
- *Immediately stop showing disapproval as soon as the offender stops the undesirable behavior.*

*Often, the most effective programs use some combination of these models. The problem is that often programs have effective models, but they are not implemented properly (e.g. a social learning model that does not have good modeling being practiced by all the staff).*

## **Slide 17 - 18 - What Doesn't Work with Youth**

*There is a large body of research that has told us what is not effective in reducing recidivism with youth.*

- *Drug prevention classes focused on fear and other emotional appeals*
- *Drug education programs*
- *Wilderness programs*
- *Talking cures*
- *Non-directive interventions*

- *Self-Help programs (12-Step, AA, NA)*
- *Increasing cohesiveness of delinquent groups*
- *Targeting non-crime producing needs*
- *Vague unstructured rehabilitation programs*
- *Fostering self-regard (self-esteem)*
- *Radical non-intervention (doing nothing)*
- *Targeting low-risk offenders*
- *"Punishing smarter"*

### **Slide 19 - "Punishing Smarter" Programs**

*Here are some examples of "Punishing Smarter" Programs*

- *Military Style Boot Camps*
- *Shaming Programs*
- *"Scared Straight"*
- *Intensive Supervision*
- *Home Detention with Electronic Monitoring*

*Let's focus on one "treatment model" and examine why it is not an effective program for reducing risk or addressing needs.*

### **Slide 20 - Boot Camps**

*Let's consider a very popular intervention, the boot camp. When we look at the data on boot camps we can see that in the best of cases they show no effect on recidivism, and in the worst we see that they do harm.*

*The question is, why aren't boot camps effective?*

*First, they do not target crime producing behavior (they focus on drill, ceremony, physical conditioning, and bonding offenders together).*

*Second, they often mix low and high risk youth together.*

*Third, we get them in good shape and then send them back to the same environment they came from with little social support or skills to be successful.*

*Fourth, and perhaps most important, the social learning model teaches offenders just the opposite of what we want them to learn (someone yells and screams and makes them do what they want them to do). Do we really want youth to learn aggressive behavior?*

*Let's look at another type, substance abuse programs.*

## **Substance Abuse Programs**

### **Slide 21 - 22 - Lightfoot's Research**

#### **Trainer Note:**

(Source: Lightfoot, L. 1999. Treating Substance Abuse and Dependence in Offenders: A Review of Methods and Outcomes. In E. Latessa (Ed.) *What Works Strategic Solutions: The International Community Corrections Association Examines Substance Abuse*. Lanham, MD: American Correctional Association.)

*This slide shows us the results from a review of substance abuse programs by Lightfoot. Here we see that she found that the most successful programs were based on social learning, radical behavioral and cognitive behavioral models.*

### **Slide 23 - 24 - Taxman's Research**

#### **Trainer Note**

(Source: Taxman, F. S., 2000. Unraveling "What Works" for Offenders in Substance Abuse Treatment Services. *National Drug Court Institute Review*, Vol. II, 2.)

*A more recent review was conducted by Taxman. This shows what works and what does not with substance abusing offenders. Although the research shows that these are effective models, in reality, these aren't the models used. Ineffective models are the ones most commonly used. Examples are: education, talking cures, and self-help.*

*AA and other 12 Step models do provide much needed support and positive reinforcement for substance abusers; however, they should be used as an adjunct to behavioral treatment interventions, not as the primary intervention. The fact is, AA was not designed to work with offenders, but rather pro-social people with a substance abuse problem.*

### **Slide 25-26 - Summary of Substance Abuse Research**

*The next two slides summarize the research on substance abuse.*

### **Slide 27 - 28 - Programming Guidelines**

*What should you do to ensure that your programs are effective? Here are some guidelines for effective programming.*

- *Require that substance abuse programs include behavioral treatment based on cognitive techniques*
- *Vary intensity of treatment according to risk and make sure it is sufficiently intensive to be effective.*

- *Make sure the program is at least 90 days long. Any program lasting less than 90 days will likely be ineffective.*
- *Treatment should be at least 100 hours of direct services over a 3 to 4 month period, however, intensive treatment programs lasting over one year (excluding aftercare) might begin to see diminishing results.*
- *Include aftercare services.*

### **Slide 29 - Does it all matter?**

*The empirical evidence is clear: if treatment is done well it can have a significant impact on offender behavior and recidivism.*

### **Slide 30 - Expected Recidivism Rates**

*This is perhaps best illustrated in this slide which shows the expected recidivism rates for institutionalized juvenile offenders based on program characteristics.*

## **GUIDED PRACTICE**

*Think about the programming you currently have for Youthful Offenders in your facility. Which programs meet the list of effective criteria? Which do not?*

### **Trainer Note**

Debrief the guided practice by having participants share their answers.

## **CLOSURE AND EVALUATION**

### **Trainer Note**

- Summarize key points. Tell the participants that during other modules they will learn about the steps they can take to make their programming more effective.
- This is a required module. There is a page in the Action Planning Section (Case Planning - Reception to Release) of the workbook for the participants to complete.

## **Interventions and Programming Issues**



## **Objectives**

- Discern between programs that are effective in reducing recidivism from those that are not.



## **Target Crime-Producing Behaviors**

- Effective programs target crime-producing behaviors.
- Effective programs make sure that most of their activities and interventions are directed toward addressing crime producing behaviors.

## **Treatment Models With Demonstrated Effectiveness**

- Social learning programs where new skills are taught, and behavior and attitudes reinforced.
- Cognitive behavioral programs that target attitudes, values, peers, substance use, anger.
- Family based interventions that train family on appropriate behavioral techniques.

## Social Learning

- Processes through which individuals acquire attitudes, behavior, or knowledge from the persons around them.
- Both modeling and instrumental conditioning appear to play a role in such learning.

5

## Principles of Cognitive Intervention

- Thinking affects behavior.
- Antisocial, distorted, unproductive, irrational thinking causes unproductive behavior.
- Thinking can be influenced.
- We can change how we feel and behave by changing what we think.

6

## Thoughts That Lead to Pro-criminal Behaviors

- Unrealistic assumptions or demands
- Catastrophizing
- Overgeneralizing
- Absolute or rigid self-talk
- Neutralizing (excuses), blaming, denying, minimizing, rationalizing

7

## Cognitive Deficits Linked to Criminal Behavior

- Impulsiveness associated with poor verbal self-regulation
- Impairment in means-end reasoning
- Concrete thinking style that impinges on ability to appreciate thoughts and feelings of others
- Conceptual rigidity that inclines people to a repetitive pattern of self-defeating behavior

8

## **Cognitive Deficits Linked to Criminal Behavior**

- Poor interpersonal problem-solving skills
- Being egocentric
- Poor critical reasoning
- Selfish perspective

## **Targeting Cognitive Behavioral Deficits**

- Reduce fatalistic thinking - Teach offenders skills that enable them to assess the role their thinking has in influencing their actions.
- Reduce antisocial behavior - Teach offenders to replace these behaviors with pro-social ones.

## **Targeting Cognitive Behavioral Deficits**

- Modify illogical thinking – Develop critical reasoning skills.
- Reduce impulsiveness – Teach consequential thinking.
- Minimize rigid thinking - Teach creative thinking skills.

## **Targeting Cognitive Behavioral Deficits**

- Reduce egocentrism - Teach social perspective and values enhancement.
- Improve social adjustment – Train offenders in self-control techniques.

## **Components of Cognitive Behavioral Strategies**

- Cognitive self-control
- Anger management
- Social perspective taking
- Moral reasoning
- Social problem solving
- Attitudinal change

13

## **Effective Modeling**

- Dynamic factors let you measure progress and to reassess, and if necessary reclassify the offender.



14

## **Applying Rewards**

- Immediately show/tell offender your approval and why you like what they did.
- Congratulate offender for their behavior.
- Encourage offender to consider why their behavior is desirable.



15

## **Applying Disapproval**

- Immediately tell offender you disapprove or disagree with what he or she did.
- Explain why you disapprove with what offender did.
- Encourage offender to consider why his/her behavior is undesirable.
- Immediately stop showing disapproval as soon as offender stops the behavior.

16

## **What Doesn't Work with Youth**

- Drug prevention classes focused on fear and other emotional appeals
- Drug education programs
- Wilderness programs
- Talking cures
- Non-directive interventions
- Self-Help programs (12-Step, AA, NA)
- Increasing cohesiveness of delinquent groups

17

## **What Doesn't Work with Youth**

- Targeting non-crime producing needs
- Vague unstructured rehabilitation programs
- Fostering self-regard (self-esteem)
- Radical non-intervention (doing nothing)
- Targeting low-risk offenders
- "Punishing smarter"

18

## **"Punishing Smarter" Programs**

- Military Style Boot Camps
- Shaming Programs
- "Scared Straight"
- Intensive Supervision
- Home Detention with Electronic Monitoring

19

## **Boot Camps**

- Don't target crime producing behavior
- Mix low and high risk youth together
- Return them to the same environment they came from
- The social learning model teaches offenders just the opposite of what we want them to learn

20

## Drug Treatment Effectiveness by Lightfoot

### ***Shown to be effective:***

- Social-Learning Based Treatments
- Aversion Therapy
- Covert Sensitization
- Contingency Management/Contracting
- Broad Spectrum Therapies
- Individualized Behavior Therapy
- Community Reinforcement
- Behavior Self-Control Thinking
- Relapse Prevention

## Drug Treatment Effectiveness by Lightfoot

### ***No Clear Evidence of Effectiveness:***

- Acupuncture
- Education
- Lectures
- Bibliotherapy
- Self-help
- Alcoholics Anonymous
- Narcotics Anonymous
- Al-Anon
- Adult Children of Alcoholics
- Psycho-therapy
- Supportive
- Confrontational
- Pharmacotherapies

22

## Drug Treatment Effectiveness by Taxman

### ***Successful at reducing recidivism:***

- Directive Counseling
- Behavior Modification
- Therapeutic Community
- Moral Reasoning
- Social Competency Cognitive Behavior Models
- Emotional Skill Development
- Cognitive Skills
- Behavioral Skills

23

## Drug Treatment Effectiveness by Taxman

### ***No clear evidence of reducing recidivism:***

- Nondirective counseling
- Reality therapy
- Psycho-social education
- 12 Step or other self-help groups
- Psychoanalytical

24

## **Substance Abuse Literature - Findings**

- No "magic bullet."
- Treatment is superior to no treatment.
- Short term, education-based treatment services, won't effectively reduce significant substance abuse.

25

## **Substance Abuse Literature - Findings**

- Traditional models not as effective as cognitive-behavioral models.
- More treatment than needed may reduce treatment effectiveness.
- Criminality independently affects a treatment outcome.

26

## **Programming Guidelines**

- Require that substance abuse programs include behavioral treatment based on cognitive techniques.
- Vary intensity of treatment according to risk.
- Use programs that are more than 90 days.

27

## **Programming Guidelines**

- Treatment should be at least 100 hours of direct services over a 3-4 month period.
- Include aftercare services.

28

## Does it all matter?

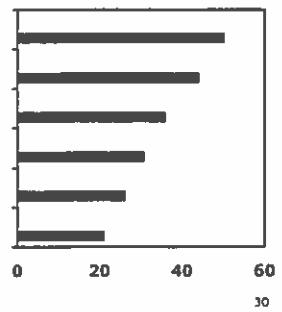
- If treatment is done well it can have a significant impact on offender behavior and recidivism.



29

## Expected Recidivism with Various Intervention Characteristics for Juvenile Offenders

- Minimal Program (M)
- Best Intervention Type (B)
- B+Over 6 Months Duration (D)
- B+D+Non-JJ Provider (N)
- B+D+N+Good Implementation (I)
- B+D+N+I+>2 Year Old Program



Lipsey 1999

## Interventions and Programming Issues



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# **Performance Objectives**

## **INTERVENTIONS AND PROGRAMMING ISSUES**

As a result of this module you will be able to:

- Discern between programs that are effective in reducing recidivism from those that are not.



**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** Aftercare Using Cognitive, Behavioral and Social Learning  
Approaches To Transition Planning and Relapse Prevention

**WRITTEN BY:** Kerry La Framboise and Mark Gornik, 2002

**TIME FRAME:** 6 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Plan the Transition and After Care elements of a Youthful Offender Program that incorporates “what works” practices.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals  
who work with young offenders

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at  
each table

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**REFERENCES**

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, “youthful” has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## ANTICIPATORY SET

### Slide 1 – Aftercare

*Think of a time when you changed a behavior or broke a bad habit. One example might be smoking or eating too many sweets. Why did you try to change your behavior? Did you succeed for good, or did you backslide at times?*

#### Trainer Note

Get a few volunteers to share their experiences

#### Possible responses

It is hard to break ingrained behaviors or ways of thinking. I was okay until I got around friends that were smoking, eating etc.

*Think of a time when you had to leave a current situation (residence, job, associates, etc.) What was it like?*

#### Trainer Note

Get a few volunteers to share their experiences

#### Possible responses

It was hard to make a change, even if it was for the better. It was a little scary.

*Many of those same things happen with young offenders as they transition from prison to the community. While in prison, they have hopefully, participated in cognitive change programs, taken responsibility for their behavior and made changes in their thinking. But now they are asked to make another big change. They will be living in a new place, with different people. As they return to the community however, they will face new challenges as they enter a different environment.*

*The period of transition from incarceration to the community is critical to the long-term success of offenders. It is during this transitional period that the offender presents the greatest risk to relapse or recidivate. However, national studies have shown that offenders who have access to a continuum of services upon release have lower relapse and recidivism rates.*

### Slide 2 - Objectives

*Our objective in this module is to: Plan the transition and aftercare elements for a Youthful Offender Program that incorporates “what works” practices.*

*Let's take just a minute to define the terms: Aftercare and Transition.*

### **Slide 3 – Definitions**

**Aftercare:** Programming processes associated with a continuation of some type of treatment such as sex offender treatment or substance abuse after completion of primary treatment. In corrections this is often associated with movement to another location as well.

**Transition:** Movement of the individual from one arena or setting to another, as in, from incarceration to the community or one prison to another.

## **INSTRUCTIONAL INPUT**

### **Slide 4 – The Transition Challenge**

During this reintegration period it is often difficult to differentiate between a conduct disorder and normal adolescent development issues. For example, young offenders who display criminal conduct are just being self-centered and displaying it, which is a normal part of adolescent development. Good assessment, as we discussed earlier can help differentiate between the two.

### **Slide 5 - Planning Considerations**

Things that need to be considered when planning for aftercare are:

**Changing environments:** As the youthful offender changes his environment from that of prison to that of his or her neighborhood he will experience cultural differences both personally and environmentally. These changes will generally effect how the offender sees, hears, responds and adjusts. It is important to keep these shifting sands in mind while determining the profile of the individual you are dealing with. They left the culture of family, home and neighborhood for the prison or incarceration culture. Now they are preparing to reenter the culture they left, but they have changed and so has the old neighborhood.

**Reintegration:** This is a challenging arena, because the offender needs to reintegrate with society as a whole, but there are parts of society that will be risk factors for re-offending. The transition team must sort these through carefully.

**Maintaining new habits:** We know that when under stress, people resort to what they know best. There will be huge stress factors throughout the transition process and the more we can prepare the offender before-hand to stick with the new and reject the old, the better the results will be.

**Handling success, (sometimes for the first time):** *The majority of these youthful offenders are experts at failure. They have been practicing at it for years. They are comfortable with it and know all the ramifications of the process. They know little or nothing of success and it will, in most cases, scare them. There will be a tendency at times to sabotage that success and get back to old turf that at least feels comfortable.*

#### **Trainer Note**

Here is an analogy you can use to stress the challenge of leaving prison and reintegrating into the community.

*A man from Communist Russia was given the opportunity to move to the United States. He is in his early twenties and has lived under the communist regime in Russia his whole life. He arrives in America, the land of the free and the home of the brave. He has read about, heard about, talked about and dreamed about living here and all the benefits that come with it. But there is no one to meet him at the airport and explain the laws, rules and culture of living in America. He does not speak the language, cannot read English and knows no one in America. As you picture this scenario, you could predict a miserable few hours or days in the greatest country in the World, and then the sad trip back to Communist Russia, which offers none of the benefits of America, but at least he knows the rules and knows how to survive there. Our youthful offenders are much like that individual, not really knowing the rules to this pro-social world that we take for granted. They, like our friend from Russia, are in need of a guide, interpreter and friend.*

**Goals, visions and dreams:** *Obviously, with all of these challenges against them, it might seem easier to return to the old ways. But if we can assist them in setting goals and having dreams of living a pro-social life, these will serve as a beacon to guide them through the fog of transition.*

*Can you name other challenges?*

*What are some ways to help offenders avoid behaviors in these different areas that may cause him or her to once again engage in criminal behavior?*

*We have talked about some ways to gauge change through the social learning model and examining progress with the cognitive thinking programs.*

*Inability to go through the change process signals potential for relapse. You can interview the offender to look for signs of criminal thinking versus openness to change. During the interview you can assess where they are on the continuum, their stage of adolescent development, and their level of criminal thinking.*

## **Trainer Note**

Have the group take some time to develop questions they might ask to assess potential for relapse. Be sure to provide them with an example.

*As we can see from our earlier discussion of how thinking patterns work, while great strides have been made in recent years in the area of programming incarcerated felons, there is much work yet to be done.*

*Two areas of great concern for all offenders are the areas of transition from incarceration to community and relapse prevention. These services (provided from prior programming to the community) are critical to the fundamental goals of all correction agencies, i.e., public safety and offender change. Youthful offenders are no exception in this area.*

## **Slide 6 – Transition Process**

*The transition process includes how young offenders spend their time during confinement, how they are released to communities, and how they are supervised during their adjustment to free living.*

*The transition process exists to serve the broader community's interest in public safety, effective use of scarce public resources, and restoration of victims, offenders and communities. Members of the public, community and neighborhood organizations, and criminal justice and human service agencies all are stakeholders in how well the transition process functions.*

## **Slide 7 – Areas of Concern**

*Some areas of concern with current transition programs are:*

- *Policies and procedures relating to transition often are inconsistent or countervailing.*
- *The flow of information among agencies is often impaired by organizational boundaries, incompatible information systems, conflicts in priorities etc.*
- *Prison programs are often curtailed due to rising operating costs.*
- *There are cases where there is little continuity between inmates' prison programs and activities, their reentry plans, and the supervision and services they receive once released.*

*What other concerns have you observed?*

*So, what can we do to address these areas of concern and increase the success rate of successful offender transition?*

## **Slide 8 – Increasing Success Rate**

*In order to increase the rate of successful offender transitions from prison, there are key areas that must be targeted:*

- *Effective risk management and treatment programming*
- *Offender accountability*
- *Community and victim participation*
- *Stakeholder partnerships*
- *Open lines of communication between stakeholders*

### **Trainer Note**

Have the group identify other ways that they can increase the success rate.

## **Slide 9 – Performing Key Transition Functions**

*Although there are many stakeholders involved in the process, three separate authorities typically have primary responsibility for performing key transition functions:*

- *A Corrections authority (which operates prisons);*
- *A Releasing authority (which makes decisions about release and revocation); and*
- *A Supervision authority (which supervises offenders released from prison).*

*All three of these agencies must actively support the transition reforms if the process is to succeed. If any one of these agencies opposes (actively or passively) the process will fail.*

*Another group among these stakeholders that is critical to success would be the human service agencies. They play a major role in the transition process, either by providing information or by controlling access to resources. Many youthful offenders fit the criteria for these agencies and many were clients of these agencies prior to involvement with the Correction System.*

*No function in the transition process is performed in a vacuum. While a specific authority may have primary responsibility for an individual function, other authorities and agencies are stakeholders in each function, and must provide information, support, or resources necessary for the function to be performed properly.*

*For example: Many times juvenile offenders who have been remanded to the adult system have a difficult time obtaining services, whether it be for substance abuse treatment, group counseling or therapy. The problem? They are too young for the adult services, and many times do not fit the criteria. Yet, they don't qualify for the juvenile services because they are under the jurisdiction of the adult system.*

*These problems could be remedied much more efficiently if all the stakeholders involved would work together to solve the problem. In many cases, if policies and*

*procedures affecting the performance of these functions were integrated and coordinated between stakeholders, it would be far easier to obtain the goals of successful transition.*

### **Slide 10 - A Successful Transition Model**

*For a transition model to be successful all stakeholders must be supportive and involved, thereby improving public safety, reducing recidivism and new victimization, and allocating scarce public resources in correctional facilities and in communities more effectively. The successful transition program incorporates proven reforms (e.g., risk management, structured decision-making) and 'best practices' for managing high-risk and special needs offenders. It will work for offenders released on parole and those released at the conclusion of their prison terms. The goals of a successful model are:*

1. *To promote public safety by reducing the threat of harm to persons and their property by released offenders in the communities to which those offenders return;*
2. *To increase the rate of successful offender transitions from prison by fostering*
  - *Effective risk management and treatment programming;*
  - *Offender accountability, and*
  - *Community and victim participation.*

*Successful transition planning is based on the following principles:*

- *Stakeholders in the transition process should form partnerships to identify and promote common interests, develop integrated policies, and develop a shared ownership of an improved transition process;*
- *Information relating to transition should be shared freely within and among stakeholders' organizations;*
- *Transition reforms should incorporate best practices and relevant research findings;*
- *Transition reforms should be affordable, transferable, and adaptable.*

### **Slide 11 - Example Transition Model**

*This slide depicts a model transition process developed by NIC. It consists of the following functions:*

- *Classifying and assessing inmates,*
- *Developing and implementing transition accountability plans,*
- *Releasing offenders from confinement (via both discretionary and mandatory releases),*

- Providing community supervision and services,
- Responding to violations of conditions of supervision,
- Discharging offenders from supervision and terminating jurisdiction, and
- Providing post-supervision community support and aftercare, leading to ex-offender autonomy and self-sufficiency.

*We will look individually at many of the components of this successful transition model. Specifically we will consider the following elements:*

- Classification and assessment
- Developing and implementing a transition case plan
- Providing community supervision and services
- Evaluation
- Monitoring

### **Slide 12 - Classification and Assessment**

#### **Trainer Note**

Refer to the module on classification and assessment.

*Classification is a critical area that affects all that follows. Classification and assessment of the offender should be based on all earlier assessment information with ongoing evaluations throughout the sentence. The goal here is to build on what has already begun, not to start over.*

*If a system lumps offenders all together by maximum, medium and minimum levels of classification they will miss much that will affect the rest of the process.*

*Here is an example of what an assessment should be able to do.*

### **Slide 13 and 14 – Assessment Protocol**

- Measures an offender's risk to recidivate.
- Establishes community supervision levels.
- Provides risk/need areas that are program targets for treatment planning.
- Provides structure and measured risk for correctional reports.
- Tracks group data for resource allocation.
- Measures change, both positive and negative, in offender risk to recidivate over time.
- Measure static and dynamic criminogenic need, risk and responsibility factors.
- Uses and continues to document crime, sentence, and behavior while supervised or in custody.
- Utilizes standardized assessments tools and case plans developed and monitored by treatment and custody.

- Provides classification levels, living assignments, and treatment plans that are interfaced and understood by both custody and treatment staff.
- Utilizes a structured protocol for program assignment including: Assessment scores, File review, risk/need responsivity, proximity to release and, professional discretion.

## **Slide 15 – Developing and Implementing a Transition Case Plan**

### **Presents the big picture:**

*This case plan must be the big picture view of this youthful offender's entire plan from the time of transition through release from supervision and even past that to productive citizenship. The plan begins at the time of incarceration and therefore should be consistent with and in some cases may even be the same as the institutionally developed case plan. It is the master from which reentry information and planning will be developed.*

### **Developed by major stakeholders:**

*The team that is formed to assist in the development of this plan should be a representation of the major stakeholders that will have a part in this process. The youthful offender, as one of the members of the transition team, knows at all times where s/he is in the process and is involved in that process.*

### **Evolving framework:**

*From the point of transition through discharge from supervision and beyond, this plan becomes an evolving framework for aftercare provided by human service agencies.*

### **Follows “What Works” principles:**

*Effective case plans will follow the criteria of What Works principles.*

## **Slide 16 – Case Plan Phases**

These plans should cover the following phases:

- **The institutional phase** describes actions, events and responsibilities that occur during the offender's term of imprisonment, from admission until the start of the reentry phase.
- **The reentry phase** begins approximately six months before the offender's target release date, and continues until their adjustment to community supervision has stabilized—e.g., six months after release from prison. In this phase the general reentry elements defined in the institutional phase are made more specific and detailed.
- **The community phase** begins when the offender has stabilized on community supervision and continues until their discharge from supervision. This phase

- focuses on building on offenders' strengths and successes and improving their capacity for self-sufficiency.*
- *The discharge phase begins when the offender's sentence ends or when officials make a discretionary choice to end supervision. In this phase it is the responsibility of the former offender, human services providers, and the former offender's network of community supports, linkages, and mentors to continue relevant aspects of the case plan during the period of aftercare.*

#### **Trainer Note**

Assign small groups one of the phases. Have them list some specific activities that would take place in each phase. For example, what would a case plan look like in the institutional phase? What elements would it contain?

*Now let's take a look at some of the elements of transition.*

#### **Slide 17 – Providing community supervision and services**

*Supervision should be based on actively involving the offender, requiring that they accept responsibility and accountability, as they are able. Supervising staff should be well trained in gauging change in youthful offenders. All partners in the transition process should have the same goals and competencies.*

#### **Slide 18 - Community based case management**

*Community supervision should begin prior to release with visits to the inmate from the supervising officer in the institution, preparing for transition. Officers should be meeting regularly with inmates prior to their release for pre release planning. During this time, community services and resources are examined both with the Probation/Parole Officer and with the transition staff. There should be a transition team developed to assist each individual in this transition process. A team makes case decisions.*

*Communities that come together to form networks of safety, accountability and opportunity will see greater success in working with youthful offenders than anything the individual departments or agencies have been able to do in the past. Synergy is the phenomenon of our combined energies accomplishing much more than our individual energies could, even when added together.*

#### **Slide 19 -Supervision - A Collaborative Approach**

*Probation Officers partner with the community, not just referral agencies, to provide the necessary surveillance and supports. All approaches, services and programs are objectively evaluated by agreed upon criteria. External stakeholders must be heard. This begins through having continual dialogue and building the relationship from common ground.*

*Probation Officers should be advocates for the offender, the victim, and the community, including the offender's family. By engaging the supervisor with*

*community organizations and networks, advocacy helps to foster community acceptance of offenders.*

*The skilled practitioner or correctional agent of change will also know how to administer dosage, type, frequency, duration and, sequence in regard to youthful offender activities as guided by risk, need, and responsivity.*

#### **Trainer Note**

Have the group identify other resources and problems with competency (focus on solutions). Discuss the skill of knowing how to choose type and assign frequency, duration etc.

#### **Slide 20 - Referrals**

*Referrals link offenders to needed services. For referrals to be effective the supervising officer must understand the problem prompting the need, and how that problem affects the requirement for service delivery. Supervising officers also need to know what services are available within the community and about the effectiveness of service providers (or about their effectiveness in dealing with particular types of offenders).*

#### **Slide 21 - Evaluation**

*Reach consensus about how all programs will be evaluated (internal and external). Share responsibility and accountability. All agencies touching these offenders need to be involved in the process. Community resource providers should cooperate/participate in development of rules and regulations that support the goals of case planning.*

*The case plan is the foundation for monitoring each offender's progress in the community, to intervene when needed, to advocate on behalf of those affected by the case plan, and to refer offenders to service providers as required.*

#### **Slide 22 - Monitoring**

*Monitoring consists of contacts with each offender aimed at determining compliance with conditions of release and progress in achieving milestones. In short, it is intended to identify and document what offenders are doing right and what they are doing wrong. Least restrictive options should be used to perform monitoring, and supervision strategies should focus on altering future behavior.*

*One example is the Idaho Department of Corrections. Staff found that when monitoring the youthful offender caseload, there were many times in the initial forming stages of the program that they had to revisit the rules, policies and procedures in order to define what would work best for these younger offenders.*

*The data collected while monitoring cases should be analyzed regularly and used by case managers to inform all concerned about changes in monitoring elements and strategies, interventions, advocacy and referrals. Communication with supervisors, community resources and everyone else in the network is a key to lasting success.*

### **Slide 23 – Interventions and Sanctions**

*Interventions and sanctions are responses to monitoring and should be considered jointly, as part of an integrated approach:*

*Supervision and treatment are on a continuum. Supervision, accountability and change need to be considered together. Offenders need to know that one thing is for punishment; one thing is for change and treatment.*

- *Accountability/punishment for violations*
- *Rewards for positive accomplishments, and*
- *Steps to improve future adjustment by altering or controlling, including: modifying offenders' environments to reduce their opportunities to commit violations, and altering offender's future behaviors by applying treatment or controls.*
- *Hold offenders accountable and giving rewards for positive accomplishments etc.*

### **Slide 24 – Structured Responses to Violations**

*The rationale for using structured responses is to move offenders from compliance through accountability to personal responsibility and self-risk management. (i.e., to the place where they can make it on their own without supervision and without relapse.)*

***Clear understanding of consequences:** Even before release, there should be a clear understanding of the rules and expectations of the supervision/treatment plan. Included in that understanding are the structured responses to violations of those rules and expectations. The type of intervention is provided based on need level. Supervision Probation Officers and all others involved must know what to expect and how to correct and support the offender depending upon his/her treatment level.*

***Swift, consistent response to violations:** The policies concerning violations should require swift and consistent responses to all known violations. Responses should be directly proportional to the seriousness and persistence of detected violations and the risks posed by the offenders. Hence, low-level responses (e.g., warnings, counseling, reprimands) should be imposed for violations that involve minimal harm and represent little risk to the public. Somewhat more serious violations might merit restructuring the conditions of supervision to tighten control or strengthen interventions. Slightly more serious violations might merit short periods of confinement, followed by release to re-structured conditions of supervision. Very serious violations, or violations committed by a high-risk offender would merit swift*

*revocation and return to prison. Policies might promote partnerships with law enforcement to target selected high-risk cases for extra-intensive surveillance, joint supervision, shared intelligence, etc. Revocations and re-imprisonment should be reserved for the most serious violations, for the most persistent violators, or for high-risk offenders.*

*There is an example of a structured response system in your workbooks. The matrix shows sanction guidelines for positive urine tests used by an interagency committee on substance abuse in the Iowa Department of Corrections. The matrix also includes graduated responses, which we will talk about next.*

### **Slide 25 – Graduated Responses**

*An array of graduated responses to detected violations will allow agencies to match a response to the severity or frequency of the violation and the level of offender risk. Graduated responses should seek to:*

- *Punish the instant violation,*
- *Deter future violations,*
- *Reduce the level of risk posed by any future violation, and*
- *Prevent future violations by managing the environment, and intervening to change offenders' future behavior.*
- *Integrate sanctions and interventions in such a way that the sanction acts as an appropriate extinguisher and the intervention is appropriately matched as a strategy to change the attitudes, beliefs and thinking that support the behavior.*

### **Slide 26 – Discharge**

*Just as release from prison gives inmates an incentive for good behavior and addressing risk-related problems, so discharge gives offenders strong incentive to conform to terms and conditions of supervision. In addition, discharge signals the end of supervision—the end of the active portion of the criminal sanction—and the beginning of a formal re-integration of offenders into the body of civil society. Here are some steps to take when considering discharge policy.*

- *Start planning for discharge immediately upon admission.*
- *Discuss and plan for discharge and aftercare from pre-release throughout community supervision.*
- *Begin building expectation and vision for what happens after supervision is ended.*

## **Slide 27 - Discharge**

- View discharge as a reward for offenders who have (a) completed a substantial period of community supervision without serious violations, and (b) who have successfully reduced their dynamic risk factors during their sentences.

*The duration of successful adjustment on supervision before discharge should be proportional to the level of risk. Jurisdictions might choose not to discharge highest risk offenders, but to keep them on intensive supervision until their sentences expire. Conversely, lowest risk offenders might be discharged after relatively brief periods of successful community supervision.*

*Here are some ideas on how to focus your goals and roles when planning to discharge the low risk or the medium and high-risk offenders.*

## **Slide 28 – Goals/Roles with Low Risk Offenders**

**Goals:** *Divert the offender quickly out of the system to help ensure the offender is successful in the community.*

**Roles:** *You need to be a facilitator, monitor, supporter and a partner with community stakeholders.*

## **Slide 29 – Goals/Roles with Medium/High Risk Offenders**

**Goals:** *Partner with the community to provide a "box" for the offender to give him or her time to positively change. Allow victim to heal and engage the community with failsafe triggers.*

**Roles:** *You need to be a facilitator, teacher, supporter, communicator, observer, evaluator, and monitor.*

*It is important to identify ways to make discharge from supervision a formal celebration of the offender's success in serving with the requirements of the sentence and a public and visible recognition of his or her re-integration into the body of civil society.*

*Take a few minutes to discuss this at your table; what are some ways you make discharge from supervision into a formal celebration? What other things could you do?*

## **Slide 30 - Restoring Rights**

*In addition, take affirmative steps to restore civil and political rights for discharged offenders. Review existing laws that limit ex-offenders' right to vote or hold office, identify circumstances for which a record of prior felony conviction is not a reasonable ground for such exclusions, and launch an initiative to revise those laws. Also review the processes by which discharged offenders may restore their civil and*

*political rights, and revise those processes, if needed, to enhance uniformity and simplicity.*

*Review laws restricting employment for persons convicted of felonies, and remove restrictions when the nature of the prior conviction is unrelated to a legitimate public purpose. [One may argue that some exclusions are reasonable, for example, prohibiting persons previously convicted of child molestation from employment as teachers, or prohibiting those convicted of embezzlement from working in banks.]*

*Existing procedures for clemency, pardon, and expungement should be reviewed, and changes proposed, if needed, to make these options more readily available to ex-offenders.*

### **Slide 31 – Transition and After Care Planning**

*The transition process seeks to produce offenders who are law-abiding citizens with the strengths and skills to successfully manage the problems they will face daily. However, as with citizens generally, discharged offenders may require assistance and services from human service agencies. The offender's transition and aftercare plan should contain a framework to guide human service providers, as well provide information they might need to respond to requests for assistance from the offender.*

### **Slide 32 - Life-Skills/Needs**

*Life skills should be targeted during incarceration but this should continue into aftercare. Of the many areas that will need to be addressed in the life of youthful offenders, here are some that are commonly encountered.*

**Job training and development:** *It is not uncommon to encounter an offender who has not successfully established employment in his/her entire life. Many of these offenders have been in trouble and under supervision of one kind or another from age ten to early twenties. They do not have the skills necessary to find work or maintain it, once it is established.*

**Vocational Rehabilitation:** *This has proven to be a major resource in the transition process for youthful offenders. Getting them screened for possible acceptance into the Vocational Rehabilitation Programs in your community will provide resources that are difficult to obtain otherwise.*

**Help in securing personal identification:** *Many are sentenced to prison having never appropriated proper personal identification. It is common practice for them to be released from prison with just their prison identification as proof of identification. When they attempt to remedy this, they are told that they can only obtain legal identification by producing a valid driver's license, or birth certificate and/or social security card. These are not easily tracked down after years of incarceration and the "normal" life these offenders were living prior to incarceration.*

**Referrals to community health services:** As mentioned earlier, many of these offenders will still be under the "age of majority," but having been remanded to the adult system, are no longer candidates for either the juvenile or adult system. We may need to prevail upon the community services network to research making the "system" more user friendly for these youthful offenders.

**Family focused counseling:** In many cases, there is a deficit of counseling designed to meet the needs of the families of youthful offenders. This arena is also targeted as a major risk factor for these offenders.

#### **Shelter/Housing:**

**Half way houses:** Many of these youthful offenders cannot return to their homes, or in some cases their communities or neighborhoods with any real expectation for success. These offenders need the opportunity provided by half way houses to obtain release to the community without that major tendency for re-offense due to risk-laden environments.

**Emergency, transitional and permanent housing:** There are resources currently being developed in communities around the country, providing housing in all three of these areas.

- Emergency housing for those who have no other means of providing for themselves.
- Transitional housing for those in need of transitioning from intensive programs to normal community living.
- Resources to assist in the location and procurement of appropriate housing for those just getting started.

#### **Trainer Note**

Use an exercise to check for understanding. Give them a little information on each type of program and have groups report out on additional points that need to be made about each of these areas regarding their use with youthful offenders.

Remind them about the "what works" principles of using assessment, risk, need and responsibility and the need to match life skills accordingly. Remind them about criminal thinking and the need for ongoing cognitive work on top of these life skills deficits.

#### **Slide 33 – Relapse - Dysfunction in Recovery**

Many youthful offenders have substance abuse issues. Even when you have formulated the best transition plan and have placed the offender in appropriate after care programs, there is still the danger of relapse. What is relapse?

*Relapse in relation to substance abuse can be described as becoming dysfunctional in recovery. This dysfunction can lead to one or several ends. The most common result is a return to addictive behavior.*

*Relapse for offenders can be looked at more broadly. Offenders may relapse by returning to any variety of criminal behavior. The end result would be rearrest and return to supervision or prison.*

*In some cases, the relapse process can end in physical or emotional collapse that has the potential to lead to further deterioration.*

*Relapse has predictable and identifiable warning signs that begin long before a return to substance abuse or other criminal behavior.*

*While relapse is a real possibility, it is not necessary. We can teach skills and techniques to interrupt the relapse process before it is too late. Relapse prevention occurs by training both the offender and the supervising officer to watch for these signs. There should be a plan in place to deal with these symptoms if they occur. Obviously, the desired end is to prevent relapse by reengaging the recovery process.*

*A relapse prevention strategy, like the rest of the case plan is individualized, practiced, dynamic, changing, and competency based (based on providing needed knowledge, attitude, and skill). Development of an individualized plan and rehearsal of alternative pro-social responses that are specific to the behaviors or circumstances that increases the risk of re-offending for the offender in question are essential components.*

*When can relapse occur? Any time! The most vulnerable time is within the first 12 to 24 months from treatment or release from prison. If there is not a clear understanding that anyone can relapse at any time, the risk of relapse is increased. As we have discussed, planning for relapse is the best way to prevent it.*

### **Slide 34 - The Developmental Model of Recovery**

*To better understand what the offender will be going through as they work through their recovery, let's take a minute to look at the Developmental Model Of Recovery. Then we will examine some warning signs of relapse and prevention strategies.*

#### **A. Pre-Treatment**

*This is the stage of recovery where awareness is raised, through painful consequences, that a person has a problem with drinking or using drugs.*

**B. Stabilization**

This is the stage of recovery where control is regained: thinking, emotions, judgment, and behavior.

**C. Early Stage**

This is the stage during which there is major belief change about the extent of the problem and acknowledging that "help" (in the form of treatment) is the only way to begin to turn one's life and lifestyle around.

**D. Middle Stage**

This is the stage of recovery where the addict begins to repair the damage caused by his or her addiction and develops a normal balanced life style.

**E. Late Stage**

This is the stage of recovery for overcoming obstacles to healthy living that developed in childhood before addiction began.

**F. Maintenance Stage**

This is the time for growth, development and productive living. The addict must remember that the disease is in remission but must recognize that chemical dependency is a chronic disease that does not go away.

### **Warning Signs Identification**

*Relapse warning signs identification is the process of identifying the problems and symptoms that can lead to relapses. So, what are some of the warning signs the youthful offender and supervising officer should watch for to help reduce the chances of relapse? Let's take a look. As we review the warning signs there are several caveats to keep in mind:*

#### **Slide 35 – Relapse – Warning Sign Caveats**

- *Every person has a unique set of personal warning signs that indicate that the process of relapse is occurring.*
- *These are signals that they give first to themselves and then others that they are in danger of alcohol use, drug use, and/or developing other relapse symptoms.*
- *Problems may come from internal or external situations.*

## **Slide 36 - Warning Signs**

It is helpful to think of warning signs based on categories. Below is a summary of areas where warning signs in a variety of categories may surface.

### **Mental**

Warning signs in this area would be shifts or changes in their mental process, i.e., difficulty in thinking, beliefs, and making decisions.

### **Emotional**

Warning signs in this area would be shifts or changes of emotions and feelings such as anger, shame, and guilt.

### **Physical**

Watch for signs connected to the physical being, i.e., stress levels, functioning level, and compulsive behaviors.

### **Spiritual**

With the spiritual area of life, warning signs appear when they complain of not having anything to do or that what they are doing is a dead end and without meaning. You may observe a loss or reduction in constructive planning.

### **Social**

Pay close attention to social events, people, places that could put the offender at risk for relapse. Decreased associations at meetings, not checking with, or spending time with pro-social or recovering people in their network are other examples.

### **Family**

The warning signs related to family issues can be significant. Watch for ignoring members of the family, unreasonable responses to or about family members, isolation from family, avoiding normal issues, shrugging responsibilities.

### **Job**

Warning signs related to the workplace: type of work, people they are working with, self-esteem in work, and stress.

### **Finances**

Warning signs related to money: scheming on ways to get money, not budgeting paychecks, having a large sum of money in pocket, preoccupation with money or money issues.

**Health**

Warning signs related to health: ignoring health, poor diet, lack of exercise, and/or failing health.

**Legal**

Warning signs concerning legal problems: Deterioration of law-abiding standards, a compromise in obedience to laws or an increase in rule infractions or technical violations.

*Any relapse warning sign is serious because it can be the first step towards drinking, using other substances, or other criminal behavior. Watch for these signs in your offenders, as you will probably see some of them before they do. Teach some of them to your offenders so they can be on the lookout for them. Offenders should develop a list of personal warning/danger signs or indicators that may cause a relapse. It would be wise to have your youthful offenders share with you what they believe these indicators are so you can watch for them as well.*

**Slide 37 - Relapse Prevention Strategies**

*So, what can we do when we see these signs? What are some strategies to help prevent relapse? First, more caveats to keep in mind about relapse prevention strategies. Relapse prevention strategies are:*

*Individualized – No two people are exactly the same. No two stories of the journey into drug/alcohol addiction are exactly the same. Therefore, relapse prevention strategies will not be exactly the same. They must be tailored to the individual, based on personality, life style, and current circumstances. The principles are the same, but the applications will be varied and diverse.*

*Developed and practiced – Just as there is no “one size fits all” in relapse prevention strategies, so also there is no magical pattern or template that will work for all offenders. There is a process of learning the principles of good relapse prevention strategies, developing a program that fits the individual, and then determining the routine needed to put these programs into practice.*

*Dynamic and changing – Once these programs are established, they need to be monitored and tailored regularly to match the changes that occur in the life of each individual. We know that the one constant in life is change. Relapse prevention strategies are no exception.*

*Competency-based on knowledge, attitude, and skill – We must remember to factor in the competency of our youthful offender (remember the responsivity principle). Each one's level of knowledge, current attitude and fundamental skill level will be determining factors in the development of the relapse prevention strategy plan for that individual.*

## **Slide 38 – Focus Areas**

*Here are some areas to focus on with the offender.*

### **Relationships**

*A hallmark of chemical dependence is strained or destroyed relationships. Once the offender has stopped using alcohol or other drugs, they will need assistance in both rebuilding damaged relationships with family and friends and in seeking out additional, fulfilling connections. Healthy relationships will support efforts to grow in recovery. Teaching offenders the importance of nurturing and sustaining these friendships can assist in building a solid foundation for recovery. Be watchful for opportunities to challenge the offender to build a circle of people that will support his or her efforts in recovery and relapse prevention issues. A contract with others is a valuable tool for relapse prevention.*

### **Spirituality**

*There is a direct correlation between involvement in spirituality and improvement in the recovery process. Spirituality is a relationship between an individual, their Higher Power, and others based on values, goals, direction, and purpose with meaning. Many people, when they start to recover from the effects of alcohol and other drugs, identify a spiritual hunger, a desire for connection with something out there that is greater than themselves and that can give their lives meaning and a sense of direction. Often, this is the starting point for nourishing the spiritual part of their lives. Alcoholics Anonymous, Narcotics Anonymous, and other twelve step programs offer all recovering people the Twelve Steps as a framework for developing spirituality and strengthening their religious faith. Faith-based programs can be found in nearly every community to address this need in those who are in need of it.*

### **Filling Empty Time**

*Drinking and other drug use takes up a lot of time. Whether thinking about drinking, drug use, or recovering from drinking or other drug use, most likely it was a major focus of life. Now that they have stopped using drugs and alcohol, there will be an abundance of empty time. Lots of empty time can be a dangerous thing for people who have recently stopped using alcohol or other drugs. Simply not drinking or using and refusing to make other changes in life are a recipe for boredom and possible relapse. As they focus on not drinking or using, have them use that time to expand their horizons and experience new things.*

*Thinking about a youthful offender that you work with that has a history of substance abuse. What are some specific things you can do now to help prevent future relapse?*

### **Suggested Responses**

Responses will vary.

## CLOSURE AND EVALUATION

*Some key points to remember about effective Aftercare programs include:*

- *Planning begins during the treatment phase*
- *Family should be involved in aftercare*
- *Initially there should be frequent meetings, including home visits*
- *Reassessment should occur at regular intervals*
- *The duration and intensity of aftercare should be based on the youth's risk and need levels*
- Services should be available to address offenders needs

*What are some others you can think of?*

### Suggested Responses

Responses will vary.

### Trainer Note

This is a required module. Have the participants continue to build their case plan by turning to the *Case Planning – Reception to Release* in their workbooks to complete the following information.

#### After Care – Action Planning

Looking at the case plan you have built for your personal case study answer the following:

- What will be the biggest challenges in preventing this offender from recidivating?
- What recommendations do you have to help the offender work through those challenges?

## Aftercare

Using Cognitive Behavioral Social Learning  
Approaches To Transition and Relapse  
Prevention



## Objectives

- Plan the transition and aftercare elements for a youthful offender program that incorporates "what works" practices.

## Definitions

### ■ **Aftercare**

Continuation of  
some type of  
treatment

- **Transition**  
Movement of the  
individual from  
one arena or  
setting to another

## The Transition Challenge

- Transitional period presents the greatest risk to relapse or recidivate
- Research shows that offenders who have access to a continuum of services upon release have lower relapse and recidivism rates

## Planning Considerations

- Changing environments
- Reintegration
- Maintaining new habits
- Handling success
- Setting goals

5

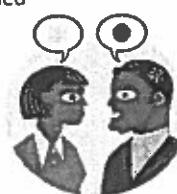
## Transition Process

- How young offenders spend their time during confinement
- How they are released to communities
- How they are supervised during their adjustment to free living

6

## Areas of Concern

- Policy and procedure inconsistent
- Information flow impaired
- Prison programs curtailed
- Lack of continuity



7

## Increasing Success Rate

- Effective risk management and treatment programming.
- Offender accountability
- Community and victim participation
- Stakeholder partnerships
- Open lines of communication between stakeholders

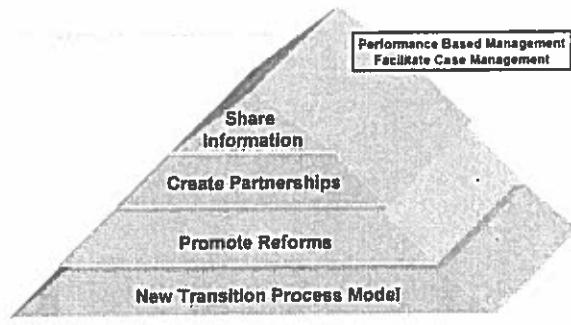
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## **Performing Key Transition Functions**

- Corrections authority
- Releasing authority
- Supervision authority



## **Successful Transition Model**



10

## **Example Transition Model**

- Classify and assess inmates
- Develop/implement transition accountability plans
- Release offenders from confinement
- Provide community supervision and services
- Respond to violations
- Discharge offenders from supervision
- Provide post-supervision community support and aftercare, leading to ex-offender autonomy and self-sufficiency

11

## **Classification and Assessment**

- Critical area that affects all that will follow
- Build on what has already been done



12

## **Assessment Protocol**

- Measures offender's risk to recidivate
- Establishes community supervision levels
- Provides risk/need areas that are program targets for treatment planning
- Provides structure and measured risk for correctional reports
- Tracks group data for resource allocation
- Measures behavioral change, static and dynamic criminogenic need, risk and responsivity factors

13

## **Assessment Protocol**

- Documents crime/sentence/behavior while supervised/in custody
- Utilizes standardized assessments tools and case plans
- Provides classification levels, living assignments, treatment plans
- Utilizes a structured protocol for program assignment

14

## **Transition Case Plan**

- Presents the big picture
- Developed by major stakeholders
- An evolving framework
- Follows "what works" principles

15

## **Case Plan Phases**

- Institutional phase
- Reentry phase
- Community phase
- Discharge phase

16

## Community Supervision

- Supervision should be based on actively involving the offender, requiring that they accept responsibility and accountability, as they are able.



## Community Based Case Management

- Begin prior to release with visits to the inmate from the supervising officer in the institution
- Community services and resources are examined both with the Probation/Parole Officer and with the transition staff

## Supervision – A Collaborative Approach

- *Probation Officers partner with the community, not just referral agencies, to provide the necessary surveillance and supports*
- *Advocates for the offender, the victim, and the community, including the offender's family*

19

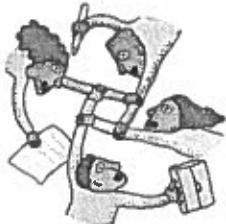
## Referrals

- Referrals link offenders to needed services
- Supervising officer must understand problem prompting need
- Supervising officers need to know what services are available within the community and their effectiveness

20

## Evaluation

- Reach consensus about how all programs will be evaluated (internal and external)
- Share responsibility and accountability



21

## Monitoring

- Identify and document what offenders are doing right/wrong
- Use least restrictive options
- Alter dynamic risk factors by controlling the environment in which offenders' function

22

## Interventions and Sanctions

- Should be considered jointly, as an integrated approach.
- Supervision and treatment are on a continuum.

23

## Structured Response to Violations

- Clear understanding of consequences
- Swift, consistent response to violations

24

## Graduated Responses

- Punish the instant violation
- Deter future violations
- Reduce level of risk posed by any future violation
- Prevent future violations
- Integrate sanctions and interventions

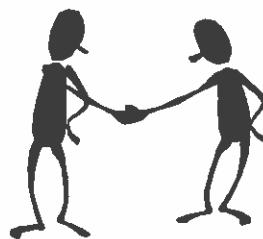
## Discharge

- Start planning for discharge immediately upon admission
- Discuss/plan for discharge and aftercare from pre-release throughout community supervision
- Begin building expectation and vision for what happens after supervision is ended

## Discharge

- View discharge as a reward for offenders who have:
- ✓ completed a substantial period of community supervision without serious violations, and
- ✓ who have successfully reduced their dynamic risk factors during their sentences.

## Goals/Roles With Low Risk Offenders



Goals: Divert quickly out of system; ensure offender success in community  
Roles: facilitator, monitor, supporter, partner with community

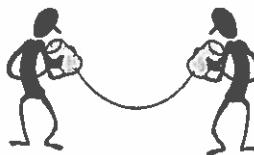
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## Goals/Roles With Medium/High Risk Offenders

**Goals:** Partner with community to provide a "box" for offender to positively change, victim to heal & community to engage with failsafe triggers.

**Roles:** facilitator, teacher, supporter, communicator, evaluator, observer, monitor



29

## Restoring Rights

- Take affirmative steps to restore civil and political rights for discharged offenders



30

## Transition & After Care Plan

- A framework to guide human service providers
- Information needed to respond to requests for assistance from the offender

31

## Life Skills Needs

- Job training development
- Vocational rehabilitation
- Securing personal identification
- Health needs
- Family counseling
- Shelter/housing

32

## Relapse – Dysfunction in Recovery

- Predictable warning signs
- Preventable
- Can occur at anytime

## Developmental Model of Recovery

- Pre-treatment
- Stabilization
- Early stage
- Middle stage
- Late stage
- Maintenance

## Relapse – Warning Sign Caveats

- Each person has unique warning signs
- Signals given to self and others
- Problems may come from internal or external situations

## Warning Signs

- |  |  |
|--|--|
| <ul style="list-style-type: none"><li>➢ Mental</li><li>➢ Emotional</li><li>➢ Physical</li><li>➢ Spiritual</li><li>➢ Social</li></ul> | <ul style="list-style-type: none"><li>➢ Family</li><li>➢ Job</li><li>➢ Finances</li><li>➢ Health</li><li>➢ Legal</li></ul> |
|--|--|

## **Relapse Prevention Strategies**

- Individualized
- Developed and practiced
- Dynamic and changing
- Competency based on knowledge, attitude, and skill

37

## **Focus Areas**

- Relationships
- Spirituality
- Filling empty time



38

# **Performance Objectives**

## **AFTER CARE**

As a result of this module you will be able to:

- Plan the transition and after care elements for a youthful offender program that incorporates “what works” practices.



## Sanctioning Guidelines for Positive Urine Tests

Supervision Level	Use Assessment and Treatment			Impose Punitive/Disciplinary Action	
Priority Issues	Higher risk and higher needs require greater supervision resources.	- Substance abuse severity indicates greater intensity and duration of treatment. - Referrals should match needs with higher level and setting. Highest needs indicates more structured setting.	High	<p>- Complete an assessment such as the Standardized Offender Assessment (SOA)</p> <p>- Seek participation in self-help group</p> <p>- Referral to specialized case management program</p> <p>- Require filling out a relapse prevention plan</p> <p>- Referral to substance abuse treatment</p> <p>- Require substance abuse treatment medication</p> <p>- Re-score SOA</p> <p>- Referral to other collateral contact intervention</p> <p>- Referral to Mental Health Services</p> <p>- Increase treatment frequency or intensity</p> <p>- Refer to higher treatment placement level</p> <p>- Terminate treatment</p>	<p>- Risk to public safety.</p> <p>- Anti-social behavior and attitudes.</p> <p>- Detention and discipline should be consistent/immediate as possible</p>
			Low	<p>- 1 day work program or useful public service</p> <p>- Loss of privileges</p> <p>- 2 day work program or useful public service</p> <p>- Loss of earned time</p> <p>- Spend 1 day in jail</p> <p>- House arrest for up to 7 days</p> <p>- Spend 2 days in jail</p> <p>- 2 to 4 days of work program or useful public service</p> <p>- Summons to Parole Board or Judge or Administrative Hearing Officer for revocation proceeding</p>	Good
			High		Bad

**LSI Score**

### Compliance with Supervision

#### Severity of substance abuse offenses

#### Program participation

#### Risk history/severity of current offenses

#### Attitudes/response to prior discipline



**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** GETTING STARTED

**WRITTEN BY:** Bill Sturgeon and Diana Coates 2002

**TIME FRAME:** 3 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module, participants will be able to:

- List the 3 major areas of a youthful offender program.
- Develop a strategy for planning and implementing a youthful offender program.

AUDIENCE	EQUIPMENT/SUPPLIES NEEDED
Groups of 18 - 30 Correctional Professionals who work with young offenders	<ul style="list-style-type: none"><li>• In-focus machine, Computer</li><li>• Chart stands and pads, markers</li><li>• Participant workbook</li><li>• Diskette with slide show</li></ul>
<b>SPACE REQUIREMENTS</b> Classroom set-up in pods: 5 participants at each table	

**REFERENCES**

- Glick, B and W. Sturgeon. 1998. *No Time To Play: Youthful Offenders in the Adult Correctional System*. Lanham, Maryland: American Correctional Association.

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **ANTICIPATORY SET**

### **Slide 1 - Getting Started**

*Incarcerating increasing numbers of violent and non-violent youthful offenders in adult correctional facilities for long periods of time is a relatively new phenomenon. One of our goals in this training is to share the research and real life experiences collected over the past several years.*

*We now have several years of experience in managing youthful offenders in adult facilities. We have found that youthful offenders are unique and can be very demanding on any system and/or facility that has the responsibility for incarcerating them. This module has been designed to assist agencies on "How To Get Started."*

### **Slide 2 - Develop a Strategy**

*The best way to get started is to develop a strategy for planning and implementation of a youthful offender program.*

*If you don't take the time to thoroughly plan your youthful offender program and design an implementation plan, you will experience significant serious operational and management problems dealing with this unique population.*

*But before you even plan a strategy, you need to examine what the term "youthful offender" means in your state and/or organization.*

- *Is the age legislatively mandated or is it set by your agency?*
- *If the age is not legislatively mandated, numerous questions should be answered before defining youthful offender :*
  1. *What is the housing capacity of the facility?*
  2. *What will be the staff/offender ratio?*
  3. *What is the length of the treatment program (s)?*
  4. *What type of offender will be served, i. e., first time offender, non-aggravated crimes, aggravated crimes?*

*For example, if only first time non-aggravated offenders are served by your youthful offender program, where will a 15 year old who has been convicted as an adult for committing murder be housed?*

- *Will the program have criteria to define the youthful offender such as:*
  - *Age*
  - *Physical stature*
  - *Maturity*
  - *Intellectual ability*

- *Offense type*
- *Number of times incarcerated*

*Once this definition is clarified you can begin to develop your mission, determine the location of your program, develop a staffing plan, etc.*

### **Slide 3 - Objectives**

*In this session you will examine 3 major areas of a youthful offender program: how to determine where to locate the program; setting program goals and objectives; and staff selection, training, and supervision.*

*Then you will work on developing your strategy for planning and implementing a youthful offender program.*

## **INSTRUCTIONAL INPUT**

### **Slide 4 - Project Management**

*Once the CEO has expressed interest and clear support (which is essential for success) for having a youthful offender program he or she must designate someone to head up this planning and implementation effort (a project manager). The CEO should:*

- *Delegate the accountability and authority for the program development and implementation to the project manager.*
- *Establish a time line for program development and implementation. For example: On September 1<sup>st</sup>, fifty youthful offenders will be transferred to the youthful offender program.*
- *Designate a multi-disciplinary team to work on the development and implementation of the program. (The team can be selected by the project manager but "invitations" should be sent out by the CEO).*

*The Project Manager may or may not be the same person who will eventually be the Program Manager.*

*Before we get started with the planning process, I want to discuss 3 major areas that are crucial to a youthful offender program.*

- *Location of the program*
- *Program goals and objectives*

- *Staff selection, training, and supervision*

### **Slide 5 - Location**

*Where the program is located is important for several reasons:*

*It is important to have the ability to separate youthful offenders from adult inmates as much as possible.*

*The ideal situation would be to have a facility where all youthful offenders could be incarcerated, but in most cases this is not possible. So the next best thing is to locate the program in a facility where the physical layout lends itself to the separation of the two populations. Separation is important because:*

- *Some states and ACA standards require that youthful offenders be kept separate from adult inmates except for "incidental contact."*
- *It helps reduce incidents between the two groups (youthful offenders lack maturity and mixing them can cause friction between the two groups.)*
- *Separation permits the program to have the flexibility to institute programmatic elements that are much different from those normally accepted in an adult correctional environment, e.g., physical fitness, extra duty, etc.*

*There are different space requirements necessary for all the elements of a youthful offender program. Some of these elements include:*

- *Education*
- *Recreation (indoor/outdoor)*
- *Living Areas*
- *Dining facilities, etc.*
- *Medical/Pill Call*
- *Visiting, etc.*

### **Slide 6 - Program Mission and Goals**

*The program should have its own Mission Statement which is basically a broad statement of the ongoing and long range plans for the treatment of youthful offenders. Then goals must be developed to target the specific strategies that will be used to accomplish the mission.*

*Developing the program's mission and goals during the planning phase is crucial because:*

- *It will help determine the programmatic elements of the program.*

- *It will keep the team on track.*
- *It clearly identifies every discipline's (i.e. security, treatment, medical) involvement and commitment.*

## **Slide 7 - Programming**

*Experience and research has shown us that we need to get to the real issues that have caused the offenders' criminal behavior. Consequently, the types of programs and the duration of the individual programmatic elements are fundamental.*

*Many agencies think that they have a "hard" program because their program has hours of marching and physical fitness ("boot camp" types of programs). But as we learned in the module on "An Overview Of What Works," the research has shown that these programs have little effect on the youthful offender and are unlikely, in the end, to change criminal behavior.*

*As the "what works" research shows, programming in your Youthful Offender program should focus on risk reduction techniques such as:*

- *Pro-social modeling*
- *Disruption of anti-social networks and associations*
- *Cognitive self-reflection skills*
- *Problem solving skills*
- *Education*
- *Substance abuse treatment*

## **Slide 8 - Staff Selection**

*It is advantageous to have staff who have the willingness to work with youthful offenders. Having the correct staff working in the youthful offender program will determine the success of the program. Staffing and staff training will be discussed in-depth in modules later on this week, but at this point we would like to make the following points:*

- *Realize that 'traditional' adult staffing patterns may not be sufficient to manage this population.*
- *It is recommended, if possible, to use staff who volunteer to work with youthful offenders.*

- One of the many things that make a youthful offender program unique is that it is constantly changing. Even though in any system, change is constant, it seems magnified because the youthful offenders themselves are constantly changing as they go through their own adolescent development. Select staff who are emotionally mature (sure of themselves) and able to handle this constant change.
- All staffing should be in-place prior to initiating the program, if at all possible.
- Staffing should fulfill the goals and objectives of your program (the make-up of security/program staffing requirements)

### **Slide 9 - Staff Training**

- Staff training is fundamental to the success of your program. All staff should receive specialized training in:
  - Adolescent development
  - Conflict resolution
  - Mental illness
  - Suicide prevention
  - Criminal thinking
  - Implications of past physical, sexual, emotional abuse
  - Social learning theory
  - What works to reduce criminal risk and increase safety
  - Risk reduction techniques such as pro-social modeling, cognitive self-reflections skills, problems solving skills and disruption of anti-social networks.
- If possible all staff should receive specialized training prior to working with youthful offenders. If that is not possible, then all staff should be trained as soon as possible. Staff training should be part of your implementation plan. Untrained staff working in a youthful offender program can cause serious disruptions.

### **Slide 10 - Staff Supervision**

- Initially only seasoned supervisors who want to work in the youthful offender program should be selected. Experienced supervisors can help the staff through the implementation phase. (After the program is operational, the ideal would be to promote people who have been working in the program.)

### **Slide 11 - Planning Process**

*To make the most of your planning it is best to use some kind of system or model to ensure that you cover all the bases. The model can be used to work through all types of problems or issues.*

## **Slide 12 - Sturgeon's Project Planning and Implementation Model**

### **Trainer Note**

Refer the participants to their workbook and review the model with them.

#### **STURGEON'S PROJECT PLANNING AND IMPLEMENTATION MODEL**

*The model consists of five elements (paper, people, places, technology and material). Examples of what types of things are included in each category are listed below.*

<b>Paper</b>	Mission statement, goals, objectives, policies, procedures, forms, etc.
<b>People</b>	Staff, civilians, court, law enforcement, parole, press, etc.
<b>Places</b>	Location and all the places associated with it.
<b>Technology and Materials</b>	Distance learning, cameras, alarms, testing instruments, clothing, etc.
<b>Purpose</b>	Why are you doing something? What is the goal of the activity or event? What are the desired results?

## **GUIDED PRACTICE**

*This model can be applied to any issue, problem or question. A team would write down the issue and then brainstorm ways to address that issue in each of the categories. For example, the issue for you now is quite broad, "What do I need to do to get a Youthful Offender Program up and running?" Using this model will help you sort through and categorize the many issues involved. For each heading you simply brainstorm what you need to address in that category. For example, under the category "paper," what are things you would need to do to get a Youthful Offender Program up and running that relate to paper?*

### **Possible Responses include:**

Develop a mission statement, write policy and procedure, come up with daily operating schedules, etc.

*Great. Now, I would like you to do that same thing for each of the other categories. I will assign one category to each group. Your task is to brainstorm all items that*

*need to be addressed in that category ( people, places, purpose, technology ) to get a Youthful Offender Program going. Take about 10 minutes to brainstorm and about five minutes to write up your lists on chart paper.*

### **Debriefing**

*What did you discover?*

#### **Possible responses**

There really are a lot of issues out there.

*How did using the model help or hinder your thought process?*

#### **Possible responses**

It really helped make sure you don't miss anything. Helped to think about the different areas. There might be some overlap, but less likely anything is missed.

*How will you be able to use this information?*

#### **Possible responses**

I can use the model for all kinds of problem solving. I can use the lists we brain stormed to help me think about what I need to do in my Planning.

*Once you have gotten all the areas listed under your category, you can go back and prioritize them. You can do it through discussion or you can use a process called Nominal Group Technique.*

### **Trainer Note**

Demonstrate how to use the Nominal Group Technique (NGT) for prioritizing items.

On chart paper, create a grid:

List items	Team Member			
A	1	2	→	Total
↑				
Z				

On a piece of paper, each team member places the letters corresponding with the number of items on the list. Team members rank the list items in their order of importance (from their perspective) with 1 being the least important and highest number being the most important). (This process awards the most points to your most important item, the least important item gets 1 point, the next least important gets 2 points etc. In the end, the item with the most points is the most important and the one with the least points is the least important.

*Let's try that now. Take some time to prioritize the areas you need to address under your heading.*

*As you can see, this process gives you a start on your plan. It can be written into a plan by adding time lines to accomplish the various tasks and designating who is responsible.*

## **CLOSURE AND EVALUATION**

*Throughout the week we will strive to stress the importance of planning and thinking through every facet of the program. This training program has been developed from information and the experience gained from many people who have worked at every phase of developing, implementing, and operating a youthful offender program. We have worked very hard to make this training program as "real world" as possible. And one thing we know for certain is that planning is fundamental to success.*

*If your planning efforts are centered around these three areas,*

- *Location of the program*
- *Program goals and objectives*
- *Staff selection, training, and supervision*

*And you incorporate the Planning and Implementation Model, we believe that you will have the foundational elements required to have a good youthful offender program.*

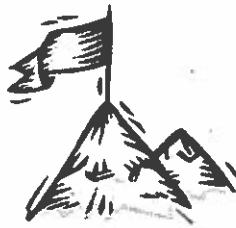
*Please remember that if you spend the time pre-planning your program, you will have a much easier time implementing and operating it.*

## **Getting Started**



## **Develop a Strategy**

- Thorough planning equals success.



## **Objectives**

- Examine 3 major areas of a youthful offender program.
- Develop a strategy for planning and implementing a youthful offender program.

## **Project Management**

- Designate project manager
- Establish time line for program development and implementation
- Designate multi-disciplinary team

## **Location**

- Separate youthful offenders from adult inmates
- Different space requirements necessary for all the elements of a youthful offender program

5

## **Program Mission and Goals**

- Helps determine the programmatic elements of the program.
- Keeps team on track.
- Clearly identifies every discipline's involvement and commitment.

6

## **Programming**

- Age specific
- Gender specific
- Address criminogenic needs

7

## **Staff Selection**

- Realize that traditional adult staffing patterns may not be sufficient to manage this population
- Use staff who volunteer
- Select staff who are emotionally mature
- Complete staffing prior to program start up

8

## **Staff Training**

- All staff should receive specialized training
- Training should occur prior to working with youthful offenders



## **Staff Supervision**

- Use seasoned supervisors who want to work in the youthful offender program.
- Experienced supervisors can help the staff through the implementation phase.
- After the program is operational, promote people who have been working in the program.

## **Planning Process**

- Use a system or model to ensure that you cover all the bases.



## **Sturgeon's Project Planning and Implementation Model**

- Paper
- People
- Places
- Technology and material



## Getting Started



13

# **Performance Objectives**

## **GETTING STARTED**

As a result of this module you will be able to:

- List the 3 major areas of a youthful offender program.
- Develop a strategy for planning and implementing a youthful offender program.

## **STURGEON'S PROJECT PLANNING AND IMPLEMENTATION MODEL**

*The model consists of five elements (paper, people, places, technology and material). Examples of what types of things are included in each category are listed below.*

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<b>Places</b>	Location and all the places associated with it.
<b>Technology and Materials</b>	Distance learning, cameras, alarms, testing instruments, clothing, etc.
<b>Purpose</b>	Why are you doing something? What is the goal of the activity or event? What are the desired results?

**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** HEALTH AND NUTRITIONAL NEEDS

**WRITTEN BY:** Michelle Staples-Horne, 2000, revised by Diana Coates, 2001

**TIME FRAME:** 1 hour

**PERFORMANCE OBJECTIVES**

At the conclusion of this module, participants will be able to:

- Describe the unique medical needs of youthful offenders.
- Identify barriers/opportunities to providing health care to adolescents in an adult correctional setting.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **Slide 1 - Title Slide (Nutritional Needs, Health Related Issues and Concerns)**

### **ANTICIPATORY SET**

*How many of you have raised children?*

*What would you say were the most "difficult years?"*

*Children, particularly adolescents, can be "difficult." We need to keep this in mind as we think about youthful offenders in adult institutions.*

*Youthful offenders are not just little adults. They are experiencing all the difficulties related to adolescence and when you overlay this onto other issues related to incarceration it becomes quite complex. Their needs are not the same as adult needs in most areas, including health care.*

*In this module we are going to look at some unique health needs of young offenders. The specific performance objectives are:*

### **Slide 2 - Performance Objectives**

*By the end of this module you will be able to:*

- *Describe the unique medical needs of youthful offenders.*
- *Identify barriers/opportunities to providing health care to adolescents in an adult correctional setting.*

### **INSTRUCTIONAL INPUT**

#### **Slide 3 - Medical Problems**

- *Few chronic diseases except asthma*

*Most young offenders have few chronic medical conditions but at this point their behaviors are being developed that will lead to health issues down the road.*

*That is not to say they are without medical problems. They are busy doing other things. They are thinking, "That is not going to happen with me." For example, their egocentrism leads them to believe that multiple sex partners won't lead to pregnancy or HIV.*

*Asthma is a chronic disease. This often occurs in metropolitan areas. Cockroaches, dust mites, air quality are things that contribute to asthma.*

- *High risk behaviors for sexually transmitted diseases.*

*Often kids have been "street workers" from a very young age. Many 10 year old females are incarcerated for prostitution. STD's are common in these young prostitutes. What is commonplace for us is very different for them. We can't imagine a ten year old in this situation but it is common for them.*

- *Mental health disorders.*

- *Substance abuse.*

*We may be over-medication children that are exhibiting normal behavior. Rather than "parent", the parents choose to medicate.*

- *Injuries: Self-inflicted or due to youthful or aggressive behavior.*

*Children cannot think of consequences down the road.*

*Young offenders want to "horse play" and do things an adult won't do. Most adult inmates would not try to run and jump over razor wire. Young offenders are more likely to go for it. They just don't have the thinking skills needed to visualize the consequences. You almost have to child proof your prison.*

#### **Slide 4 - Medical Problems**

- *Lack of routine medical screening and care*

*Children will frequently not have had much prior medical screening. They may have symptoms that are ignored. Don't make the assumption that you don't need to do a health screening if the young offender "looks" healthy.*

- *Inadequate immunizations*

*If you have a young population the possibility of childhood disease is still there (measles, mumps, etc.) They are now recommending a second MMR (measles, mumps and rubella immunization). Make sure that your primary physician is aware of the recommendation for this.*

*The other immunization that is due at age 15 is diphtheria and tetanus vaccination. This is then due every 10 years thereafter.*

*Hepatitis B vaccine should be administered to staff. There is a free "Vaccines for Children" program administered by the Federal Government. You can get these free for children under 19. Usually this is connected with your public health organization.*

- *Lack of health knowledge*

*Even though we make the assumption that kids have health information they may not understand some very basic things even about basic anatomy. For example, when*

*you ask young females about vaginal discharge or breast mass, they don't understand what is normal.*

*You can't always use an adult screening instrument on a young offender because they may not be able to understand it.*

- *Inadequate dental care*

*This young offender population has not had adequate dental treatment or education. You need to educate them in the basics of brushing and flossing.*

### **Slide 5 - Health Screening and Appraisal**

- *Intake medical, HIV, and mental health screening (appropriate blood pressure cuff size)*

*Adult screening instruments may not be appropriate. A question such as, "What was your last job?", probably won't apply. You may need to translate it to questions about school. Things such as a facial blemish will cause a young offender much more anxiety than it would an adult.*

*Even if young offenders know the risk involved in tattooing, they may choose to ignore them and proceed to have the tattoo (created by friends rather than a tattoo parlor).*

*Some young offenders might be quite small physically and you might need a pediatric size cuff to get an accurate reading.*

- *Nurse health appraisal (ROS)*

*Ask questions in a manner that the young offender can identify with.*

- *TB, UA, Hgb, PT*

*These tests need to be conducted on young offenders. (Tuberculosis, urinalysis can identify diabetes, hemoglobin, anemia). Usually adequate nutrition can correct anemia. One note is that young males can sometime show elevated protein in the urine, it is not considered abnormal. That is why it is important to have someone familiar with pediatrics involved.*

*Pregnancy tests should be conducted on every young female offender.*

- *Physical and dental examination*

*There are health care standards for juvenile facilities. You should have a copy of these. (Published by NCCAC)*

## **Slide 6 - Medical Services**

*Because some young offenders are incarcerated for several years you should have an annual health visit.*

*Annual health visits should include:*

- *Developmental monitoring*

*Try to identify any developmental needs that may occur.*

- *Physical exam*

- *Preventive services*

*Try to focus the health visit to educate, provide information on health risk behaviors. This will help to impact future behavior if/when they return to society. Nutrition, smoking, etc.*

- *Participatory guidance*

*Trying to figure out where the young offender is in their stage of development and prepare them for the next "stage." For example, talk to them about decisions about becoming sexually active, importance of prevention, etc. Anticipate the next step and educate them.*

## **Slide 7 - Physical Exam Variations**

- *Vital signs*

*Kids have a lower resting heart rate, use appropriate blood pressure cuff.*

- *Use of growth chart*

*Plot weight and height to make sure there are no underlying medical problems.*

- *Scoliosis screening*

*This is not usually done for adults. It checks for curving of the spine. It may only require monitoring but could require intervention.*

- *Tanner Staging*

*Not routinely done with adults. It is about development of genitals and breasts. It is important to do this because it can show if there is a hormone problem.*

- *Gynecomastia common*

*Development of breasts in males. It is a common occurrence in this population of males. It creates a concern for the young males because of the open shower situation. They need reassurance that this is a normal variation in the development of young males. Usually this condition will resolve itself.*

## **Slide 8 - Physical Exam Variations**

- *Serum Chemistries often not useful as screening tool*
- *Serum Cholesterol screening based on risk factors*
- *Immunization status critical*
- *STD screening*

*This is key, especially for young offenders first being committed. The young offender may not even realize they are having symptoms related to STD's. All females should have pap smears.*

*Chlamydia is most common in this population and does not give any symptoms. You need to screen for this.*

## **Slide 9 - Adolescents are Different**

- *Treatment protocols and medications must be modified for adolescent care. If you have a situation where a young offender has a headache and wants Tylenol, using adult strength on a small young offender can cause damage over time. Drug dosage must be modified because of weight issues.*

*Antibiotics could cause hearing problems in young offenders.*

- *Privacy and confidentiality are more of a concern to youth. Medical information is confidential. If you have a private exam room for a young offender, the young person may feel uncomfortable if there is a door opening right into the exam room. Using a screen between the door and exam table can alleviate anxiety.*

*Young offenders may "tell all" to their peers but they don't want you to release the information. They may deny sexual activity because they are afraid you might tell their parents.*

## **Slide 10 - Medical Utilization Issues**

- *Access to sick call.*

*How many have a sick call structure in place?*

*Young offenders may put one thing on the sick call roster (a headache) but when they show up to sick call the issue they really want to talk about is totally different.*

*The young offender will keep requesting sick call every couple of hours if you have not responded. So it is important to reinforce that it may not be responded to*

immediately.

Also, it is recommended that you do not charge the younger offender a co-payment because they cannot make the decision that it would be in their best interest to pay and receive medical services. They would prefer to spend the money at the commissary.

- Health services by primary care physician, psychiatrist, dentist, nurse practitioner or physician assistant.

Make sure that all your staff have some education regarding adolescent health care.

- Hospitalization and specialty care.

Be very clear with the young offender that they need to see a specialist but it may not be that very day. It may be a week or two. Specify that if it does get worse they need to come back to sick call. (Another example of their concrete thinking). It would be important to document all treatment and associated directions that you give to the young offender.

## Slide 11 - Other Health Concerns

- Smoke free environment

Improves general health.

- Menus prepared by Registered Dietician

The nutritional needs of young offenders are much different than those of adults. You will need to offer extra calories. It is recommended that you give them the opportunity to consume 3,000 calories per day. Serve milk instead of tea.

You can apply to the Federal Government for meals (breakfast and lunch) as long as the young offenders are in school. You must meet the associated dietary guidelines to apply. The program is generally run through the Department of Education. One caveat is that the young offenders must be housed separately. The bookkeeping is extensive for this program. As soon as the young offender turns 21 they are no longer eligible.

The young offender may be a picky eater. One strategy is to supplement the meal with peanut butter and jelly sandwiches.

Many young offenders are sensitive to sugar so the diet should be low in sugar. A diet high in sugar content will make this population hyper-active.

What about access to the commissary? Young offenders can load up on sugar there. Here are some suggestions for handling this issue:

- *Can you consider a more nutritional vending machine for their use?*
- *Can you put policy into place to limit canteen privileges?*
- *Can you work with your vendors to sell items with a lower sugar content?*
- *Can you involve them in a "taste test" involving lower sugar, healthier alternatives?*
- *Special diets*

*You may have a person with food allergies or an obese young person that would require a special diet. Ask in general if they have food allergies. If they state that they are allergic to a food , ask them specifically what happens to them when they consume the food. They may say that they are allergic to tomatoes but they eat catsup on their hot dogs. If they cannot describe any specific reactions to a food, it may be that they may not like the food.*

- *Physical activity*

*Many kids today don't engage in a lot of physical activity. Keep this in mind, particularly in a boot camp situation. They may have to slowly build up to a higher level of physical activity. Asking a younger offender to do 100 push- ups right away isn't going to work. They won't be able to do it.*

- *School curriculum includes Health Education courses*

*Look at what is being done in the public schools. Get your medical staff involved. Have them review the curriculum. Encourage them to be a resource to your educational staff.*

## **Slide 12 - Public and Social Implications**

*The following are some general public health social implications related to correctional setting.*

- *Overcrowding*

- *Sexual contacts*

*The spread of HIV and other STD's are possible. Appropriate screening and follow-up is needed. For example, if an assault occurs and you don't have baseline information on the offenders HIV/STD status, follow-up will be difficult.*

- *Length of confinement*

*Conduct annual exams if confinement is longer than a year.*

- *Health care costs*

*Costs are skyrocketing for all. The cost of the treatment, particularly for mental health, is being shifted from the community into corrections. This also applies to HIV, TB etc. It is also more difficult to recruit and retain medical staff in Corrections.*

- *Literacy and education*

*Many of the young offenders have learning disabilities and literacy levels are low. Materials must focus on the young offenders literacy level. Also need to pay attention to language differences. Young offenders have a variety of slang terms we may not be familiar with. The slang changes very frequently. Ask for a translation if you aren't sure.*

- *Security issues*

- *TB, other infections*

*Contact and follow-up with your local Public Health organization so that contacts can be traced.*

### **Slide 13 - Public and Social Implications**

- *HIV, Hepatitis, STD*

*Contact and follow-up with your local Public Health organization so that contacts can be traced. There is a lot of acute Hepatitis B in this younger offender population.*

- *Continuity of community care*

*At some point the young offenders will return to the community.*

- *Uninsured, ineligible*

*A lot of young offenders lose their eligibility of insurance once incarcerated.*

- *Appropriate health messages*

- *Compliance*

*Independence issues may make young offenders resist compliance (taking medications, etc.) Be sure to educate them on side effects of medication to help improve compliance.*

### **Slide 14 - Public Health Collaboration**

- *Staffing*

*You need to have adequate medical staff. Even if your young offender is coming*

*from a juvenile facility don't assume that they have had adequate medical screening.*

- *VFC Program*  
"Vaccines for Children" Program
- *Lab support*
- *Grant funding*
- *Health education*

### **Slide 15 - Adolescent Health is Holistic**

- *Physical health*
- *Mental health*
- *Health education*
- *Emotional/social support*
- *Behavioral and developmental support*
- *STD reporting and contact tracing*

### **GUIDED PRACTICE**

#### **Trainer Note**

In this Guided Practice you will give participants some time to process the information you have provided by having them think through how they are going to apply it in their own settings.

Have participants discuss the following questions for approximately 30 minutes. Tell them they need to be prepared to report back to the large group.

- Identify barriers/opportunities to providing health care to adolescents in an adult correctional setting. Consider issues such as staffing, service providers, environment, treatment, and legal issues.

#### **Suggested Responses**

Common barriers include: Lack of funding.

For those with youthful offenders housed in adult facilities, a barrier is it limits the young offenders access to some of the programs.

Lack of understanding of the youthful offenders.

*The key is to successfully transition offenders back into the community. This requires community involvement.*

### **CLOSURE/EVALUATION**

*Take a minute to share with the person next to you, one thing you plan to take back and use from this information on the unique health needs of young offenders.*

#### **Trainer Note**

Give participants about five minutes to discuss what they plan to take back and use. Ask for a few volunteers to share their responses.



## **Health and Nutritional Issues**



### **Performance Objectives**

As a result of this module, you will be able to:

- Describe the unique medical needs of youthful offenders.
- Identify barriers/opportunities to providing health care to adolescents in an adult correctional setting.

1

2

### **Medical Problems**

- Few chronic diseases except asthma.
- High risk behaviors for sexually transmitted diseases.
- Mental health disorders.
- Substance abuse.
- Injuries: Self-inflicted or due to youthful or aggressive behavior.

### **Medical Problems**

- Lack of routine medical screening and care
- Inadequate immunizations
- Lack of knowledge about health issues
- Inadequate dental care



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### **Health Screening and Appraisal**

- Intake medical, HIV, and mental health screening (appropriate blood pressure cuff size)
- Nurse health appraisal (ROS)
- TB, UA, Hgb, PT
- Physical and dental examination



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### **Medical Services**

Annual health visit includes:

- Developmental monitoring
- Physical exam
- Preventive services
- Participatory guidance

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### **Physical Examination Variations**

- Vital signs
- Use of growth chart
- Scoliosis screening
- Tanner staging
- Gynecomastia common

### **Physical Examination Variations**

- Serum Chemistries often not useful as screening tool
- Serum Cholesterol screening based on risk factors
- Immunization status critical
- STD screening

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### **Adolescents Are Different**

- Treatment protocols and medications must be modified for adolescent care.
- Privacy and confidentiality are more of a concern to youth.



9

### **Medical Utilization Issues**

- Access to sick call.
- Health services by primary care physician, psychiatrist, dentist, nurse practitioner or physician assistant.
- Hospitalization and specialty care.



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### **Other Health Concerns**

- Smoke free environment
- Menus prepared by Registered Dietician
- Special diets
- Physical activity
- School curriculum includes Health Education courses

### **Public Health/Social Implications**

- Overcrowding
- Sexual contacts
- Length of confinement
- Health care costs
- Literacy and education
- Security issues
- TB, other infections

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12

### **Public Health/Social Implications**

- HIV, Hepatitis, STD
- Continuity of community care
- Uninsured
- Appropriate health messages
- Compliance

### **Public Health Collaborations**

- Staffing
- VFC Program
- Lab support
- Grant funding
- Health education
- STD reporting and contact tracing

13

14

### **Adolescent Health is Holistic**

- Physical health
- Mental health
- Health education
- Emotional/social support
- Behavioral and developmental support

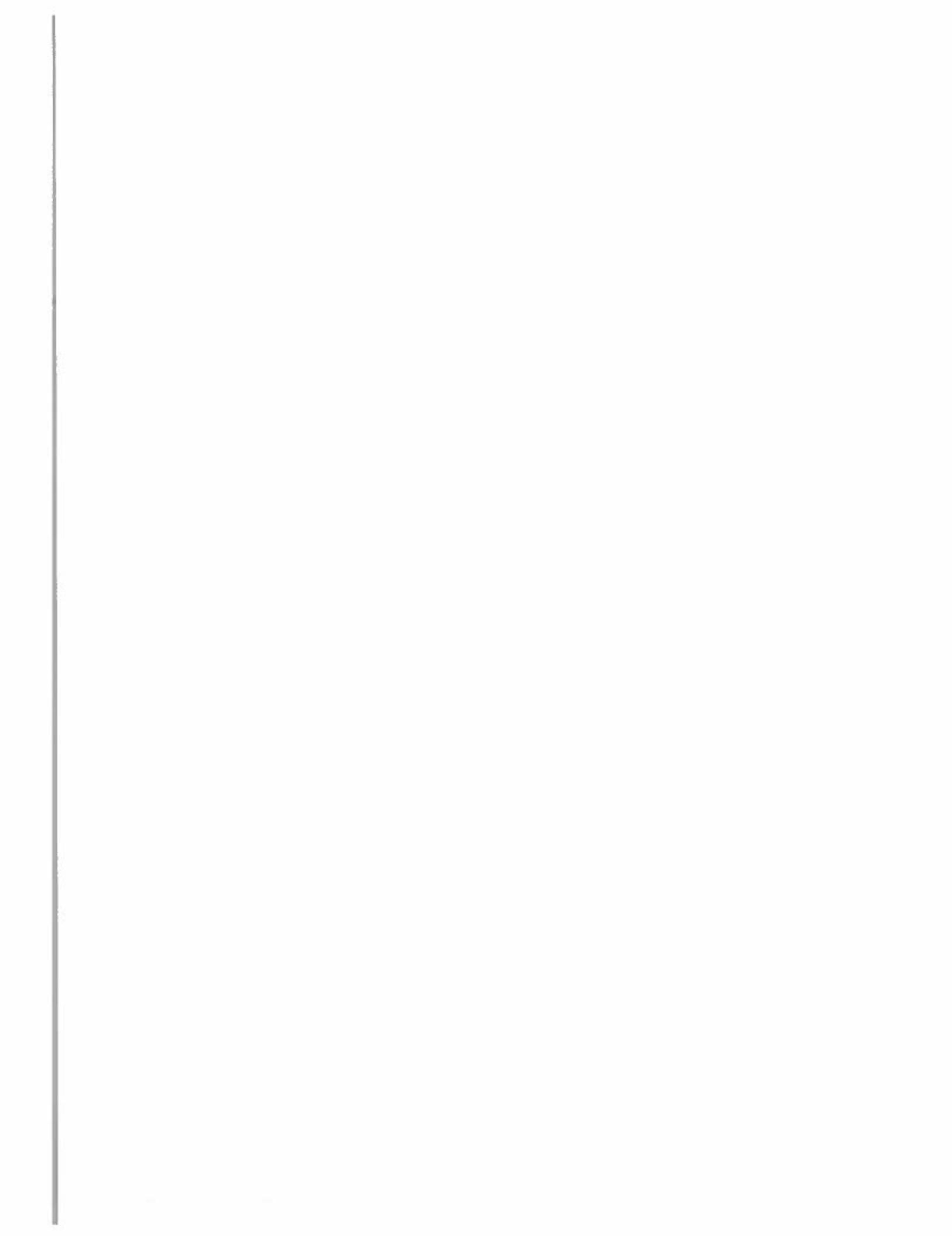
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# **Performance Objectives**

## **HEALTH AND NUTRITIONAL ISSUES**

As a result of this module you will be able to:

- Describe the unique medical needs of youthful offenders.
- Identify barriers/opportunities to providing health care to adolescents in an adult correctional setting.



**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:**      **Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions**

**MODULE TITLE:** **LEGAL ISSUES**

**WRITTEN BY:**      Richard Swanson, Ph.D., J.D., 1991, revised by Diana Coates, 2001

**TIME FRAME:**      2 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Describe organizational alternatives for dealing with the youthful offenders in the adult system.
- List questions you need to have addressed in your system regarding legal issues that may impact your youthful offender program.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **ANTICIPATORY SET**

### **Slide 1 - Legal Issues**

*Today's discussion will focus on the history of the juvenile court, current legal trends affecting the processing of youthful offenders, and states' responses to the needs of these youth. Also, we will discuss the necessity to change thinking "paradigms" to effectively supervise incarcerated youthful offenders.*

### **Slide 2 - Performance Objectives**

*At the conclusion of this module you will be able to:*

- *Describe organizational alternatives for dealing with the youthful offenders in the adult system.*
- *List questions you need to have addressed in your system regarding legal issues that may impact your youthful offender program.*

## **INSTRUCTIONAL INPUT**

*How old are you when you become an adult in modern society? How old are you when you can vote? Get drafted? Drink alcohol? See a R-Rated movie in a theater? Drive a car? Pay adult fare at a movie?*

*How old are you when you become an adult in the criminal justice system?*

*As you can see, we do not have a definitive age for adulthood in our society.*

*Society's response to underage lawbreakers has always been debated. Ideas about when adulthood begins and just how responsible children under that age should be have continued to change throughout time. You are going to have an opportunity to apply your experience and knowledge in this area.*

### **Trainer Notes**

Divide the group into two teams. Let your co-trainer(s) know that they will be acting as the "legislature" for this activity. There will be two groups. They will complete the reading material, then using that information and their own knowledge and experience, one small group will prepare a presentation they will make to a "legislator" convincing him/her to vote to keep all juvenile offenders under the age of 18 in the juvenile system. The other group will "lobby" the legislator to send all juveniles who commit felonies to the adult system. They will have 10 minutes to read the material and 15 minutes to prepare presentations. Each team will have 5 minutes to present their view point to the "legislature."

## **Activity**

*I would like you to divide into two groups. In your workbooks you will find some material that summarizes the history of the juvenile court. I would like you to individually read that material. Then using that information and your own knowledge and experience, one small group will prepare a presentation they will make to a "legislator" convincing him/her to vote to keep all juvenile offenders under the age of 18 in the juvenile system. The other group will "lobby" the legislator to send all juveniles who commit felonies to the adult system. You have 10 minutes to read the material and 15 minutes to prepare your presentations. Each team will have 5 minutes to present their view point to the "legislature."*

### **Historical Perspective Of The Juvenile Court System**

#### **Historical Treatment of Children in the Courts**

Society's response to underage lawbreakers has always been debated. Ideas about when adulthood begins and just how responsible children under that age should be have continued to change throughout time.

British common law, the basis of the U.S. legal system, did not recognize differences in children and adults until the 16th century. Only then were children recognized as being different than adults.

Under common law, a child below the age of 7 was considered unable to commit a crime. A child between the ages 7 and 14 had to be shown by the prosecution to have the maturity and understanding to be aware of the potential consequences of his/her actions to be tried in court. The younger the child was, the greater the presumption was in favor of special handling; however, if children were convicted of crimes, there was little difference in the way they were treated after sentencing. They were usually punished as, and with, adults.

But change did occur over the years. A body of case law resulted in the formation of accepted policies and practice to deal with delinquent youth in a separate court operating in the "best interests of the child." This movement culminated in the United States in the creation of the juvenile justice system.

#### **The Juvenile Court**

The first United States juvenile court was created in Illinois in 1899. In the next decade every state followed in creating their own separate juvenile system.

The intent of the juvenile system was to remove youngsters from the criminal law process which had been traditionally guided by tenants of retribution, penitence and deterrence, and to create programs for delinquent, dependent and neglected children based on the needs of the child.

Operating under a medical model, the juvenile courts' stated goals were to:

- Investigate
- Diagnose
- Prescribe treatment
- Effect cure and release under an indeterminate sentence process.

The jurisdiction of juvenile courts includes:

- Status offenders
- Delinquent youth
- Abused children
- Neglected children
- Sanctioning adoptive parents
- Disciplinarian for schools, parents and community for unruly children

### Criticisms of Juvenile Court

The Juvenile Court has been seen as arbitrary and capricious; not safeguarding children's rights it was created to protect.

Several Supreme Court decisions forced the Court to become more attentive to juveniles' individual rights.

Other critics of the Juvenile Court maintain that the Court does not adequately protect society or deter juveniles from committing criminal acts. The juvenile court has been perceived as a revolving door, basing its decisions on perceived need of the juvenile, not the deed committed by the juvenile. Consequently, juveniles learn to accommodate to the court's minimal response, resulting in disrespect for authority and consequences. In addition, adults have used juveniles to carry out criminal activity since they are less likely to be prosecuted and sanctioned.

As juvenile court goals did not involve adjudication of guilt, lawyers and due process procedures were not seen as necessary. No matter what types of dispositions juvenile courts have imposed on youth, it has often been seen as:

- Lenient
- Tolerant of delinquency
- Not stigmatizing
- Benign
- Paternalistic

### The Legislative & Court Response

State legislatures are responding to juvenile crime rates with increasingly harsher penalties for youthful offenders. These sanctions include:

- Immediate arrest of any teenager with a handgun.
- Requirements that parents must accompany children to court.
- Trying juvenile violent offenders as adults.
- Legislating direct-file laws, allowing younger juveniles to be tried as adults.

### Trainer Notes

Have each side present their case. After cases are presented, debrief by asking the questions below:

## **Debriefing**

- *Who had to argue a viewpoint that did not agree with their personal belief?*
- *How was that?*
- *Did listening to the "case" that opposed your personal beliefs change any of your paradigms?*
- *Why or why not?*
- *What have you heard in this activity that may require you to "shift paradigms" when supervising youthful offenders?*

*Let's look now at some ways that juveniles can be transferred to the jurisdiction of adult criminal court.*

### **Slide 3 - Transfer to Criminal Court**

*Three basic types of mechanisms permit transfer of a juvenile into criminal court jurisdiction:*

- *Judicial Waiver*, which gives discretionary authority to the juvenile court judge;
- *Prosecutorial Discretion (direct filing)*, which gives prosecutors the authority to file specified juvenile cases in either juvenile or criminal court (concurrent jurisdiction); and,
- *Statutory Exclusion*, which removes specified juvenile cases from the jurisdiction of juvenile court, legislatively "transferring" them to criminal court jurisdiction.

*Judicial waiver, an option in some states as early as the 1920s, maintains the traditional juvenile justice model of making judicial decisions largely on the basis of individual case circumstances and was long the dominant transfer mechanism. Beginning in the 1970s, however, states have increasingly moved toward a model of basing decisions not on individual case circumstances but rather on specified pre-established criteria such as age and offense type. Accompanying that philosophical shift has been the strong emergence of prosecutorial discretion and statutory exclusion mechanisms. Substantial numbers of states since the 1970s have adopted one or both, retaining judicial waiver as well.*

*Within the United States statutory exclusion now outnumbers both other mechanisms in juvenile transfers. In very recent years, shifts in utilization of transfer mechanisms and liberalization of the conditions under which such transfers can occur have been particularly dramatic. As a 1995 National Institute of Corrections (NIC) survey indicates, between 1992 and 1995 eighteen states legislatively expanded the definitions of crimes or lowered the ages at which juveniles may be tried in adult court. Another six states proposed but had not yet passed such legislation. Without doubt, the net of the adult criminal justice system is widening rapidly, including more and more juveniles.*

*Do any of you know the transfer mechanisms used in your state?*

*Let's look at the NIC Report in your participant handouts under your state. Are you aware of any legislative changes that affect youthful offenders since this report was published?*

**Trainer Notes:**

Before session, find pages in NIC Report that refer to the participants' state.

*The transfer mechanisms and offense types for which juveniles are transferred to adult court jurisdiction varies substantially from state to state. While statutory exclusion (from juvenile court) tends to be limited to more serious offenses, it may include less serious person offenses, property, drug and weapon offenses as well as a variety of other felonies. The same tends to hold true for prosecutorial discretion. Applicability to any criminal offense is most pronounced with judicial waiver, with twenty-three of the fifty states in 1995 providing no offense restrictions. Most commonly, although not always, minimum age criteria apply to particular offense categories (OJJDP, 1995, pp. 85-89).*

*What types of felonies are youthful offenders sentenced to the adult system for in your state?*

*It is estimated that between 1988 and 1992 there was a 68% increase in juvenile transfers to adult court. The impact of these legal changes on the adult correctional system are difficult to estimate.*

*What are some of the legal questions jurisdictions must answer when juveniles are incarcerated in adult institutions?*

**Trainer Notes**

List responses on chart paper. Issues include underage inmate use/purchase of tobacco, diet, medical care approval, parental permission, age of consent, mandated programs, approval of visiting lists, interagency responsibilities.

## **State Strategies to Manage Youthful Offenders**

*Most state corrections systems do not have specialized programs for incarcerated offenders under the age of 18; however, several states are developing or delivering services that are designed specifically for this population. Colorado, Wisconsin, Florida, North Carolina, Minnesota, Arizona, and Nebraska are examples of states that are implementing an approach which effectively creates a "third system" for repeat and serious young offenders committed to the adult system. These separated systems are designed to provide one last opportunity for structured rehabilitation for these youth.*

*How has your system responded?*

*No matter what the structure of the system designed for youthful offenders a number of issues must be considered:*

### **Slide 4 - Housing**

*Where are youthful offenders housed in your system?*

*The first question to be addressed is: Should youthful offenders below the age of 18 be housed separately or integrated into adult populations? Many juvenile offenders are high risk, violent, management problems, capricious, escape prone and unpredictable. Such offenders may in fact cause a hazard to many in the adult population. Also, it is important to understand that because of their age, perhaps size, and because of their relative naivete, these offenders may in fact be at higher risk for victimization within any general population. The issue is, how to classify and separate high risk juvenile offenders from other offenders, whether adult or juvenile.*

*The best data suggests classification approaches should segregate youthful offenders from adults. Further segregation of juvenile offenders from each other may be needed to separate those who are management problems from those who are victim prone.*

*It would seem that the practicality of separation requires sufficient numbers of juveniles to justify such segregation and classification into intensive program options. However, corrections administrators must be aware of existing federal mandates requiring separation of juveniles from adults as well as state and system policies on this issue.*

### **Slide 5 - Role of Rehabilitation**

*What kinds of programs are being provided in your system for youthful offenders?*

*Adult corrections systems are legally required to provide educational services to juveniles under the age of 16. The delivery of a quality education program to youthful offenders which includes academic, vocational and interpersonal skills training, not only meets legal requirements but addresses one of the key risk factors associated with juvenile criminal activity.*

*But educational programming is only the beginning. To meet legal requirements, facilitate change in incarcerated adolescents, and to improve management of the institution, youthful offenders must participate in diverse, strong programming. Juveniles require much different interventions, based upon their social, emotional, and educational development. Additionally, existing laws and regulations, both educational and social, mandate certain programs be provided.*

### **Slide 6 - Cost of Juvenile Rehabilitation**

*What resources are available in your jurisdiction to address the needs of youthful offenders in your system?*

*The decision to operate a program designed to habilitate juvenile offenders in adult departments of corrections requires the development of resources in which more than the containment or custody of offenders are provided. Traditionally adult systems have delayed habilitation programs, especially for those offenders with long sentences, until just before reintegration into the community.*

*To provide youthful offenders with appropriate programming throughout their incarceration, adult corrections systems may face increased expenditures which require strategic planning.*

### **Slide 7 - Sentence Structure**

*How does sentence structure affect your program delivery?*

*Since many of the juveniles in the adult systems are convicted of more serious crimes, the sentence structure may in fact be longer for this population than the rest of the corrections population. Thought must be given to the programmatic implications of youthful offenders "growing up" in prison.*

## **EVALUATION/CLOSURE**

*As a society we continue to struggle with the age-old question, "When do children become adults?" In no other arena is this question more important than the criminal justice system. The appropriate response to children who break the law is a serious and troubling problem.*

*Policy makers are increasingly looking to the adult criminal justice system for answers to the dramatic increase in serious juvenile crime. More and more juveniles are being waived to adult court and subsequently incarcerated in adult institutions.*

*Some states are responding by creating separate systems or programming within their corrections systems. No matter what the response, the increasing presence of youthful offenders in the adult system is forcing departments of corrections to react systematically and quickly.*

## **ACTION PLANNING**

*Take some time to think about legal questions that will need to be answered in your institution before beginning a youthful offender program there.*

*Some examples are:*

- *Can a correctional facility require a youthful offender to work if he or she is under the age of 16?*
- *Will youthful offenders be allowed to have tobacco products?*
- *Is parental permission required before administering medical treatment?*

### **Trainer Note**

Debrief the activity by having participants share their responses. Ask them how they plan to go about getting their questions answered.



## Legal Issues



## Objectives

- Describe organizational alternatives for dealing with the youthful offenders in the adult system.
- List questions you need to have addressed in your system regarding legal issues that may impact your youthful offender program.

## Transfer to Criminal Court

- Judicial Waiver
- Prosecutorial Discretion
- Statutory Exclusion



## Housing

- Data suggests classification approaches should segregate youthful offenders from adults.



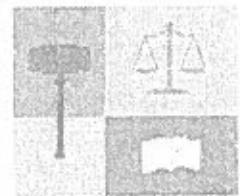
## **Role of Rehabilitation**

- Youthful offenders must participate in diverse, strong programming.



## **Sentence Structure**

- Thought must be given to the programmatic implications of youthful offenders "growing up" in prison.



## **Legal Issues**



# **Performance Objectives**

## **LEGAL ISSUES**

As a result of this module you will be able to:

- Describe organizational alternatives for dealing with the youthful offenders in the adult system.
- List questions you need to have addressed in your system regarding legal issues that may impact your youthful offender program.

# **Historical Perspective Of The Juvenile Court System**

## **Historical Treatment of Children in the Courts**

Society's response to underage lawbreakers has always been debated. Ideas about when adulthood begins and just how responsible children under that age should be have continued to change throughout time.

British common law, the basis of the U.S. legal system, did not recognize differences in children and adults until the 16th century. Only then were children recognized as being different than adults.

Under common law, a child below the age of 7 was considered unable to commit a crime. A child between the ages 7 and 14 had to be shown by the prosecution to have the maturity and understanding to be aware of the potential consequences of his/her actions to be tried in court. The younger the child was, the greater the presumption was in favor of special handling; however, if children were convicted of crimes, there was little difference in the way they were treated after sentencing. They were usually punished as, and with, adults.

But change did occur over the years. A body of case law resulted in the formation of accepted policies and practice to deal with delinquent youth in a separate court operating in the "best interests of the child." This movement culminated in the United States in the creation of the juvenile justice system.

## **The Juvenile Court**

The first United States juvenile court was created in Illinois in 1899. In the next decade every state followed in creating their own separate juvenile system.

The intent of the juvenile system was to remove youngsters from the criminal law process which had been traditionally guided by tenants of retribution, penitence and deterrence, and to create programs for delinquent, dependent and neglected children based on the needs of the child.

Operating under a medical model, the juvenile courts' stated goals were to:

- Investigate
- Diagnose
- Prescribe treatment
- Effect cure and release under an indeterminate sentence process.

The jurisdiction of juvenile courts includes:

- Status offenders
- Delinquent youth
- Abused children

- Neglected children
- Sanctioning adoptive parents
- Disciplinarian for schools, parents and community for unruly children

### **Criticisms of Juvenile Court**

The Juvenile Court has been seen as arbitrary and capricious; not safeguarding children's rights it was created to protect.

Several Supreme Court decisions forced the Court to become more attentive to juveniles' individual rights.

Other critics of the Juvenile Court maintain that the Court does not adequately protect society or deter juveniles from committing criminal acts. The juvenile court has been perceived as a revolving door, basing its decisions on perceived need of the juvenile, not the deed committed by the juvenile. Consequently, juveniles learn to accommodate to the court's minimal response, resulting in disrespect for authority and consequences. In addition, adults have used juveniles to carry out criminal activity since they are less likely to be prosecuted and sanctioned.

As juvenile court goals did not involve adjudication of guilt, lawyers and due process procedures were not seen as necessary. No matter what types of dispositions juvenile courts have imposed on youth, it has often been seen as:

- Lenient
- Tolerant of delinquency
- Not stigmatizing
- Benign
- Paternalistic

### **The Legislative And Court Response**

State legislatures are responding to juvenile crime rates with increasingly harsher penalties for youthful offenders. These sanctions include:

- Immediate arrest of any teenager with a handgun.
- Requirements that parents must accompany children to court.
- Trying juvenile violent offenders as adults.
- Legislating direct-file laws, allowing younger juveniles to be tried as adults.



**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** MENTAL HEALTH ISSUES

**WRITTEN BY:** Diana Coates 2002

**TIME FRAME:** 1.5 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Define mental illness and emotional disturbance as it relates to your work with youthful offenders.
- Describe staffing issues surrounding mental health treatment for youthful offenders.
- Develop a plan for mental health treatment that uses components that research has shown to be effective.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **Slide 1 - Mental Health Issues**

### **ANTICIPATORY SET**

*Youthful offenders come to an institution with a lot of different problems. As we have learned, in depth assessment can help sort out and prioritize their needs. In this module we will focus in on mental health: The extent of mental health problems in the youthful offender population, the signs of mental illness, and ways to handle these issues. Specifically, we will accomplish the following objectives:*

### **Slide 2 - Performance Objectives**

- *Define mental illness and emotional disturbance as it relates to your work with youthful offenders.*
- *Describe staffing issues surrounding mental health treatment for youthful offenders.*
- *Describe the keys to successful mental health treatment for youthful offenders.*

### **INSTRUCTIONAL INPUT**

#### **Slide 3 - What's wrong with that kid?**

*Sometimes staff think that the youthful offender is "just being difficult" or "acting out," when in reality it can be some other factor. Let's take a look at some factors that may be the cause for what staff perceive to be difficult behavior or behavioral problems.*

- *Mental Retardation*
- *Learning Disorders*
- *Chronic Brain Syndrome*
- *Genetic Syndromes*
- *Neurological Impairment (Head injuries from abuse by parents or care givers, accidents, fights, can be the cause of behavioral problems.)*
- *Behavioral Disorders*

## **Slide 4 - Extent of the Problem**

### **Coalition for Juvenile Justice Annual Report**

*Just how extensive is the problem of mental health disorders? In your workbook there is an excerpt from "The Coalition for Juvenile Justice Annual Report, 2000." It discusses mental health issues in relation to a youthful offender population. Take a minute to read the excerpt.*

#### **Coalition for Juvenile Justice Annual Report**

Among the general youth population, the rate of mental health disorders is startlingly high. It is estimated that 20 percent of children and adolescents experience some kind of mental health problem during their childhood. This can be anything from anxiety to an eating disorder to substance abuse to Schizophrenia. Nine to 13 percent experience a serious emotional disturbance.

Among youth in the juvenile justice system, the percentage is substantially higher. Between 50 to 75 percent of incarcerated youth have a diagnosable mental health disorder; one out of every five has a serious emotional disturbance.

The exact figures vary by study as do the definitions of mental illness particularly in regards to juvenile law changes from state to state. Still, a consistent picture has emerged. It is a dramatic one:

- In one well documented study, 73 percent of youth in juvenile facilities reported mental health problems during screening. The same study found that 57 percent had previously received mental health treatment. (ABT Associates, 1994).
- Fifty-five percent of youth in the juvenile justice system have symptoms associated with clinical depression; half have Conduct Disorders; up to 45 percent have Attention-Deficit/Hyperactivity Disorder (ADHD). Many have multiple diagnoses.
- Between one and six percent have Schizophrenia and other psychotic disorders, a rate significantly higher than that of the general population.
- Up to 19 percent of youth involved in the juvenile justice system may be suicidal.
- At least half of the youth with mental illness in the juvenile justice system also have a co-occurring substance abuse disorder. In effect, what many of the adolescents are doing is self-medicating for untreated mental health problems.

- Many youth in the system have what experts refer to as dual diagnosis (e.g. depression and a developmental disorder; ADHD and learning disability.) This combination makes recognition and treatment especially challenging.

Despite these disturbing numbers, the role of mental illness in delinquency has generally gone unacknowledged. The overriding public perception is that teenagers commit crimes because they are without morals or discipline. But the reality is much more complicated. As Michael Faenza, president and CEO of the National Mental Health Association, points out: Many of the children and adolescents in the nation's juvenile justice system have mental and emotional health problems "that remain untreated, even though they contribute to the youth's delinquency."

#### **Trainer Note**

Debrief the reading by asking the following questions:

- What are your thoughts about the information?
- What new insights did you gain?

#### **Possible responses**

Surprising, confirmed what I already knew.

*So, that is the extent of the problem, what are the risk factors that make this problem so extensive?*

#### **Slide 5 - Risk Factors of Childhood Mental Illness**

*This information comes from the Substance Abuse and Mental Health Services Administration Report, (2000).*

- *Genetics*
- *Chemical imbalances in the body.*
- *Damage to the central nervous system, such as a head injury.*
- *Exposure to environmental toxins, such as high levels of lead.*
- *Exposure to violence, such as witnessing or being the victim of physical or sexual abuse, drive-by shooting, mugging or other disasters.*
- *Stress related to chronic poverty, discrimination or other serious hardship.*
- *Loss of important people in the life of a youth through death, divorce, or broken relationship.*

#### **Slide 6 - Serious Emotional Disturbance**

*Another term we need to explore in relation to mental health is, "serious emotional disturbance." What is Serious Emotional Disturbance? The following information*

*comes from the Research and Training Center on Family Support and Children's Mental Health. Take a minute to read it over.*

### **Serious Emotional Disturbance**

The following information comes from the Research and Training Center on Family Support and Children's Mental Health.

Serious Emotional Disturbance, Disability or Disorder (SED or ED) may also be known as Behavioral Disability or Disorder, EBD for "emotional or behavioral disorder," or EH for "emotional handicap."

Laws vary nationwide but a youth is considered to be seriously emotionally disturbed (SED) when:

- Emotional and/or social impairment disrupts his or her academic and/or developmental progress;
- Disrupts family and/or other interpersonal relationships;
- Such impairment of functioning has continued for a period of at least one year;
- Such impairment is of short duration and high severity.

The Federal Standard Definition for Children with Serious Emotional Disturbance, from the Center for Mental Health Services, includes the following characteristics:

- Impairment that interferes with or limits a child or adolescent's role or functioning in family, school or community activities;
- Impairment that interferes with or limits a child or adolescent from achieving or maintaining one or more developmentally-appropriate social, behavioral, cognitive, communicative, or adaptive skills;
- Functional impairments of episodic, recurrent and continuous duration are included unless they are temporary and expected responses to stressful events in the environment.

### **Trainer Note**

Debrief by asking the following questions:

- How would this disorder impact the youthful offenders behavior in the institution?
- What kinds of behaviors do you think a youthful offender with one of these syndromes would exhibit?
- How would you react to the behavior?

### **Slide 7 - Signs of Sexual Abuse**

*Often staff mistake signs of sexual abuse for signs of mental illness. Here are some ways to tell the difference. (The information is from a 2000 report published by the*

*American Academy of Child and Adolescent Psychiatry. The behavior of sexually abused children may include:*

- *Unusual interest in or avoidance of all things of a sexual nature*
- *Sleep problems or nightmares*
- *Refusal to go to school*
- *Delinquency*
- *Unusual aggressiveness*
- *Aspects of sexual molestation in drawings, games, fantasies*
- *Secretiveness*

### **Slides 8 - 9 - 10 - Warning Signals of Teen Suicide**

*The following warning signs of teen suicide comes from the American Academy of Child and Adolescent Psychiatry.*

- *Change in eating and sleeping habits*
- *Withdrawal from friends, family, and regular activities*
- *Violent actions, rebellious behavior, running away*
- *Drug and alcohol use*
- *Unusual neglect of personal appearance*
- *Marked personality change*
- *Persistent boredom*
- *Frequent complaints about physical symptoms*
- *Lost of interest in pleasurable activities*
- *Not tolerating praise or rewards*
- *Complaints about being "rotten inside"*
- *Verbal hints, such as, "I won't be a problem much longer"*
- *Giving away favorite possessions or other signs of putting affairs in order*
- *Sudden cheerfulness after a period of depression*

*So if you see the signs, what do you do to help with prevention?*

### **Slide 11 - Suicide Prevention**

*Suicide screening is essential. Here are some things to consider.*

- *Individualized suicide prevention plan*
- *No isolation*
- *Modification of environment*
- *Full staff involvement*

### **Slide 12 - Treatment staffing**

*Ideally, for a staffing, you would have all members of your mental health team as listed below:*

- *Psychologist*
- *Masters Level Counselor*
- *Psychometric Specialist*
- *Substance Abuse Counselor*
- *Sex Offender Clinician*
- *Mental Health Nurse*
- *Child and Adolescent Psychiatrist*

### **Slide 13 - Treatment Team Approach**

*Bring together all of these staff members for an effective treatment team approach:*

- *Mental Health Staff*
- *Medical Staff*
- *Correctional Officers*
- *Education Staff*
- *Administrators*
- *Family Member or Surrogate*

### **Slide 14 - Legal Issues**

*Some legal issues to consider when dealing with the mental health issues of young offenders are:*

- *Parental notification*
- *Parental consent*
- *Youth assent*
- *Youth refusal of treatment*

### **Slide 15 - Treatment Approaches**

*There is not one approach that is going to be effective for every youth. Human beings live in a world surrounded by a series of interrelated causes and effects. Delinquency is rarely, if ever, the result of a single, isolated "cause." Many factors play a role in the development of antisocial behavior. Psychological make-up, substance abuse, ineffective discipline, negative peer relations, low academic achievement, and a criminal environment could all be related to delinquency. However, the vast majority of treatment programs focus on only one or two areas when addressing the needs of young offenders. Just as with other programs, risk, need and responsibility must be considered.*

## **Slide 16 -17 - Effective Mental Health Treatment Programs**

*The "what works" research has demonstrated that effective mental health treatment programs share the following characteristics:*

- *Highly structured, intensive and focused on changing specific behaviors*
- *Emphasize the development of basic social skills*
- *Provide individual counseling that directly addresses behavior, attitudes and perceptions*
- *Sensitive to a youth's race, culture, gender and sexual orientation*
- *Use community-based programs*
- *Involve family members in treatment*
- *Within the institution, use mental health professionals as treatment providers*
- *Offer developmentally driven services*
- *Contain a strong aftercare component*
- *Uses a method to measure program effectiveness*

### **Trainer Note**

These characteristics are also included in the workbook.

#### **Characteristics of Effective Mental Health Programs**

- Emphasize the development of basic social skills
- Provide individual counseling that directly addresses behavior, attitudes and perceptions
- Sensitive to a youth's race, culture, gender and sexual orientation
- Use community-based programs
- Involve family members in treatment
- Within the institution, use mental health professional as treatment providers
- Offer developmentally driven services
- Has a strong aftercare component
- Use a method to measure program effectiveness

## **Slide 18 - The kid acts that way because .....**

*If a young offender is acting out or acting in an unusual manner, consider the following:*

- *Youth may have an undiagnosed mental health disorder.*
- *Youth has not received treatment.*
- *Youth's behavior/offense has overshadowed treatment need.*

## **GUIDED PRACTICE**

### **Trainer Note**

Have the participants review the characteristics of an effective mental health program. They will then analyze which components they have in place, which they need to consider implementing, and how they will go about it. There is a guide in their workbook for them to use. Allow about 30 minutes then debrief by hearing some of their ideas. They are probably not going to be able to develop an in-depth plan. It will give them an opportunity to analyze which components of effective mental health programs are missing from their current program or ensure that they include all components in the Youthful Offender Program they are planning to implement.

### **Action Planning**

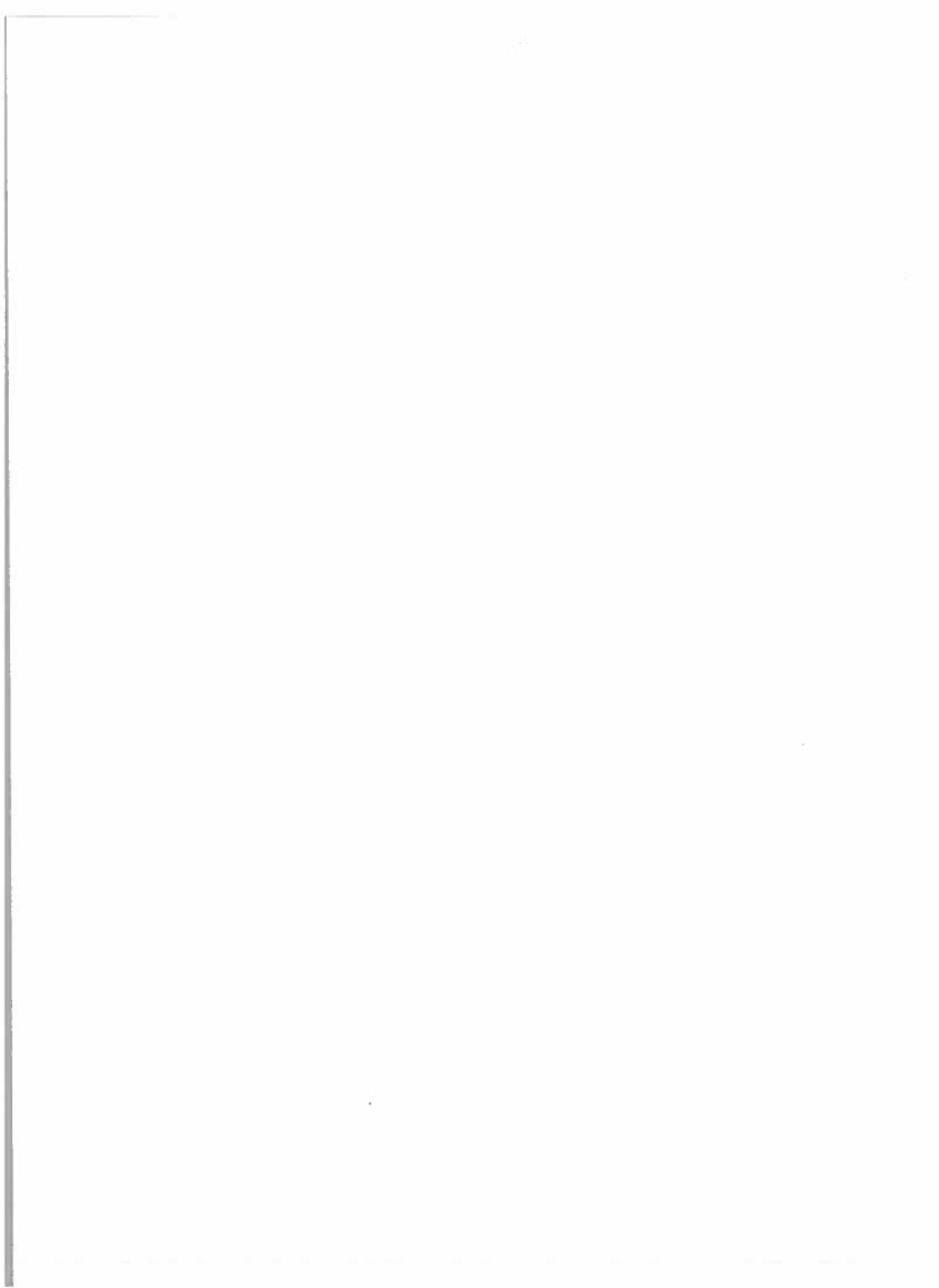
Using the list of "Characteristics of Effective Mental Health Programs," think about your organization.

- Which characteristics do you already have in place (or have plans to include)?
- What can you do to strengthen those components?
- Which characteristics have not been planned for/included?
- What needs to be done to add these elements/characteristics to your mental health program for youthful offenders?

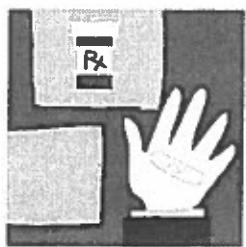
## **CLOSURE AND EVALUATION**

### **Trainer Note**

Summarize key points.



## Mental Health Issues



## Objectives

- Define mental illness and emotional disturbance as it relates to your work with youthful offenders.
- Describe staffing issues surrounding mental health treatment for youthful offenders.
- Describe the keys to successful mental health treatment for youthful offenders.

## What's wrong with that kid?

- Mental Retardation
- Learning Disorders
- Chronic Brain Syndrome
- Genetic Syndromes
- Neurological Impairment
- Behavioral Disorders



## Extent of the Problem



## **Risk Factors of Childhood Mental Illness**

- Genetics
- Chemical imbalances
- Damage to the central nervous system
- Exposure to environmental toxins.
- Exposure to violence
- Stress
- Loss of important people

## **Serious Emotional Disturbance**



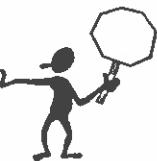
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## **Signs of Sexual Abuse**

- Unusual interest in or avoidance of all things of a sexual nature
- Sleep problems or nightmares
- Refusal to go to school
- Delinquency
- Unusual aggressiveness
- Aspects of sexual molestation in drawings, games, fantasies
- Secretiveness

## **Warning Signals of Teen Suicide**

- Withdrawal
- Change in eating and sleeping habits
- Violent actions, rebellious behavior, running away
- Drug and alcohol use
- Unusual neglect of personal appearance



8

## More Warning Signs

- Marked personality change
- Persistent boredom
- Frequent complaints about physical symptoms
- Lost of interest in pleasurable activities
- Not tolerating praise or rewards



## Warning Signs



- Complaints about being "rotten inside"
- Verbal hints
- Giving away favorite possessions or other signs of putting affairs in order
- Sudden cheerfulness after a period of depression

10

## Suicide Prevention

- Monitoring for triggers different for adolescents
- Individualized suicide prevention plan
- No isolation
- Modification of environment
- Full staff involvement

11

## Treatment Staff

- Psychologist
- Masters Level Counselor
- Psychometric Specialist
- Substance Abuse Counselor
- Sex Offender Clinician
- Mental Health Nurse
- Child and Adolescent Psychiatrist

12

## Using a Team Approach

- Mental Health Staff
- Medical Staff
- Correctional Officers
- Education Staff
- Administrators
- Family Member or Surrogate



13

## Legal Issues

- Parental notification
- Parental consent
- Youth assent
- Youth refusal of treatment



14

## Treatment Approaches

There is no one best way to approach treatment.



15

## Effective Mental Health Programs

- Highly structured, intensive and focused on changing specific behaviors
- Emphasize the development of basic social skills
- Provide individual counseling that directly addresses behavior, attitudes and perceptions
- Sensitive to a youth's race, culture, gender and sexual orientation

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## **Effective Mental Health Programs**

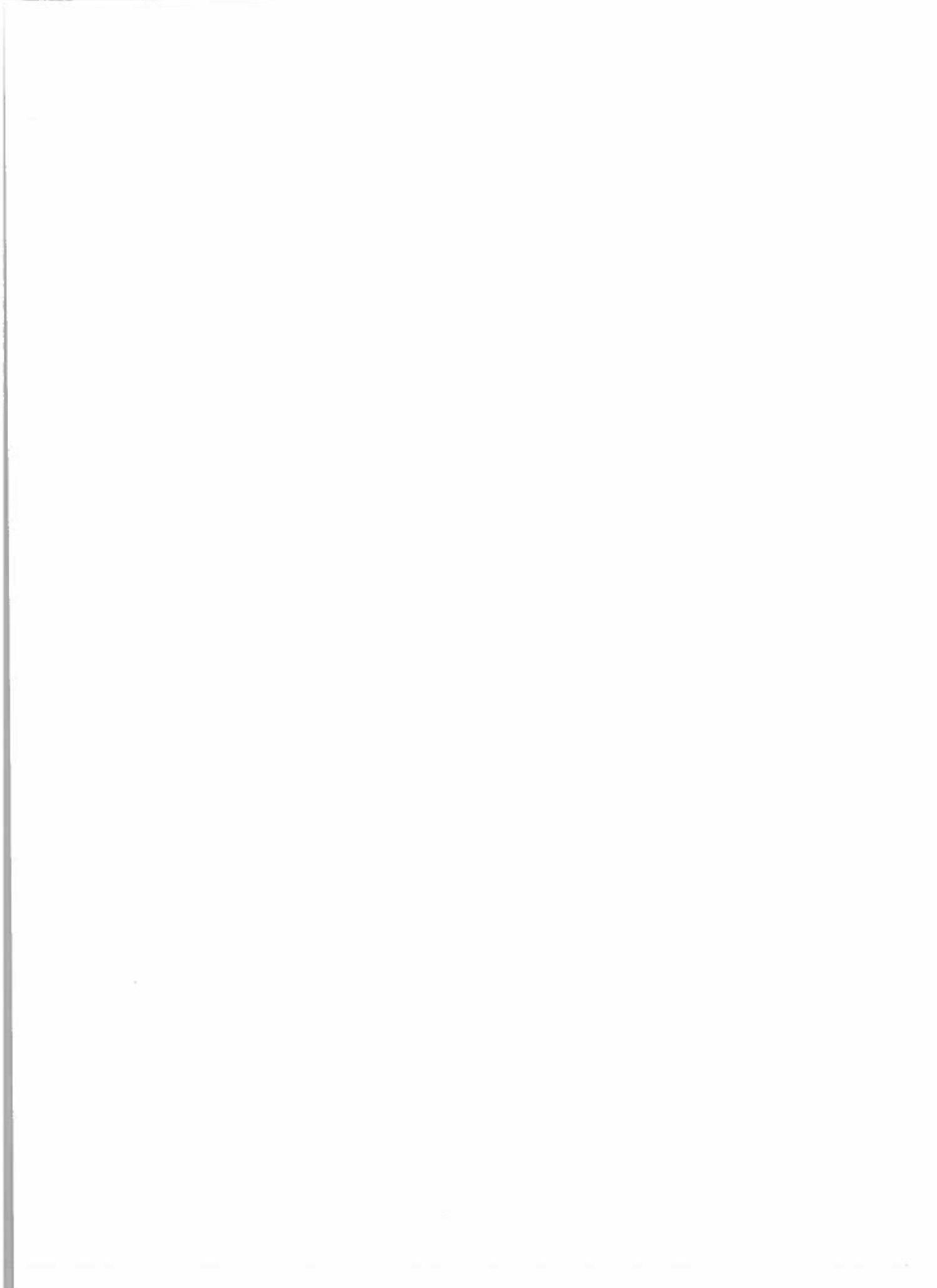
- Use community-based programs
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- Within institution, use mental health professional as treatment providers
- Offers developmentally driven services
- Strong aftercare component
- A method to measure program effectiveness

17

## **The kid acts that way because .....**

- Youth may have an undiagnosed mental health disorder.
- Youth has not received treatment.
- Youth's behavior/offense has overshadowed treatment need.

18



# **Performance Objectives**

## **MENTAL HEALTH ISSUES**

As a result of this module you will be able to:

- Define mental illness and emotional disturbance as it relates to your work with youthful offenders.
- Describe staffing issues surrounding mental health treatment for youthful offenders.
- Describe the keys to successful mental health treatment for youthful offenders.

## **Coalition for Juvenile Justice Annual Report (2000)**

Among the general youth population, the rate of mental health disorders is startlingly high. It is estimated that 20 percent of children and adolescents experience some kind of mental health problem during their childhood. This can be anything from anxiety to an eating disorder to substance abuse to Schizophrenia. Nine to 13 percent experience a serious emotional disturbance.

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Despite these disturbing numbers, the role of mental illness in delinquency has generally gone unacknowledged. The overriding public perception is that teenagers commit crimes because they are without morals or discipline. But the reality is much more complicated. As Michael Faenza, president and CEO of the National Mental Health Association, points out: Many of the children and adolescents in the nation's juvenile justice system have mental and emotional health problems "that remain untreated, even though they contribute to the youth's delinquency."

# Serious Emotional Disturbance

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## **Characteristics of Effective Mental Health Programs**

- Emphasize the development of basic social skills
- Provide individual counseling that directly addresses behavior, attitudes and perceptions
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- Use community-based programs
- Involve family members in treatment
- Within the institution, use mental health professional as treatment providers
- Offer developmentally driven services
- Has a strong aftercare component
- Use a method to measure program effectiveness

## Action Planning

Using the list of “Characteristics of Effective Mental Health Programs,” think about your organization.

- Which characteristics do you already have in place (or have plans to include)?

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- What can you do to strengthen those components?

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- Which characteristics have not been planned for/included?

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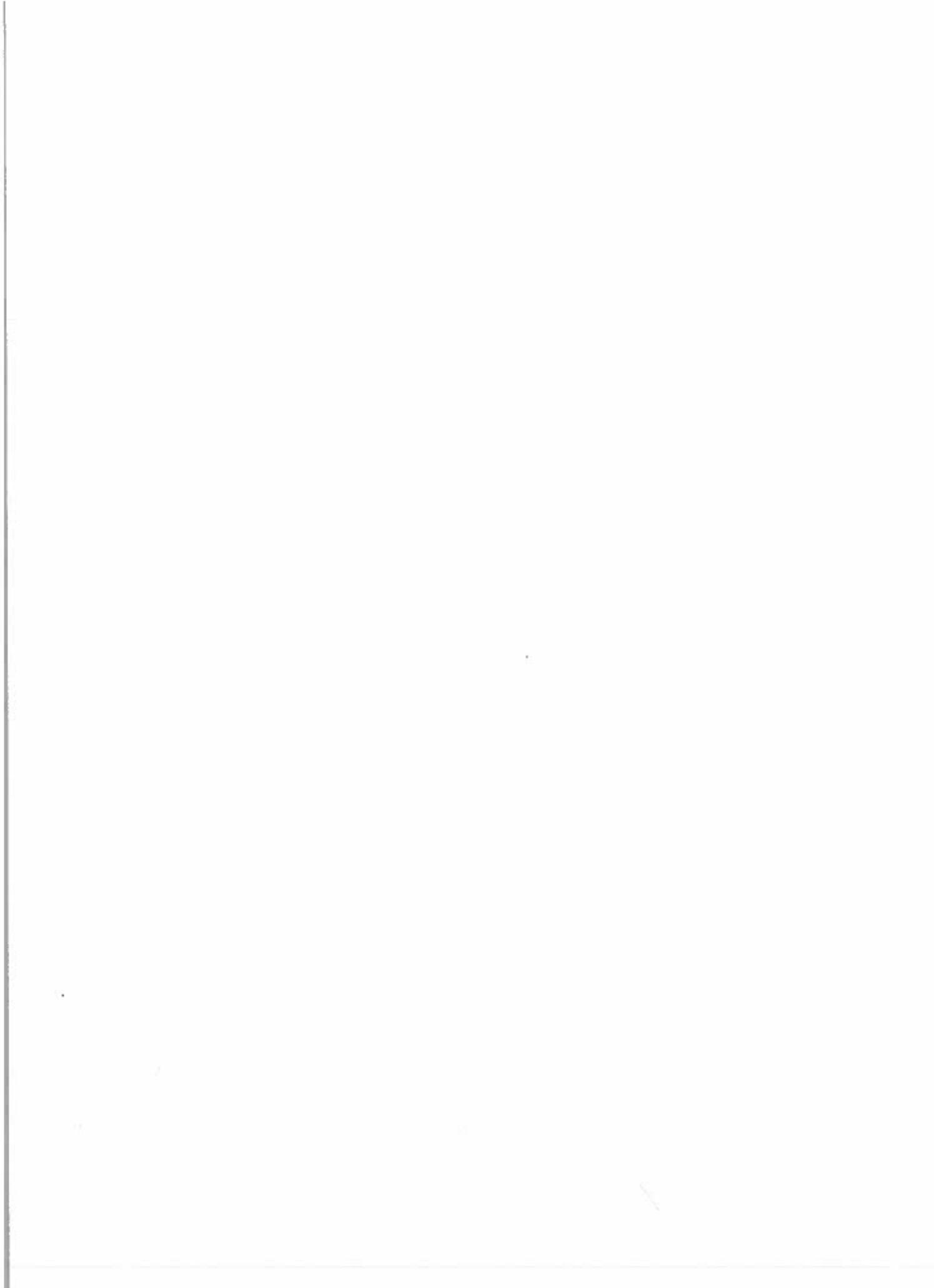
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- What needs to be done to add these elements/characteristics to your mental health program for youthful offenders?

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**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** MOVING FROM PLANNING TO IMPLEMENTATION

**WRITTEN BY:** Bill Sturgeon 2001

**TIME FRAME:** 4 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Use the 5 step model to draft an implementation plan.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **ANTICIPATORY SET**

### **Slide 1 - Moving From Planning to Implementation**

*How many of you have worked on projects that have never evolved from the planning phase to the implementation phase?*

**Possible responses:** Most likely many will have worked on projects that failed to “get off the ground.”

*What are some reasons you think that may have happened?*

**Possible responses:** Poor planning, no backing from CEO, lack of funds.

*That is right. There are 5 key reasons that programs fail:*

- *Lack of administrative support*
- *Shrinking resources*
- *No clinical or theoretical base for the program*
- *Poor program integrity*
- *No program evaluation*

#### **Trainer Note**

The reasons for program failure are covered in more detail in the modules on Program Evaluation and Overview of What Works.

*During this module we are going to work together to develop a plan to help smooth that transition from planning to implementation and increase your chances of success. I think that we can agree that an agency must have a well developed plan for its youthful offender program. The next step is taking that plan off of the paper and making it work in the real world or the institution.*

### **Slide 2 - Objectives**

*In fact, our main objective for this module is to use a five step model to draft an implementation plan.*

*“Make no mistake, implementing any new program that has the amount of detail and performance requirements that a youthful offender program has is difficult.” (Bill Sturgeon) What appeared to be sound on paper doesn’t work when it’s put into practice.*

*How does that saying go, “the best laid plans of .....* ?

## **Trainer Note**

Solicit class for the remainder of the quote ..... "mice and men").

## **INSTRUCTIONAL INPUT**

### **Moving from Planning to Implementation**

*You have spent time developing your program plan. Now it is time to set a date when everyone knows that you will move from the planning to the implementation phase.*

#### **Slide 3 - Flexible Yet Firm**

*From my experience I would say that the best posture that you can take during the implementation phase of your youthful offender program is for you to be, "flexible yet firm." You will need to be flexible in order to make the "real world" accommodations necessary to get the program up and running. But then there will be those times when you will have to be "firm" and stick to the plan.*

*Let me present two real world examples that illustrate the need to be both flexible and firm:*

#### *Being flexible:*

- A plan shows that all the youthful offenders will attend school in the morning. When actually implementing the program, we decided we needed to reduce class size. This meant we didn't have enough teachers or classrooms. Our solution was to divide the youthful offenders into two groups. One group went to school in the morning and the other went in the afternoon. Remember, although this appears to be a relatively easy problem to solve, dividing the school day into two sections had direct influences on other elements of the program.*

#### *Being firm:*

- The plan permitted only the staff who attended specific training in managing youthful offenders to work in the youthful offender program. There was some "discussion" that the staff who worked in the field with the youthful offenders did not need to go through the youthful offender training. Training was a MANDATORY requirement and there wasn't any room to compromise.*

#### **Slide 4 - Pick Your Battles**

*Here is some advice, pick your battles. As you try to implement the youthful offender program there will be many occasions when you will have to determine if being flexible on a certain point would compromise the basic goals and objectives of the*

*program. We can never forget that in 95 percent of the cases, youthful offender programs will be implemented in adult prisons where the adult population greatly outnumbers the youthful offender population. So in effect, to some staff and inmates, this is just another program that has to be made to fit into the daily schedule and operations of the prison.*

*Here are some easy steps that you can follow that will help you move from the planning phase to the implementation phase.*

#### **Slide 5 - Step 1**

##### **Step # 1**

*Determine the 'exact' date that the Program will start. Once you have established this date you can work backwards to establish other crucial dates for events to either commence or be completed. Example: If you know that the program will start 1 March 2002 then you will be able to plan for staff transfers to the program.*

#### **Slide 6 - Step 2**

##### **Step # 2**

*Develop a chronological time table that incorporates **ALL** the elements of your planning. Notice we have underlined, capitalized, and used bold type to stress the word **ALL**.*

*I'll give you an example of why we stress this. Some people have left out elements that they felt were obvious and/or common sense, like having the inmates at the program on the starting date. The problem was that some of these youthful offenders had to be transferred in from other prisons and no one arranged for the transfer.*

#### **Slide 7 - Step 3**

##### **Step # 3**

*Remember Sturgeons Project Planning and Implementation Model? Use it here. Divide the elements into their areas, e.g. Paper, People, Places, Technology/Materials. Using each of the elements will help insure that nothing falls through the cracks.*

*Example: Remember that the Paper is the formal method we use to communicate with all concerned. People will carry-out the actual duties. Places are where all of the program's events/activities will take place. Technology/Materials are those things that have been identified in the planning process as being required to meet the goals and objectives of the program.*

#### **Slide 8 - Step 4**

#### **Step # 4**

*Establish who (a primary person and a backup person) will be performing what tasks during the implementation phase. As might be expected, some of the people who worked on the program during the development process will not be (as) involved in the implementation process. The goal here is to select the right people to be responsible for implementing their part of the program.*

*Corrections is a fluid work environment in that staff frequently leave, transfer to a different assignment, or get promoted. Therefore it is crucial that there be a back-up to the primary person for every assignment.*

*Note of caution: In some cases the implementation falls on the shoulders of one or two people. If at all possible, try to avoid this. The team approach is the best way to implement a youthful offender program.*

*Example: One program had selected all the people who would be involved with the implementation and operations of the youthful offender program, but because of construction delays, several of these key people were promoted and/or transferred. Consequently, new people, not familiar with the entire process, were thrust into positions that they were not comfortable with doing.*

#### **Slide 9 - Step 5**

#### **Step # 5**

*Identify an Auditor and a Taskmaster. These two positions should be assigned to different people. The auditor's responsibilities are to continuously audit the process and insure that there is adherence to the chronological time line. The Taskmaster's (who should hold a significant position within the agency) job is to take the information from the auditor and make the necessary corrections and get people and/or events back on track. There may be times when the taskmaster will perform the task.*

*Example: The auditor reports to the taskmaster that the smaller size boots that were requisitioned had not been ordered by the purchasing department because the vendor that the purchasing department usually orders from does not carry small sizes. The taskmaster intercedes with the purchasing department which finds another vendor for the boots. (The boots were necessary because they were going to be part of the youthful offenders' uniforms and the offenders would wear them while they were at work.)*

*What does an implementation plan look like? Take a look in your workbook.*

## Moving From Planning to Implementation Example

**Task:** Develop policy and procedure and all ancillary forms required for implementing immediate sanctions into the youthful offender program.

**Step 1** Set operational start-up date: 1 March 2002

**Step 2** Develop chronological time table. Incorporate ALL elements of planning.

- 1 All new policies and procedures written no later than (NLT) 5 Jan 2002
2. Distribution for comments NLT 6 Jan 2002 – Comment period ends NLT 8 Jan 2002
3. All new policies and procedures must be approved by 10 Jan 2002
4. Signed off by CEO (NLT) 12 Jan 2002
5. Included into staff training curriculum NLT 15 Jan 2002
6. Training lesson plan(s) completed and approved NLT 25 Jan 2002

**Step 3** Divide elements into areas, e.g. Paper, People, Places, Technology/Materials.

**Paper:** Policy that details the principals of Immediate Sanctions in the youthful offender program

**People:** All staff assigned to the program, central office staff – CEO, Deputy CEO, Training, Legal Counsel, Public Information Officer

**Places:** Unique to the Department's Youthful Offender Program

**Technology/Materials:** No technology needed

Getting a Department form number

Arrange for the printing of Immediate Sanction Forms

Establish completion date

**Step 4** Establish who (a primary person and a backup person) will be performing what tasks during the implementation phase.

Task	Primary Person	Back-up Person
1. Writing of policy and procedures to include all ancillary forms		
2. Distribution for comments		
3. Approval process (corrections/ additions)		
4. Sign-off by (CEO)		
5. Inclusion in staff training programs		
6. Lesson plan approved and complete		

**Step 5** Identify an Auditor and a Taskmaster.

<u>Auditor</u>	<u>Task</u>	<u>Date</u>	<u>Findings</u>
Jack Jones	1. Writing of policy/procedures (includes all ancillary forms) 2. Distribution for comments 3. Approval process 4. Sign-off by (CEO) 5. Inclusion in staff training curriculum 6. Lesson plan approved and complete	3 Jan 2002 5 Jan 2002	On Schedule Off Schedule
<u>Taskmaster</u>	<u>Issue(s)</u>	<u>Date</u>	<u>Resolution</u>
Jane Roof	Distribution of P&P comments not completed Primary ill, secondary transferred	5 Jan 2002	Taskmaster will distribute

## Slide 10 - Addressing Problems

If you look carefully at these examples, you will see that they are systematic and detailed. Will you have problems when you actually start the process of implementing your program? You bet you will! But unless the issues that arise are life threatening

*or clearly an impossibility to overcome, stay with your plan! You have worked hard during the development phase and thought through the implementation phase – believe in it. Remember, anytime we attempt any significant changes in the correctional routine, people tend to panic.*

*Think about it, we are asking people to shift their paradigms and change attitudes and beliefs. Not unlike what we learned about dynamic risk factors for youthful offenders, attitudes and beliefs are not only good predictors for continued criminality they are good predictors for barriers to implementing organizational change. Take a minute in your small groups to answer these questions:*

- *What staff attitudes and beliefs can you predict will happen during the implementation phase?*
- *How can these attitudes and beliefs be overcome so they are not barriers to the implementation of the program?*

#### **Trainer Note**

Debrief by having the small groups share their responses.

#### **Slide 11 - Bumps In The Road**

*Other than staff attitudes and beliefs some other bumps in the road include:*

- *Staff not fully understanding what is expected of them*
- *Your daily schedule time frames are either too tight or too loose*
- *Some people who you thought might be supportive, disappoint you*
- *Staff may tend to react to a few difficult offenders and lose sight of the big picture.*
- *All of the technology and materials aren't in place the day the program is implemented*

*What do you do if everything is not in place? Do you delay the implementation or do you drive on and improvise? Here's a hint: if you wait for everything to be perfect, you will retire before the program is implemented.*

#### **Slide 12 - Additional Bumps**

- *Key staff will be transferred, promoted, or will not work out*

- *Some offenders will either be too ill medically or mentally to participate in the program*
- *If you are one of the key people for implementing the program, you will be very tired after the first week.*

## **GUIDED PRACTICE**

### **Trainer Note**

Have each of the small groups work on developing a draft of their implementation plan. Refer them to the example presented during this module. Here are the parameters:

- 50 minutes to work on plans
- Findings written on chart paper
- Identify a spokesperson
- Each group will have 10 minutes to present their plan to the large group
- 5 minutes for questions

The trainer will be looking to insure that:

- participants are using the 5 step model
- participants were thorough in their approach

### **Debrief**

*What did you learn from developing your plans?*

*What additional information do you need to collect when you return to work (to complete the plans)?*

*As you have now experienced, developing a good implementation plan is a lot of work. The drafts that you have created are a good start. Keep them as a reference and work and learn from them.*

## **CLOSURE/EVALUATION**

*No doubt that the implementation phase of any project is the most difficult. It requires a comprehensive and thoughtful plan along with a great deal of patience. The implementation plan is very much like a coach's game plan. When you are winning everyone wants their name mentioned, but when you are losing it is the coach's plan. But as all the good coaches will tell you, if you have a good game plan you'll have a good game.*



## Moving From Planning To Implementation

- “Implementing any new program that has the amount of detail and performance requirements that a youthful offender program has is difficult.” - Bill Sturgeon

## Objectives

- Use the 5 step model to draft an implementation plan



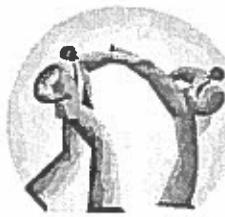
2

## Flexible but Firm

- Flexible in order to make the “real world” accommodations
- Stay firm by sticking to the plan

## Pick Your Battles

- Will giving in compromise the basic goals and objectives of the program?



4

## **Step 1**

- Determine the exact date that the program will start.



5

## **Step 2**

- Develop a chronological time table that incorporates **ALL** the elements of your planning.



6

## **Step 3**

- Use Sturgeon's Project Planning and Implementation Model to divide the elements into their areas (paper, people, places, technology/materials).



7

## **Step 4**

- Establish who (a primary person and a backup person) will be performing what tasks during the implementation phase.



8

## **Step 5**

- Identify an Auditor and a Taskmaster.



9

## **Addressing Problems**

- Unless the issues that arise are life threatening or clearly an impossibility to overcome, stay with your plan!



10

## **Bumps In The Road**

- Staff not understanding expectations
- Daily schedule time frames too tight or loose
- Some people not supportive
- Staff react to a few difficult offenders, lose sight of the big picture



11

## **Additional Bumps**

- Technology/materials not all in place day program begins
- Key staff transferred, promoted, or do not work out
- Some offenders too ill (medically or mentally) to participate
- Key people will be very tired after the first week

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# **Performance Objectives**

## **MOVING FROM PLANNING TO IMPLEMENTATION**

As a result of this module you will be able to:

- Use the 5 step model to draft an implementation plan.

# Moving From Planning to Implementation

## Example

**Task:** *Develop policy and procedure and all ancillary forms required for implementing immediate sanctions into the youthful offender program.*

**Step 1**      *Set operational start-up date: 1 March 2002*

**Step 2**      *Develop chronological time table. Incorporate ALL elements of planning.*

1. All new policies and procedures written no later than (NLT) 5 Jan 2002.
2. Distribution for comments NLT 6 Jan 2002 – Comment period ends NLT 8 Jan 2002.
3. All new policies and procedures must be approved by 10 Jan 2002.
4. Signed off by CEO (NLT) 12 Jan 2002.
5. Included into staff training curriculum NLT 15 Jan 2002.
6. Training lesson plan(s) completed and approved NLT 25 Jan 2002.

**Step 3**      *Divide elements into areas, e.g. Paper, People, Places, Technology/Materials.*

**Paper:**      Policy that details the principals of Immediate Sanctions in the youthful offender program.

**People:**      All staff assigned to the program, central office staff – CEO, Deputy CEO, Training, Legal Counsel, Public Information Officer.

**Places:**      Unique to the Department's Youthful Offender Program.

**Technology/Materials:**      No technology needed.  
Getting a Department form number.  
Arrange for the printing of Immediate Sanction Forms.  
Establish completion date.

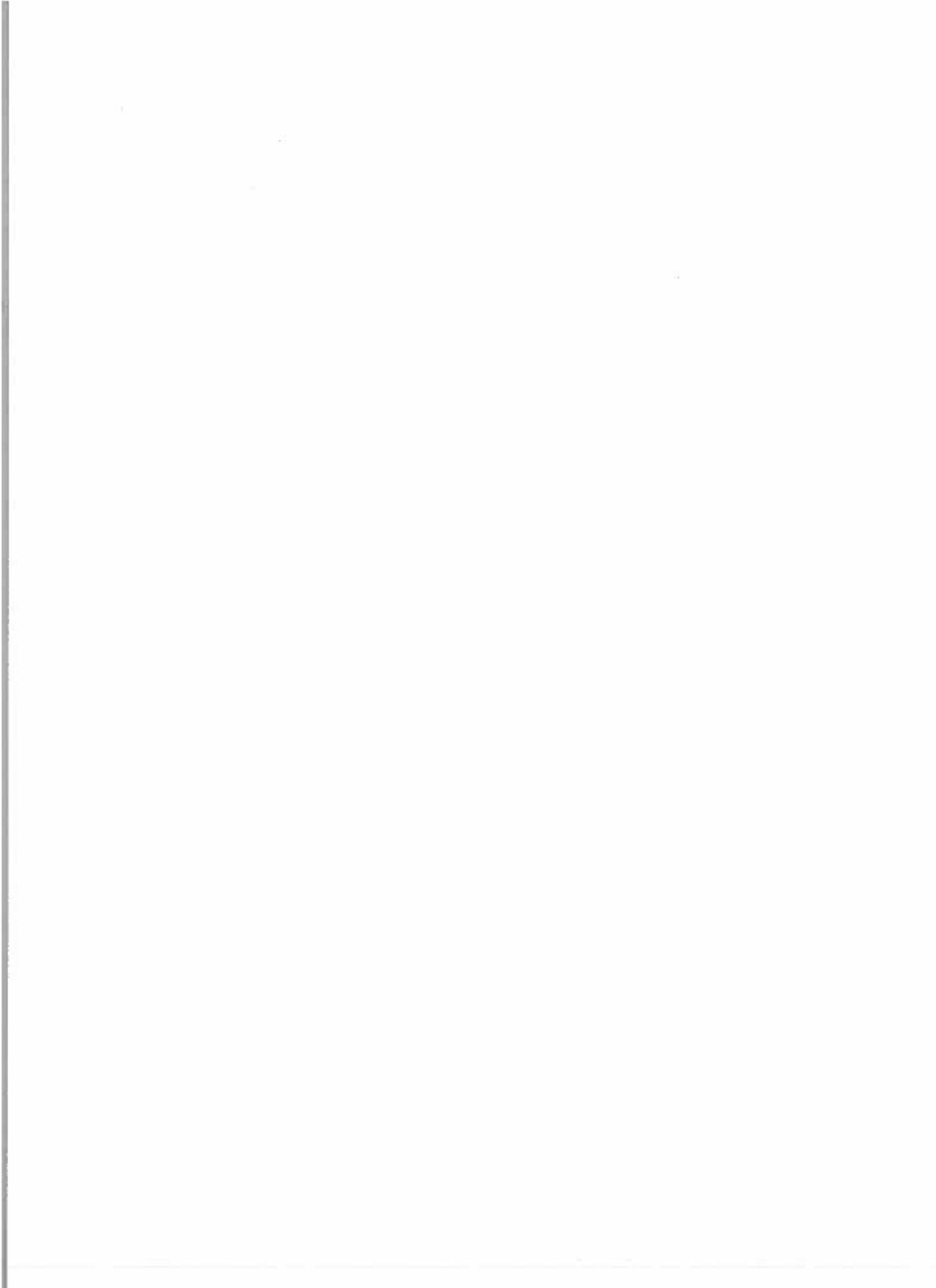
**Step 4** Establish who (a primary person and a backup person) will be performing what tasks during the implementation phase.

<u>Task</u>	<u>Primary Person</u>	<u>Back-up Person</u>
1. Writing of policy and procedures to include all ancillary forms		
2. Distribution for comments		
3. Approval process (corrections/ additions)		
4. Sign-off by (CEO)		
5. Inclusion in staff training programs		
6. Lesson plan approved and complete		

**Step 5** Identify an Auditor and a Taskmaster.

<u>Auditor</u>	<u>Task</u>	<u>Date</u>	<u>Findings</u>
Jack Jones	1. Writing of policy/procedures (includes all ancillary forms)	3 Jan 2002	On schedule
	2. Distribution for comments	5 Jan 2002	Off schedule
	3. Approval process		
	4. Sign-off by (CEO)		
	5. Inclusion in staff training curriculum		
	6. Lesson plan approved and complete		

<u>Taskmaster</u>	<u>Issue(s)</u>	<u>Date</u>	<u>Resolution</u>
Jane Roof	Distribution of P&P comments not completed Primary ill, secondary transferred	5 Jan 2002	Taskmaster will distribute



**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** PHYSICAL PLANT

**WRITTEN BY:** Bill Sturgeon 1996, revised 2001

**TIME FRAME:** 2 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Use the four elements (space, security level, activities/programs and time frames) to develop a comprehensive checklist to retrofit your physical plant addressing the issues associated with incarcerating youthful offenders in adult facilities.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show
- Television and VCR
- Videotapes: *Fence Penetration*  
(Available at NIC Information Center)

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

- Lincoln on Leadership, Donald Phillips
- Prison Security Manual NIC 1994, William Sturgeon
- Risk Analysis & Security Survey, James F. Broder
- Complete Security Guide for Executives , Neil Livingstone
- Design Meets Mission at New Federal Max Facility, John M. Vanyur

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **ANTICIPATORY SET**

### **Slide 1 - Physical Plant**

#### **A. Introduction**

*Almost daily there are newspaper reports of youthful offenders being sentenced as adults and/or legislators changing the minimum age that youthful offenders can be incarcerated in adult correctional institutions--facilities which may or may not have physical plants to provide adequate security for this youthful offender population.*

*This module is designed to stimulate your thinking about every facet of the operation of a facility and how it relates to the physical plant that incarcerates youthful offenders. As we go through this module, I would ask you to remember what we have learned about adolescents and their space needs. For example, we know they sometimes need an area where they can be by themselves and that this need is a normal part of their development.*

*What other things are unique to adolescents regarding their space needs?*

**Possible Responses:** They will have to be kept separate from older inmates.

*In our planning we need to keep in mind that addressing these unique needs is a smart way to manage this specialized population. Just as we make special accommodations for other 'special' populations we need to make special accommodations for this population.*

### **Slide 2 - Physical Plant Ideas**

*The methods and techniques about the physical plant presented in this module can be used to either retro-fit an existing facility and/or construct a new facility that will incarcerate youthful offenders.*

### **Slide 3 - Objectives**

#### **B. Objectives**

*Take a moment to read the objectives.*

#### **Trainer Note**

Show slide of objective and/or refer the participants to their workbook.

*We all have preconceived notions about security. Let's take a look at a video which may challenge some assumptions you may have about the security provided by*

*fences. This video demonstrates just how easy and fast it is to compromise a security fence. Each time this tape is shown, correctional security personnel call home and have their fence lines checked. I assure you, you will never trust a security fence the same way you did before viewing this tape.*

*Before we watch the video, let me ask, "How long do you think it would take to breach your perimeter fence?"*

#### **Trainer Note**

Get a few responses then show the 10 minute video, *Fence Penetration*.

After the video comment on how close their estimates for breaching their perimeter fence came to the best time on the video. (The time on the video is 110 seconds.)

*Now that we have watched the video, what are your thoughts?*

**Possible responses:** Surprised, unbelievable.

### **INSTRUCTIONAL INPUT**

#### **A. Security Principles**

*There are some basic security principles which we all know and which must be incorporated into our work products. But saying that, let me share something that a correctional officer who is currently working with youthful offenders told me:*

*"They (violent youthful offenders) will test you and every security practice you have in place. If there is a deficiency somewhere in your operations, they will find it. They continually push the envelope of their incarceration. Although they may be in prison for murder, violent, or property crimes - they are still children in many ways. One minute they are threatening to kill you; the next minute they are watching cartoons on television."*

*So, just as when dealing with adult inmates, security remains essential when working with youthful offenders.*

#### **Slide 4 - Security Principles**

*When you are assessing your physical plant, what are some of the basic security principles that you think need to be addressed?*

**Possible responses:** Responses should include building materials such as reinforced concrete walls, fencing materials, lighting fixtures, video camera, locking systems, cell fronts, cell fixtures, grounds, exercise equipment, location of utilities shut-offs, and areas such as the kitchen which pose special concerns.

### **Slide 5 - Change Strategies**

*Abraham Lincoln said, "The dogmas of the past are inadequate for the stormy present and future. As our circumstances are new, we must think anew, and act anew."*

*To make our physical plant work for young offenders it will take thinking and acting in new ways.*

### **Slide 6 - Business of Paradigms**

*Our perceptions of the world are strongly influenced by paradigms. For those of you who have worked in prison environments for some time, you have, based on those experiences developed certain ways of thinking, believing and responding to those environments. Understanding and challenging our existing paradigms, our beliefs and attitudes about security and physical plant design, will help us create the type of correctional environments necessary to manage the short and long term needs of this population.*

*We can't stress enough how important it is for you to think differently about your institutions physical plant when housing youthful offenders. Most correctional people look at their building as "just a building." But a building can be so much more. It can be a critical part of your total security package, and can have its security levels increased or decreased simply by adjusting the security staffing or the technology.*

*So, let's look now at the four elements of security.*

### **Slide 7 - Four Elements of Security**

#### **B. Four Elements of Security**

*The framework we will use for the development of our physical plant include:*

- *Space*
- *Security Level*
- *Movement Activities/Programs*
- *Time Frame*

## **Slide 8 - Elements Incorporate .....**

*Stop and think about these four areas. They incorporate the size (space), construction (security level), time-in-use (movement/activity/programs), and intervals of use (time frames) the physical plant will be subjected to.*

## **Slide 9 - Physical Plant**

*When we look at the physical plant, we see a building. What we don't see is that the building has strengths and weaknesses, that it can be our ally or our enemy. When you complete this module, you will view buildings differently. We must also remember to consider all of the areas the youthful offenders will have access to. All of these areas have strengths and weaknesses. We need to know what they are so that we use them to our advantage.*

### **1. SPACE**

#### **Slide 10 - Space - What is it?**

*When we think about space we need to open our minds and think of what space is, what is in the space, how do we want to use the space, and what are the strengths and weaknesses of the space.*

*In a correctional facility, space and the way it is used is very important because it dictates the staffing requirements, construction demands, the number of inmates to be housed, and how we secure it.*

*I want you to spend some time thinking about space. Work in your small groups to identify things that can make space weak or strong. For example, ..... Then list all the ways you will use space when working with youthful offenders. For example, you will have living areas, hallways etc.*

#### **Slide 11 - Space**

##### **Trainer Note**

Write instructions on board or chart paper.

In your small groups:

1. List all the ways that space will be used to incarcerate youthful offenders.
2. Identify things that can make space either weak or strong.
3. Write your responses on newsprint.
4. You will have 15 minutes to complete the exercise.

5. Each group will have 10 minutes to present their findings to the large group.

### Possible responses

**Ways space will be used:** Living areas, hallways, ceilings, recreation areas, administrative segregation areas, medical areas, guarded and un-guarded areas as examples. Also, square footage for specific areas, multi-purpose space.

**Things that make space weak or strong:** Responses will vary.

Now that we have listed the ways space can be used lets move on to the next element.

### Slide 12 - Security Levels

#### 2. SECURITY LEVELS

*Security Levels are the levels at which space is either constructed for and/or can be elevated or reduced to by the use of staff, technology, or other means as the Activity/Programs and Time Frames dictate. As we examine the uses of space, we must now start to think about the process of assigning Security Levels. As you all know, maximum security construction is very costly.*

*For your next exercise, you will use the recognized correctional Security Levels of Minimum, Medium, Maximum, Super Max. Let's take a minute to review those definitions.*

### Slide 13 - Minimum Security

*The American Correctional Association's guidelines indicate that Minimum Security facilities provide dormitory, cubicle or room housing, single or no fence with occasional patrol and inmate census taken at least three times daily. Behavior characteristics of inmates at the minimum custody level include no history of escape or escape attempts, no history of violent behavior, and sentences of three years or less.*

### Slide 14 - Medium Security

*Medium Security facilities house inmates with no escape history during the past seven years, no history of escape attempts from a secure setting within the past five years, no history of institution violence involving weapons, serious injury, or staff assault within the past five years, no active participation in prison gangs, and sentences five years or less.*

## **Slide 15 - Maximum security**

*Maximum Security Level institutions house inmates in single cells and are very secure with heavy-duty hardware. Security is provided by double fence, wall, towers, and/or constant armed perimeter surveillance and/or an electronic alarm system. Formal census is taken at least five times daily. Inmates placed in maximum security are considered high escape risks, have a history of escapes or escape attempts, recent history of violent crimes or violent institutional conduct within the past five years and/or are actively involved in gangs or groups advocating violence.*

## **Slide 16 - Super Max Security**

*SuperMax facilities are designed for the "extremely violent, predatory, disruptive or escape-prone." Although few in number, facilities designated as SuperMax use close supervision, physical security, and enhanced control of the inmate population.*

*Security levels can and do vary within an institution depending on how space is used and how the offenders are supervised within that space.*

## **Slide 17 - Security Levels and Space**

*Let's work in your small groups again. I would like each group to:*

- *Discuss what Security Levels different spaces used to incarcerate youthful offenders should be and why. Don't forget to discuss ancillary areas, recreation, education, etc.*
- *Be ready to defend your group's position to the large group.*
- *You will have 20 minutes to complete the exercise.*
- *Write your findings on newsprint.*
- *Your group will have 10 minutes to present findings to the large group.*

### **Trainer Note**

Write instructions on board or chart paper.

**Possible Responses:** Maximum Security Levels should be restricted to inmate living areas, areas where inmates will congregate for long periods of time, and areas where there will be minimal security staff. Areas such as hallways, classrooms, medical examination rooms could be constructed at lower security levels. The trainer should push the participants to justify their security level recommendations.

## **Slide 18 - Activities and Programs**

### **3. ACTIVITIES/PROGRAMS**

*Now that we have thought about space and Security Level, it is time to carefully examine what will be going on in the space and what will be the Security Level of the inmates involved in the Activities/Programs.*

*Activities and Programs are essential management tools for youthful offenders. Remember as we discussed earlier, they are still developing from adolescence into adulthood. They have boundless energy that has to be released. Involving them in structured programs is one way to constructively channel their energy.*

*What might happen when youthful offenders aren't provided with constructive outlets for their energy?*

**Possible responses:** Fighting, acting out.

*Activities/Programs are those structured events that happen all day, every day. They can be accomplished by staff, inmates, visitors, and the general public. It is important to identify and understand what is involved in each Activity/Program so that it can be coordinated with the elements of this model: Space, Security Level, Time Frame.*

*I would like each group to:*

- *Identify EVERY activity/program that is currently used or should be offered to incarcerated youthful offenders.*
- *Once again, write your findings on newsprint. You will have 10 minutes to complete the exercise.*

#### **Trainer Note**

If they don't have an operational youthful offender program, have them identify what types of activities should be part of their program. Be sure that all activities and programs are covered. Some examples are visiting, indoor recreation, outdoor recreation, education programs, social work programs, incentive programs, inmate movement, meals, canteen, religious services. Rather than have each group report out, have participants view the list and make some summary statements about their contents.

## **Slide 19 - Time Frames**

### **4. TIME FRAME (S)**

*The concept of time frames is important because it helps to determine what security level a space must be for the activities/programs that are being conducted in that space. For example, if a recreation yard is in use from 2:00 PM to 4:00 PM and maximum classification inmates are in the yard - during that time frame the recreation yard (space) is upgraded to maximum. This is done by: positioning staff in the recreation yard, stationing the perimeter patrol staff where they can view the recreation yard, and employing the use of video cameras to observe the recreation yard. As another example: A classroom can be upgraded as needed by: positioning staff, employing video cameras, installing security materials to the windows, and having panic buttons for the teachers.*

*What are some other examples?*

**Possible responses:** Eating areas, chapel area used for special ceremonies.

*Too often, facilities waste construction money building high security areas that could really be constructed at a lower security level. By considering the four basic elements of maintaining adequate security, resources can be used flexibly and efficiently.*

*In your small groups again, assign time frames to each activity/program you have listed. Adjust the security levels as needed for each time period. Write your findings on newsprint. Take 15 minutes.*

#### **Trainer Note**

Be sure that the participants identify the differences in time frames as it relates to specific activities/programs.

## **Slide 20 - Condition of the Physical Plant**

### **C. Condition of the Physical Plant**

*No matter how effectively you use the four elements we have discussed today, it is always important to understand the specifications and condition of the physical plant you are working with. For example, many facilities built in the 1970's with funds from the Law Enforcement Assistance Administration, (L.E.A.A.) may not have reinforced exterior walls. For example, an NIC consultant conducting a technical assistance visit learned that inmates, housed in one of these buildings had found that the exterior wall was not reinforced and consequently inmates escaped by using plastic spoons to break through the wall. Some facilities built during that same*

*period of time, contained false ceilings in the hallways that led to the main lobby and the front door.*

*Before moving youthful offenders into any living area or other areas of the facility a comprehensive shakedown of the areas must be done. All deficiencies, broken fixtures, and contraband must be repaired or removed. If at all possible the living area should be painted and all broken materials repaired. This is done because as part of the program the offenders will be required to maintain it.*

## **EVALUATION/CLOSURE**

*The increasing numbers of youthful offenders in adult institutions have forced corrections facilities to evaluate much of their operations, including security procedures. To retro-fit old or design new facilities requires flexible thinking which considers the elements of Space, Security Level, Activities/Programs, and Time Frames.*

*If you were to apply the principles presented in this module to your own institution or system to retro-fit or design a facility for incarcerated youthful offenders, what would be your first step in each category?*

*What problems would you anticipate?*

*How would you overcome those problems?*

*We have talked about the four components to consider when retrofitting or designing a facility: Space, Security Level, Activities/Programs, and Time Frame. Let's pull it all together.*

*Take 30 minutes in your small groups, to use the four components to develop a checklist that you can use to retrofit your current facility to accommodate youthful offenders. When you report out, be prepared to describe how you have taken the four components into consideration.*

### **Trainer Note**

Most participants will probably not be in a situation where they are going to be able to build a new facility. But, if there are participants this applies to, you can have them do this alternate activity described below:

- Create an ideal physical plant to incarcerate youthful violent offenders. You will have one (1) hour to complete your assignment. Be creative! Draw or build your model. When you report out, be prepared to describe how you have taken the four components into consideration.

## Physical Plant



## Physical Plant Ideas



- Retro-fit - Think about ways to adapt an existing facility.
- New - What would a new facility look like?

## Objectives

- Develop a checklist that details physical plant issues associated with incarcerating youthful offenders in adult facilities.



## Security Principles

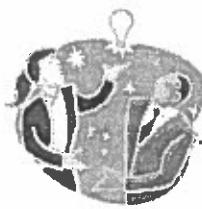
- When you are assessing your physical plant, what are some of the basic security principles that you think need to addressed?



## Change Strategies

- "The dogmas of the past are inadequate for the stormy present and future. As our circumstances are new, we must think anew, and act anew."

Abraham Lincoln



5

## Business of Paradigms

- Perceptions strongly influenced by paradigms.
- We get so good at using our paradigms, we resist changing them.



6

## Four Elements of Security

- Space
- Security Level
- Movement/Activities/Programs
- Time Frames



7

## Elements Incorporate .....

- Size
- Construction
- Time-In-Use
- Interval of Use

8

## **Physical Plant**

- Assess strengths and weaknesses



## **Space – What is it?**

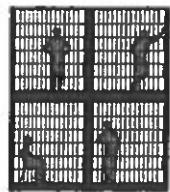
- Space and the way it is used is very important because it dictates the staffing requirements, construction demands, the number of inmates to be housed, and how we secure it.



10

## **Space**

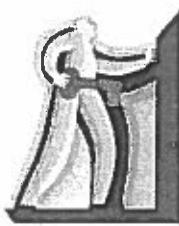
- Identify things that can make space either weak or strong.
- List all the ways that space will be used to incarcerate youthful offenders.



11

## **Security Levels**

- Minimum
- Medium
- Maximum
- Super-Max



12

### **Minimum Security Level**

- Dormitory, cubicle or room housing
- Single or no fence with occasional patrol
- Inmate census taken at least three times daily

13

### **Medium Security Level**

- Rooms and/or multiple occupancy cells and/or dormitories.
- Double fences, electric alarm system, and patrol of perimeter or towers.
- Formal census taken at least four times daily with additional frequent informal census.

14

### **Maximum Security Level**

- Single cells, heavy-duty hardware.
- Double fence, wall, towers, and/or constant armed perimeter surveillance and/or an electronic alarm system.
- Formal census taken at least five times daily.

15

### **Super-Max Security Level**

- Few in number.
- Use close supervision, physical security, and enhanced control of the inmate population.

16

## **Security Levels and Space**

- How should the use of space differ for each security level?
- Don't forget ancillary areas (recreation, education, etc.)

17

## **Activities and Programs**

- Events that happen all day every day.
- Essential management tools for youthful offenders.
- Accomplished by staff, inmates, visitors, general public.



18

## **Time Frames**

- Determine what security level a space must be for the activities/programs that are being conducted in that space.



19

## **Condition of Physical Plant**

- Comprehensive shakedown of the areas.
- Deficiencies, broken fixtures, and contraband repaired or removed.
- Living area (s) should be painted and all broken materials repaired.



20



# **Performance Objectives**

## **PHYSICAL PLANT**

As a result of this module you will be able to:

- Use the 4 elements (space, security level, activities/programs and time frames) to develop a comprehensive checklist to retrofit your physical plant addressing the issues associated with incarcerating youthful offenders in adult facilities.



**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** PHYSICAL/SEXUAL/EMOTIONAL ABUSE

**WRITTEN BY:** Diana Coates 2001, revised by Denise Barker 2002

**TIME FRAME:** 2 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Describe the relationship between the abused/traumatized child and juvenile delinquency.
- Identify the behavioral and psychological effects of neglect, physical, emotional, or sexual abuse.
- Develop a plan to address treatment issues and respond to behaviors of abused youth.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show
- Television and VCR
- Video entitled "Broken Child" (HBO, not copyrighted, public domain. The video is 60 minutes long, a 10 minute clip is shown in this module.)

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

- *Child Abuse and Neglect: What You Should Know*, distributed by Prevent Child Abuse America
- *Ten Reasons to Prevent Child Abuse*, distributed by Prevent Child Abuse America

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **Slide 1 - Title Slide (Sexual/Physical/Emotional Abuse)**

### **ANTICIPATORY SET**

#### **Slide 2 - Victims of Child Abuse**

*Child abuse can be fatal. There has been a 50% increase in the number of cases from 1985 to 1993 (3 million children reported abuse in 1993). Each year, 160,000 suffer severe or life threatening injuries and one to two thousand children die as a result of abuse.*

*These are some startling statistics that show that child abuse is indeed a significant problem. Why might this problem be important for you to explore?*

#### **Possible responses**

Many youthful offenders who come into the corrections system have been abused or neglected by their parents or other significant adults in their lives..

It can help us understand some of the youthful offender behavior and how to address that behavior.

*In this module we will consider not only the nature of child abuse and neglect but also, why it happens, what it does to children and their parents, and how it effects you personally.*

*Most of us have certain beliefs about the nature of abuse and neglect and those who abuse or neglect their children. Sometimes our beliefs are right on target, and we are able to deal with individual youthful offenders we encounter with a clear understanding of the realities involved in their history.*

*However, just as we learned in the module on Social Learning, sometimes our beliefs are the result of misconceptions we have or inaccurate information we have received, in this case about child abuse and neglect. When that happens, it may have a negative effect on the way we perceive, or deal with a youthful offender.*

#### **Trainer Note**

On one side of the room, post a sign with "Agree" written on it. On the other side, post a sign with "Disagree" written on it.

*You are going to have an opportunity to think about and discuss your personal ideas and beliefs about child abuse and neglect. I will read a statement and I want you to decide whether you agree with it or not. If*

*you agree, move to the side of the room with the "Agree" sign, if you don't agree, move to the side of the room with the "Disagree" sign.*

- *Parents who physically abuse their children are mostly from lower socioeconomic levels.*

#### **Trainer Note**

Once participants get up and move to the side of the room indicating their agreement or disagreement, hear some of their thoughts. Afterwards (if they haven't already clarified it) let them know that parents who physically abuse their children come from all socioeconomic levels.

*Let's try another one.*

- *Abusive parents are about as likely as non-abusive parents to have been abused as children.*

#### **Trainer Note**

Again, once participants get up and move to the side of the room indicating their agreement or disagreement, hear some of their thoughts. Afterwards let them know that it is six times more likely for parents who were abused as children to abuse their own children.

- *Child abuse stymies a child's growth and development.*

#### **Trainer Note**

Once participants get up and move to the side of the room indicating their agreement or disagreement, hear some of their thoughts. Afterwards (if they haven't already clarified it) let them know that it causes problems such as low self-esteem and poor relationships.

*Think about what you learned in the module on adolescent development. If the majority of youthful offenders in your facility have been abused, how do you think that would affect their normal adolescent development?*

#### **Possible responses**

It would significantly impact their development. They may have to skip some stages or could get stuck in others. Also, many of the same issues as above; low self-esteem, poor relationships.

*Okay, let's try one more.*

- *Most child abuse takes place in the family home by a person known to and trusted by the child.*

### **Trainer Note**

Once participants get up and move to the side of the room indicating their agreement or disagreement, hear some of their thoughts. Afterwards let them know that it is a true statement but that child abuse also occurs in foster homes, residential institutions, juvenile detention facilities and schools.

*How do you think that some of the things we have discussed about child abuse and neglect relate to the delinquent behavior(s) that bring young offenders to correctional institutions?*

### **Suggested Responses**

They will have low self-esteem, they may have problems developing pro-social relationships.

*When we look at the long-term effects of physical and sexual abuse on adolescents it is apparent that a strong relationship exists between early trauma and abuse and subsequent delinquent behavior. As a result many incarcerated youthful offenders have histories of neglect and sexual and/or physical abuse.*

*Today's module discusses some of the behaviors that are often seen in youthful offenders, which are sometimes a result of their own victimization as children.*

### **Slides 3 - Performance Objectives:**

*By the end of this module, you will be able to:*

- *Describe the relationship between the abused/traumatized child and juvenile delinquency.*
- *Identify the behavioral and psychological effects of neglect, physical, emotional, or sexual abuse.*
- *Develop a plan to address treatment issues and respond to behaviors of abused youth.*

## **INSTRUCTIONAL INPUT**

### **Victims of Child Physical Abuse, Sexual Abuse, and Neglect**

#### **Slide 4 - Related Factors**

*Several factors are often emphasized as related to this increase in child abuse and neglect. The first is substance abuse. It is estimated that 40%*

*of confirmed cases of child abuse are related to substance abuse. It is also estimated that 11% of pregnant women are substance abusers, and that 300,000 infants are born each year to mothers who abuse crack cocaine.*

*The second is the increased economic stress upon families because many people are uncertain about their income even with both parents working.*

*Thirdly, the presence of high levels of violence in our society is also thought to contribute to child abuse.*

*Take a couple of minutes at your tables and discuss this question, "What other factors may contribute to the reported increase in child abuse?"*

#### **Possible Responses**

People are more aware of it now, it is not quite so hidden.

#### **Slide 5 - Research**

*A survey of youthful offenders certified as adults conducted in 2000 by the Texas Department of Criminal Justice indicated that 80 percent of female offenders admitted that they had been sexually abused.*

*60 percent of males and females admitted to being neglected (left alone for substantial periods of time). So, the most common form of maltreatment among both groups was lack of supervision.*

#### **Abuse and Delinquency – “The Relationship”**

*Dr. Cathy Widom's research, "The Cycle of Violence," finds that neglected and physically abused children tend to become violent juveniles and adults. Her research found that being abused or neglected as a child increases the likelihood of arrest as a juvenile by 53%, as an adult by 38%, and for violent crime by 38%.*

*Dr. Widom's research is the only longitudinal study that looks at the issues of physical and sexual abuse and neglect as they relate specifically to subsequent delinquent and criminal behavior. Part of a series of ongoing studies sponsored by the National Institute of Justice, National Institute of Alcohol Abuse and National Institute of Mental Health, this research is examining the lives of 1575 child victims of abuse identified through court cases (1967-1971). "By 1994, approximately half of the victims, the vast majority of whom were in their late 20's and early 30s, were arrested for some type of non-traffic offense. Eighteen percent have been arrested for a violent crime, an increase in 4% in the six years since*

*arrest records were first obtained. Rates of arrest were at least 25% higher among black victims."*

*During interviews, both male and female abuse and neglect victims reported having attempted suicide. Males seemed to be at an increased risk for anti-social personality disorder or psychopathy whereas females seem to be at an increased risk for alcoholism and prostitution.*

*The researchers are also studying the relationship between sexual abuse and race, specifically, the risk of arrest for blacks. Because differences in arrest rates between members of the sample and the control group began to emerge around the ages of 8 and 9, early identification of abused and neglected children and proper handling of them at an early age is strongly supported by this research.*

*Take a couple of minutes at your tables and discuss the following question, "What kinds of behavior do you think might indicate that a child or adolescent has been or is currently being sexually or physically abused?"*

**Trainer Note**

Responses will vary.

### **Behavioral and Psychological Effects of Abuse**

*It is very important to understand the basic signs and symptoms of physical and sexual abuse. I think you have hit on many of them. The following slide list the warning signs and observable symptoms. The information is provided as a guide to understand the psychological effects and problem behaviors associated with abuse and neglect. Take a minute to read the information.*

#### **Slide 6 - Behavioral Indicators of Sexual Abuse**

- *Extreme modesty/unwillingness to change clothes/expose body parts in presence of others.*
- *Extreme fear of being approached/touched or examined by others.*
- *Adolescent prostitution.*
- *Sexual behaviors, references or vocabulary that are atypical or unusual for the child's age.*
- *Withdrawn, or fantasy-filled behavior.*
- *Attempted suicide or talk of suicide.*
- *Extreme changes in school performance and behavior.*
- *Wary of physical contact with parents.*
- *Displays a lack of trust in adults.*
- *Exhibit extremes in behavior.*
- *Indiscriminate in her/his attachments.*

## **Slide 8 - Borderline Personality**

*Some of the symptoms common in abused children and adults resemble the condition known as borderline personality. Borderline patients (two-thirds of who are women) suffer from unstable moods and personal relationships that are constantly in crisis, partly because they tend to see others as either all good or all bad.*

*Individuals with borderline personality disorders are often:*

*Chronically bored  
Unable to tolerate solitude  
Self-destructively impulsive  
Subject to outbursts of rage  
Usually depressed  
Repeatedly make suicide threats and attempts*

*If you think a youthful offender is exhibiting some of these symptoms, what should you do?*

### **Possible Responses**

## **Slide 9 - Post-Traumatic Stress Disorder**

*How does one develop PTSD? What kinds of situations might cause this condition?*

### **Possible Responses**

*Any kind of traumatic, stressful experience.*

*Even relatively mild stress in people who have already been exposed to severe and chronic stress can cause PTSD.*

*Individuals with Post Traumatic Stress Disorder often experience:*

*Persistent depression  
Disconnection from others  
Preoccupation with revenge  
Withdrawal from social situations  
Sense of despair  
Helplessness  
Shame  
Guilt  
Explosive or inhibited anger (may alternate)*

## **Slide 10 - Affects of Post-Traumatic Stress Disorder**

*Modification of emotions*

*Perception of one's reality*

*View of self*

*Empathy with perpetrator*

*Social relationships*

*Moral and spiritual development*

*How might a youthful offender showing the signs of post-traumatic stress disorder react to incarceration?*

### **Possible Responses**

Low self-esteem, trouble relating appropriately to others.

### **Trainer note**

Show video clip from HBO video entitled "Broken Child." Start at the beginning and end when the word "Patricia" comes up on the screen (approximately 10 minutes).

### **Small Group Activity**

*In your small groups discuss and be prepared to report out on the following two questions.*

- *What types of treatment issues do you think the young man in the video will have?*
- *How will you provide them?*

### **Possible Responses**

Treatment issues include: Help them understand their behavior. Identify coping mechanisms and ways of reacting. Understand his/her victim's experiences and feelings. Figure out what triggers behavior. Build self-esteem. Assess needs at intake to focus on IQ and cognitive functioning. Needs medical screening to check out the blows to the head, assess education. Get him into substance abuse treatment. The treatment needs to be multi-disciplinary. Needs individual and group therapy.

The psychologist would not be able to do much for them. He would benefit more from Anger Management, Behavior Management etc.

Strategies for providing services: Use a team. Develop a transition plan. The ideal would be to have a team devoted specifically to young offender treatment needs.

### **Transition**

*We tend to see the young offender there in front of us, we don't consider their past.*

*Which of the behavior and psychological effects of being physically or sexually abused could create problems for an adolescent housed in an adult correctional facility?*

### **Possible Responses**

Responses will vary.

*How could the abused/victimized adolescent's behavior cause security, management and clinical problems in an adult institution?*

### **Possible Responses**

Responses will vary.

*How could our institution respond to these problems in security, management, and clinical area?*

### **Possible Responses**

Responses will vary.

### **Treatment Issues**

*Based on what you have learned are the most effective interventions in young offenders in general, how would you design a treatment or intervention based on the signs of PTSD?*

### **Possible Responses**

We know we need to target the highest risk population. We know that duration and intensity are important.

### **Transition**

*Much treatment focuses on the instruction of victims in the differences between pro-social and antisocial problem solving and coping skills. Improvement of abuse victim's feelings, attitudes, and behaviors are related to the following issues and are essential for successful treatment outcomes.*

## **Slide 11 - Treatment Issues**

*Key treatment issues are  
Addressing feelings of powerlessness  
Different from peers  
Feeling isolated and not part of society  
Fear of failure  
Fear of success  
Sexuality and intimacy difficulties  
Needing approval  
Aggression and lack of control  
Self destructiveness  
Blaming self  
Getting revenge  
Early identification of high risk situations  
Interacting with disbeliever's (family members, peers and others).*

*Based on the anticipated emotional and physical effects of physical and sexual abuse, what factors should you consider when trying to match service providers with youthful offenders who are also victims?*

### **Possible Responses**

Responsivity would be a big issue. Providers would need to be empathetic yet firm, non-judgmental, same sex, same ethnic background, have sound knowledge of human sexual development, experience working with victims.

### **Using Volunteers**

*Consider using volunteers to bolster your treatment. It won't be treatment per se but it can help with self esteem issues (role modeling, positive adult interaction) Volunteers can teach life skills, tutors, mentors. They can disrupt anti-social associations and model pro-social behaviors, which as we have learned, is key to reducing risk and addresses a strong criminogenic need area.*

*Of course volunteers need to be screened and trained. When screening and training volunteers it is important again to remember the principle of "responsivity." What kinds of things should you consider when trying to match volunteers to offenders?*

### **Possible responses**

You might want to match volunteers based on sex, ethnic background, etc.

## CLOSURE/EVALUATION

### Trainer Note

Have participants complete the action plan in their workbooks to sort out what they are doing in this area and what they need to be doing. This will help them meet the last performance objective for this module:

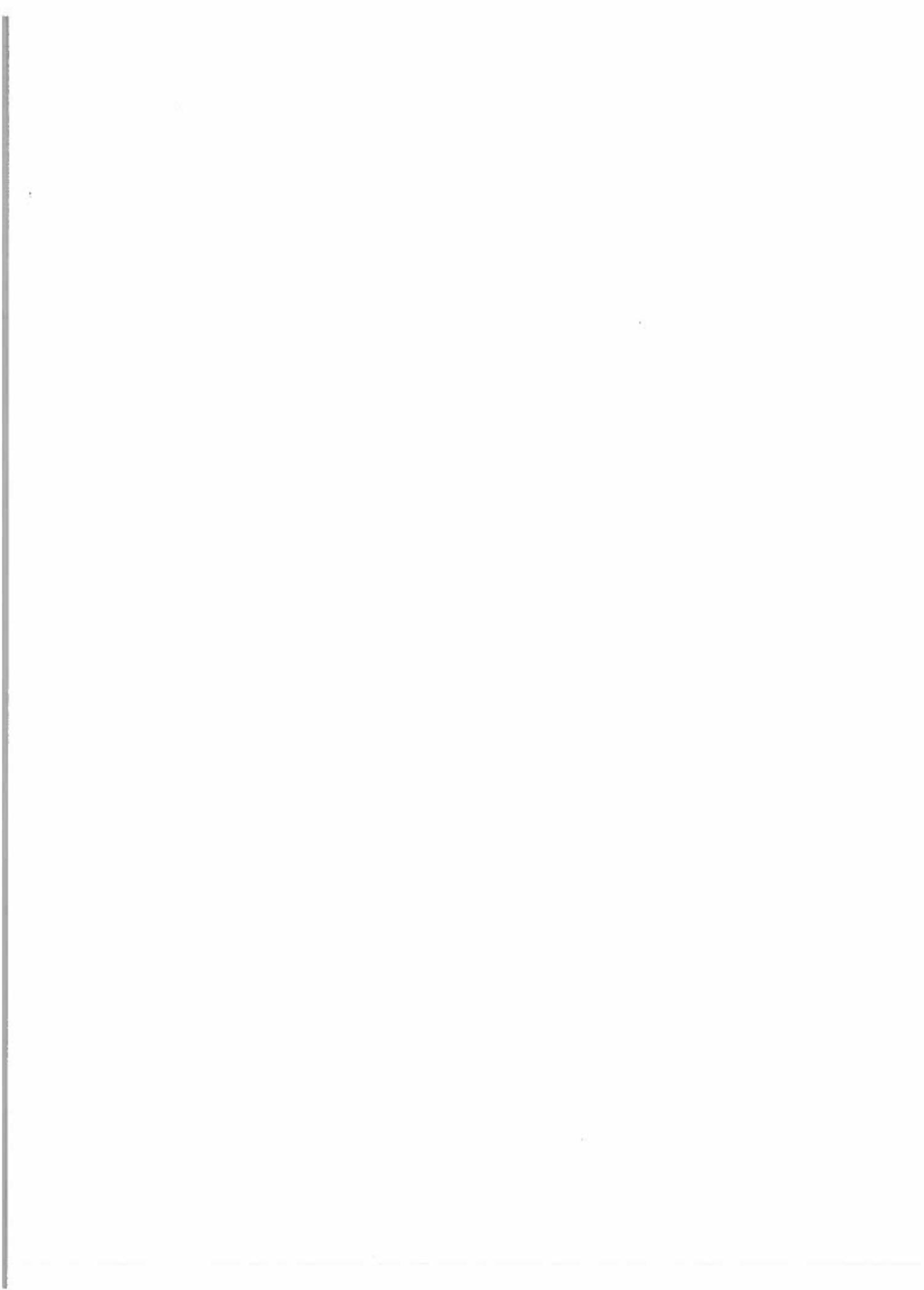
- Develop a plan to address treatment issues and respond to behaviors of abused youth.

#### Action Plan

- What evidence of this information have you seen in your facility or institution?
- Based on this information, what changes need to be made in your institution or facility?
- Who needs this information for these changes to take place?
- What additional resources does your institution or facility need in order to make these changes?
- What will be the advantage in doing so for the youthful offender? For the staff? For the community?
- What training needs to be offered to the staff in recognizing and dealing with the sexually/physically/emotionally abused youthful offender?
- What policies and procedures exist that addresses these needs?
- What role can you take in making the necessary changes?

Debrief by having the participants highlight some key points of their action plans.

*This block of training was designed to acquaint you with basic information on the effects of physical and sexual abuse and neglect on the developmental processes of the juvenile delinquent. We discussed how some of the psychological factors and behaviors associated with the abused/traumatized child might explain some of the behaviors of juveniles housed in an adult system.*



## **Sexual/Physical/Emotional Abuse**

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## **Victims of Child Abuse**

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- 50% increase in number of cases 1985 – 1993
- 3 million children reported abuse in 1993
- 2,000 die as a result of abuse each year
- 160,000 suffer severe or life threatening injury

2

## **Performance Objectives**

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- Describe relationship between abused youth and juvenile delinquency
- Identify the behavioral and psychological effects of neglect, physical, emotional, or sexual abuse
- Develop a plan to address treatment issues and respond to behaviors of abused youth

3

## **Related Factors**

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- Substance abuse
- Economic stress
- High level of societal violence

4

## Research

- 1993 Survey of Washington inmates
- Texas Youthful Offender Survey
- "The Cycle of Violence" by Dr. Cathy Widom
- Federally funded studies

## Behavioral Indicators

- Extreme modesty
- Fear of being approached, touched, or examined
- Withdrawn, or fantasy-filled behavior
- Adolescent prostitution
- Sexual behaviors atypical or unusual for age
- Attempted suicide or talk of suicide
- Extreme changes in behavior
- Hyper-sensitive and watchful of surroundings

6

## Psychological Effects

- Different definitions of abuse are used and may fail to distinguish level of impact
- Difficult to distinguish between effects of abuse and pre-existing conditions
- Abuse may be only one feature of a chaotic home

7

## Borderline Personality

- Chronically bored
- Unable to tolerate solitude
- Self-destructively impulsive
- Subject to outbursts of rage
- Usually depressed
- Repeatedly make suicide threats and attempts

8

## **Post-Traumatic Stress Disorder**

- Persistent depression
- Disconnection from others
- Preoccupation with revenge
- Withdrawal from social situations
- Sense of despair
- Helplessness, shame, guilt
- Explosive or inhibited anger (may alternate)

## **Post-Traumatic Stress Disorder**

### **Affects:**

- Ability to modify emotions
- Perception of reality
- View of self
- Empathy with perpetrator
- Social relationships
- Moral and spiritual development

## **Treatment Issues**

- Feeling isolated and not part of society
- Fear of failure or success
- Difficulties with sexuality and intimacy
- Need for approval
- Lack of control
- Self destructiveness
- Getting revenge
- Early identification with high risk situations



# **Performance Objectives**

## **PHYSICAL/ SEXUAL/EMOTIONAL ABUSE**

As a result of this module you will be able to:

- Describe the relationship between the abused/traumatized child and juvenile delinquency.
- Identify the behavioral and psychological effects of neglect, physical and sexual abuse.
- Develop a plan to address treatment issues and respond to behaviors of abused youth.

## Action Plan

- What evidence of this information have you seen in your facility or institution?

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- Based on this information, what changes need to be made in your institution or facility?

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- Who needs this information for these changes to take place?

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- What additional resources does your institution or facility need in order to make these changes?

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- What will be the advantage in doing so for the youthful offender? For the staff? For the community?

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- What training needs to be offered to the staff in recognizing and dealing with the sexually/physically/emotionally abused youthful offender?

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- What policies and procedures exist that addresses these needs?

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- What role can you take in making the necessary changes?

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**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** POLICY AND PROCEDURE DEVELOPMENT

**WRITTEN BY:** Bill Sturgeon 1996, revised 2002

**TIME FRAME:** 4 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Compare and contrast operational and legal definitions of policy and procedure.
- Identify current institutional/departmental policies that must be changed to address the unique circumstances that need to be considered when working with youthful offenders.
- The third objective will depend on your participants. If they are managers with responsibility for forming teams or are involved in institution policy and procedure development, then have them complete the activity to meet this objective.
- Design a time line and action plan for youthful offender policy development, approval, staff training and implementation for your institution.

AUDIENCE	EQUIPMENT/SUPPLIES NEEDED
Groups of 18 - 30 Correctional Professionals who work with young offenders	<ul style="list-style-type: none"><li>• In-focus machine, Computer</li><li>• Chart stands and pads, markers</li><li>• Participant workbook</li><li>• Diskette with slide show</li></ul>
<b>SPACE REQUIREMENTS</b> Classroom set-up in pods: 5 participants at each table	

**REFERENCES**

- Detention & Corrections CASELAW CATALOG, R.C. Miller & D.J. Miller
- Black's Law Dictionary, West Publishing
- Webster's Dictionary
- Guidelines for the Development of Policies & Procedures, American Correctional Association.

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

**Special Notes:** Prior to this session, the instructor should request several copies of the agency policy and procedure manual. It is important that the instructor stress that the policies and procedures surrounding the incarceration of youthful offenders be comprehensive and complete.

## **ANTICIPATORY SET**

*"There is no defense for violating your own policies and procedures."*

### **Slide 1 - Policy and Procedure Development**

*These were the words of a Federal Judge addressing a Department of Corrections involved in a court case.*

*As we enter this era of increased incarceration of youthful offenders in adult institutions, facilities will be required to review their policies and procedures to ensure that:*

- *Existing policies and procedures take into account the unique circumstances that need to be considered when working with youthful offenders.*
- *Current policies and procedures truly reflect the facilities operations.*

### **Slide 2 - Objectives**

*At the conclusion of this module, you will be able to:*

1. *Compare and contrast operational and legal definitions of policy and procedure.*
2. *Identify current institutional/departmental policies that must be changed to address the unique circumstances that need to be considered when working with youthful offenders.*
3. *Design a time line and action plan for youthful offender policy development, approval, staff training and implementation for your institution.*

## **INSTRUCTIONAL INPUT**

*Very often we use the terms policies and procedures routinely without a clear understanding of what they are and what they are supposed to do. I often refer to policies and procedures as the written instructions that guide the people on what is expected of them and how they should accomplish their tasks.*

### **Slide 3 - Policy and Procedure**

*With a youthful offender program, policies and procedures are very important because the staff will need them in the performance of their duties. Also, because*

*youthful offenders are new to the adult corrections world there will need to be new policies and procedures to:*

1. *describe their program*
2. *describe what they can and can not do (e.g. the use of tobacco products if they are under 18 years old).*

#### **Slide 4 - Policy and Procedure - Assessment**

*Experience and research has shown us that it is very important to take the time to assess an agency's current policies and procedures to ascertain what policies and procedures will need to be developed, revised or rewritten to address the unique circumstances you will face when housing and working with a youthful offender population.*

*Let's take a look at several definitions for these two words (policy and procedure), to clarify in our minds what these terms mean. In your workbook are definitions from several sources: Webster's, and Black's Law Dictionary as well as the American Correctional Association. Take a few minutes to read them.*

##### **Definitions for Policy and Procedure**

###### **Webster's Dictionary**

**Policy:** Prudent or wisdom in the management of affairs. Management or procedure based primarily on material interest.

A definite course or method of action selected from among alternatives and in light of given conditions to guide and determine present and future decisions. A high-level overall plan embracing the general goals and acceptable procedures especially of a governmental body.

**Procedure:** A particular way of accomplishing something or of acting. A step in a procedure. A series of steps followed in a regular and definite order. A traditional or established way of doing something. Protocol.

**Black's Law Dictionary, Fifth Edition**

**Policy:** The general principles by which a government is guided in its management of public affairs.....

**Procedure:** That which regulates the normal steps....

**American Correctional Association**

**Policy:** A relatively brief statement of a course of action or a principle that has been adopted and pursued by an agency; it guides and determines present and future decisions and actions of the agency.

**Procedure:** Describes the specific actions that must take place to ensure policy is fully implemented. It may outline the steps to be taken and the staff responsible.

*What are some similarities between the definitions?*

*How did they compare to what you had in mind for a definition?*

*Those are some definitions for policy and procedure. In a few minutes I am going to have you practice writing policy and procedure but first, let's talk about some guidelines or parameters for writing effective policy and procedure.*

*One key guideline is that all policy and procedure should consistently reinforce the Department's mission statement and goals. What are some other guidelines we need to keep in mind when writing policy and procedure?*

**Trainer Note**

Title a piece of chart paper "Guidelines." Conduct a round robin brainstorming session on this question (What are some other guidelines we need to keep in mind when writing policy and procedure?) List the Guidelines on chart paper.

**Possible responses:** Other possible guidelines include: legal, easy to read, developed by a small group that includes people who actually do the job being addressed in the policy, signed by the director, warden etc., proofread so that they don't contain spelling or grammatical errors.

*Let's practice writing policy and procedure.*

## **GUIDED PRACTICE**

*To practice writing policy and procedure think about what you have learned about the principles of risk, need, and responsivity. Now, using one of these principles, create a policy that would apply to an area such as visitation or sick call.*

*Let me give you an example to get you started. The responsivity principle is about delivering interventions in a style and mode that is consistent with the ability and learning style of the offender.*

*How might this principle be applied in your policies for visitation? Sick call?*

*Take about 30 minutes to work in your small groups to write policy and procedure. Chart the key points of your finished product.*

### **Trainer Note**

Debrief the guided practice by asking each group to share their policy. After all groups review their policy and procedure ask the following questions:

- What observations do you have about the final product of the various small groups?
- How did you use the guidelines we developed?
- What did you see from a new angle (about writing policy and procedure)?
- What do you need to do differently (once you return to your job)?

## **INSTRUCTIONAL INPUT**

### **Slide 5 - Developing and Maintaining Policy and Procedure**

*Functional policies and procedures give direction to staff, promote efficiency, and provide consistency to facility operations. Policies and procedures are often examined by inmates, the public, the courts, and the legislature to assess effective management. As a result, policies and procedures must be reviewed regularly to reflect changes in operations and changes in institutional responsibility. The demands and special needs of youthful offenders make it imperative that institutions re-assess policies and procedures to ensure that youthful offenders, staff and the institution itself are protected by a code of operations that account for their presence.*

*Policies and procedures are the framework by which we operate our facilities. As a rule, agencies dedicate a tremendous amount of effort and time initially in developing policies and procedures. Yet, it is the maintenance of policies and procedures that causes most agencies problems. As a result, actual practice does not always follow written policy.*

*Take about 15 minutes at your tables to discuss areas in which the current policies and procedures at your facility are not being followed as they are written and why.*

#### **Trainer Note**

Process the activity by having groups report out the “Why” (the reasons why policy is not followed as written versus the actual policy content).

*So are these reasons a defense for violating policy? Of course not, but every agency has places where policies and procedures are not followed. Now is the time to identify them and start to develop an “Action Plan” to address the situation.*

*As you have just discussed, keeping policies and procedures relevant and up-to-date is a constant struggle; however, the challenge of housing youthful offenders requires the development of a system to review policies and procedures and make necessary revisions to meet the challenges presented by this unique inmate population.*

#### **Slide 6 - Youthful Offender Policy and Procedure**

*The introduction of youthful offenders into a facility has proven to strain the existing policies and procedures because:*

1. *Current policies and procedures were most likely developed for an older, more mature inmate population that understands that there will be a consequence for violating them.*
2. *Since the numbers of youthful offenders incarcerated in adult institutions is significant it has resulted in a more visible public policy. Institutions can come under more scrutiny by the public, including youthful offender advocates. This results in more demands on staff for accountability and increased organizational integrity.*
3. *Certain legal requirements for specific programs and housing standards for youthful offenders will require institutions to change some of their operations.*

### **Trainer Note**

Have small groups (or you can hold a large group discussion) discuss the following questions:

- What are some current policies and procedures that are being strained or challenged by the presence of youthful offenders in your institution?
- How does this impact your day-to-day operations?

**Possible responses:** Areas will probably include policies and procedure concerning mail, classification, housing, dietary needs.

### **Systematic Approach**

#### **Slide 7 - Policy and Procedure Review Process**

*The review of current policies and procedures to determine if they account for the incarceration of youthful offenders needs to be systematic and thorough. Take a look in your workbook and read the page entitled, "Systematic Review." You may notice some of the suggestions mirror the guidelines we came up with earlier.*

## **Systematic Review**

A suggested method for review is:

### **I. Communication**

Institutional leadership should inform the entire staff about the plan to review the policies and procedures as they relate to youthful offenders. Because the introduction of youthful offenders impacts every area of the operations, input from all staff should be sought. One method that has been used is staff meetings that require representatives from all areas be present.

### **II. Review Team**

A review team of correctional personnel should be appointed which consists of representatives from security, program, medical, food service, maintenance, recreation, etc. Personnel from every level should be included. The team approach is best because it makes employees in every department and at every staff level in the facility aware of the need to address the youthful offender population.

### **III. Team Tasks**

The team, working under a chairperson or coordinator, is responsible for:

1. Identification of relevant topic areas and policies and procedures affecting youthful offenders.
2. Collection and analysis of available, relevant resource documents. Sources for data include: The National Institute of Corrections; Office of Juvenile Justice and Delinquency Prevention; Juvenile Justice system personnel in your state and other states; sample policies and procedures from other institutions and youthful offender programs. Also include your organization's data about youthful offenders ( incident reports, school registration and attendance, sick call rates, etc.)
3. Contacting and using consultants to provide:
  - Legal consultation regarding federal, state, and local laws on housing youthful offenders
  - Recommendations regarding programming requirements
  - Recommendations for staff training
4. Development and maintenance of a schedule to complete tasks (listing completion dates and who is responsible for the various tasks).
5. Development of draft policies and procedures.
6. Initiation of the policies and procedures approval process.

#### **IV. Team Recommendations**

As policies and procedures are reviewed and deficiencies found, specific recommendations should be made by the team to correct those deficiencies as soon as possible. If the deficiencies could be life threatening, then immediate action should be taken.

A suggested method for taking immediate steps could be to issue an Administrative Memorandum or an Interim Policy and Procedure. Regardless of what mechanism is used, the important thing is that immediate steps are taken to address the issue.

For example: The suicide policy the agency is currently using states that anyone coming into the facility between the ages of 17 and 28 years old be administered the suicide screening test. Some of your offenders will be younger than 17 years. Do they get tested? Would they receive the same test?

#### **Trainer Note**

After participants have read the material, ask the following questions:

- *What experience does your organization have with teams?*
- *With policy review committees?*
- *What are some obstacles you may encounter when using a team process?*
- *How can you overcome these obstacles?*

#### **GUIDED PRACTICE**

*I would like each small group to use the copy of the policy and procedure manual I am handing out to identify current policies and procedures that will have direct impact on the incarceration of offenders. Once you have identified those, write your recommendations for change on newsprint. Be prepared to share your findings with the large group.*

#### **Processing**

- *What did you discover?*

### **Activity for Managers (see note)**

#### **Trainer Note**

Conducting this activity will depend on your group of participants. If they are managers with responsibility for forming teams or are involved in institution policy and procedure development, etc., then have them complete this activity. If it is staff who will not have any input into team formation, then skip this activity and have them complete the "Action Plan."

*In your small groups, identify who will be the members of your policy and procedures review team. Then develop an Action Plan for:*

- *Reviewing all policies*
- *Establishing a time line for the completion of the review.*
- *Establishing a time frame for developing and amending policies and procedures.*

### **Activity for Line Staff**

#### **Action Planning**

*Take a few moments now to reflect on the questions in your workbook as we end this module.*

#### **Action Planning**

- What are some of the policies and procedures your institution must change to accommodate the presence of youthful offenders (refer back to earlier activity)?
- What steps will you take to begin these changes?

### **EVALUATION/CLOSURE**

*Reviewing policies and procedures is at best tedious. But as we have seen, it is necessary if we are going to effectively direct the operations of the facility and the youthful offender program.*

*The introduction of youthful offenders into a correctional environment that previously had held only adults will test every facet of a facility's operations-- everything from policies and procedures to operational systems. If we accept the principle that our policies and procedures guide the operations of the facility and that there is no defense for the violation of those policies and procedures, then we*

*need to take a long hard look at our current policies and procedures and make sure they account for every facet of the incarceration of youthful offenders.*

**Trainer Note**

To close the session, ask participants the questions listed below. As they answer questions, emphasize key points of module. Give every participant an opportunity to relate most important concept learned.

- *Who can give me at least one definition of policy and procedure?*
- *Why is the development of appropriate institutional policies and procedures important?*
- *What was the most important concept you learned in this module?*



## **Policy and Procedure Development**

- “There is no defense for violating your own policies and procedures.”



## **Policy and Procedures**

- “Written instructions that guide the people on what is expected of them and how they should accomplish their tasks.” Bill Sturgeon



## **Objectives**

- Compare and contrast operational and legal definitions of policy and procedure.
- Identify current institutional policies that must be changed to address the unique circumstance that need to be considered when working with youthful offenders.



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## **Policy and Procedure - Assessment**

- Determine what policies and procedures will need to be developed, revised or rewritten.



4

## **Developing and Maintaining Policy and Procedure**

- Are your policies and procedures followed as written?



5

## **Youthful Offender Policy and Procedure**

- Current policies and procedures most likely developed for mature population
- Increasing population equals increasing significance
- Unique legal requirements

6

## **Policy and Procedure Review Process**

- Systematic
- Thorough

7

## **Policy and Procedure Development**



8

# **Performance Objectives**

## **POLICY AND PROCEDURE**

As a result of this module you will be able to:

- Compare and contrast operational and legal definitions of policy and procedure.
- Identify current institutional policies that must be changed to address the unique circumstances that need to be considered when working with youthful offenders.

## **Definitions for Policy and Procedure**

### **Webster's Dictionary**

- Policy:** Prudent or wisdom in the management of affairs. Management or procedure based primarily on material interest.
- A definite course or method of action selected from among alternatives and in light of given conditions to guide and determine present and future decisions. A high-level overall plan embracing the general goals and acceptable procedures, especially of a governmental body.
- Procedure:** A particular way of accomplishing something or of acting. A step in a procedure. A series of steps followed in a regular and definite order. A traditional or established way of doing something. Protocol.

### **Black's Law Dictionary, Fifth Edition**

- Policy:** The general principles by which a government is guided in its management of public affairs.....
- Procedure:** That which regulates the normal steps....

### **American Correctional Association**

- Policy:** A relatively brief statement of a course of action or a principle that has been adopted and pursued by an agency; it guides and determines present and future decisions and actions of the agency.
- Procedure:** Describes the specific actions that must take place to ensure policy is fully implemented. It may outline the steps to be taken and the staff responsible.

# **Systematic Review**

A suggested method for review is:

## **I. Communication**

Institutional leadership should inform the entire staff about the plan to review the policies and procedures as they relate to youthful offenders. Because the introduction of youthful offenders impacts every area of the operations, input from all staff should be sought. One method that has been used is staff meetings that require representatives from all areas be present.

## **II. Review Team**

A review team of correctional personnel should be appointed which consists of representatives from security, program, medical, food service, maintenance, recreation, etc. Personnel from every level should be included. The team approach is best because it makes employees in every department and at every staff level in the facility aware of the need to address the youthful offender population.

## **III. Team Tasks**

The team, working under a chairperson or coordinator, is responsible for:

1. Identification of relevant topic areas and policies and procedures affecting youthful offenders.
2. Collection and analysis of available, relevant resource documents. Sources for data include: The National Institute of Corrections; Office of Juvenile Justice and Delinquency Prevention; Juvenile Justice system personnel in your state and other states; sample policies and procedures from other institutions and youthful offender programs. Also, include your organization's data about youthful offenders ( incident reports, school registration and attendance, sick call rates, etc.)
3. Contacting and using consultants to provide:
  - Legal consultation regarding federal, state, and local laws on housing youthful offenders.
  - Recommendations regarding programming requirements.
  - Recommendations for staff training.
4. Development and maintenance of a schedule to complete tasks (listing completion dates and who is responsible for the various tasks).
5. Development of draft policies and procedures.
6. Initiation of the policies and procedures approval process.

#### **IV. Team Recommendations**

As policies and procedures are reviewed and deficiencies found, specific recommendations should be made by the team to correct those deficiencies as soon as possible. If the deficiencies could be life threatening, then immediate action should be taken.

A suggested method for taking immediate steps could be to issue an Administrative Memorandum or an Interim Policy and Procedure. Regardless of what mechanism is used, the important thing is that immediate steps are taken to address the issue.

For example: The suicide policy the agency is currently using states that anyone coming into the facility between the ages of 17 and 28 years old, be administered the suicide screening test. Some of your offenders will be younger than 17 years. Do they get tested? Would they receive the same test?

## Action Planning

- What are some of the policies and procedures your institution must change to accommodate the presence of youthful offenders (refer back to earlier activity)?

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- What steps will you take to begin these changes?

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**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** PROGRAM ASSESSMENT

**WRITTEN BY:** Edward J. Latessa, Ph.D., 2001

**TIME FRAME:** 3 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Describe the benefits of program assessment and conduct an assessment of their own using the CPAI.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

- Fulton, B., D. Jones Hubbard, and E. J. Latessa, 2001. Making the Next Step: Using Evaluability Assessment to Improve Correctional Programming. *Prison Journal* 81(4).
- Latessa, E. J., A. Holsinger, 1998. The Importance of Evaluating Correctional Programs: Assessing Outcome and Quality. *Corrections Management Quarterly*, 2(4):22-29.

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **ANTICIPATORY SET**

### **Slide 1 - Program Assessment**

*One of the characteristics of effective programs is that they evaluate what they do. Evaluating what you do and the effects that result are important ingredients to any successful facility or program.*

*What are some obstacles that you might encounter when trying to evaluate a program?*

**Possible responses:** Lack of support, it isn't a popular program so even if it is effective it may not be funded.

### **Slide 2 - Obstacles**

*You are right on target!*

### **Trainer Note**

Quickly show this slide and highlight any the participants have not mentioned.

- The political nature of programs
- Lack of financial and organizational support for evaluation
- The condition, accuracy, and accessibility of data
- Measurement issues
- Staff resistance to evaluation

### **Slide 3 - Performance Objectives**

*Today, we are going to talk about how to overcome some of these obstacles. We will also cover some myths about evaluation, types of measures and also an instrument called the Correctional Program Assessment Inventory that can be used to evaluate programs. As you can see from the performance objective (describe the benefits of program assessment and conduct an assessment of their own using the CPAI), you will actually have an opportunity to practice using the CPAI.*

## **INSTRUCTIONAL INPUT**

### **Slide 4 - Overcoming Obstacles**

*Some of the ways to deal with these impediments include:*

- *View evaluation as a means to improve program performance and quality*

- *Build evaluation into the budget*
- *Involve staff in evaluation efforts*
- *Measure what is important in ways that are meaningful and useful*

### **Slide 5 - Myths**

*There are some myths about evaluation in corrections that should be dispelled:*

- *Some programs are not suitable for evaluation or are "beyond" evaluation*
- *Programs can be informally evaluated*
- *Evaluation is "either or" with regard to outcome results*
- *Correctional knowledge advances by major breakthroughs*

### **Slide 6 - Myths**

- *You cannot measure program quality*
- *Research costs too much*
- *There is a low payoff in research*

*All of these myths can be dispelled and refuted. Without evaluation and research we often continue to use techniques and interventions that don't work and waste tax dollars.*

### **Slide 7 - Performance Measures**

*Let us now look at developing performance measures.*

*Performance measures provide an on-going mechanism for assessing 1) what we do and for whom we do it, and 2) how well it was done.*

*There are two types of performance measures, 1) process (measures of staff and services), and 2) outcome (measures of results).*

### **Slide 8 - Process Measures**

*Process measures can include:*

- *Activities: number of youth assessed, offender attendance, number of positive urine samples, etc.*
- *Performance: average increase in reading level, percentage of case plans implemented, percentage of offenders rated as "very satisfactory" in job/school performance, etc.*

## **Slide 9 - Outcome Measures**

*Intermediate outcomes are those objectives that if completed successfully should lead to long-term goals. For example, if we reduce substance abuse we expect lower recidivism rates. If we engage youth in structured activities for at least 6 hours per day we expect less disciplinary reports.*

*Long term outcomes are those behaviors we should see after program completion, i.e. no criminal activity, successful employment, family unification, etc.*

### **Trainer Notes**

Have small groups (or large group) develop lists of both short term and long term objectives and some of the indicators they may use to measure attainment of the goals. You can put headings (i.e., short term, long term, indicators) on three pages of chart paper and have groups rotate around to list examples of what they use (or think they should be using).

## **Slide 10 - Recidivism in Perspective**

*While we are on the subject of recidivism it is important to put it in perspective. Recidivism is problematic for a number of reasons.*

- *Numerous definitions are applied*
- *The length of follow-up can be critical*
- *Recidivism rates are influenced by many internal and external factors*
- *Recidivism is often treated as a dichotomous variable: "all or nothing"*

*Despite these problems it is important to remember that we cannot ignore recidivism. It is the long-term outcome of virtually every correctional program in existence. So, the question remains: What are we doing with the offender that will likely lead to a reduction in recidivism rates? The answer comprises the intermediate objectives that are related to the long-term goal of reducing criminal behavior.*

## **Slide 11 - Quality Assurance**

*Quality assurance mechanisms help ensure that the program is being delivered as designed. There are a number of techniques that can be used to ensure quality:*

- *Case file audits*
- *Assessment and case plans audits*
- *Video taping groups*
- *Client satisfaction/exit interviews*

- Clinical supervision of staff
- Program audits by outside experts
- Problem oriented notes

## **Slide 12 - Assessing Pro-Social Behavior**

*Another element to quality assurance is assessing the progress of offenders in acquiring pro-social behavior. Techniques should be standardized and objective and can include:*

- *Assessing dynamic risk and need factors and reassessing periodically*
- *Developing treatment and case plans based on assessment information and then closely monitoring the attainment of goals*
- *Measuring behavioral indicators linked to recidivism and risk*
- *Pre/Post testing on attitudes, knowledge, and behavior*

## **Slide 13 - What to Measure**

*The question before us is: how do we know if the offender gained anything from our programs and services? Some examples that can be measured:*

- *Attitudes: improvement on standardized measures*
- *Substance abuse: drug tests, attitude change, days abstinence, etc.*
- *Education: improvement on standardized achievement test, grade promotion, etc.*
- *Employment: days employed, earning, savings, etc.*
- *Parenting: pre/post measures of knowledge and attitudes, family contacts, etc.*
- *Mental health: day hospitalized (pre/post treatment)*

### **Trainer Notes**

Post each of the following questions on a different chart and have the groups move to that chart and discuss the question for 2 or 3 minutes then rotate as a group to the next chart.

What experiences have you had with program evaluation?

What factors are necessary to have effective programs?

When evaluating a program what key areas would you examine?

What are the benefits of conducting program evaluation?

What are some obstacles to effective program evaluation?

*You have mentioned a number of key points regarding your experiences with program evaluation, attitudes regarding it, key areas to examine and some of the benefits and obstacles. In today's session you will have an opportunity to explore some of the "ins and outs" of program evaluation as well as actually practice conducting an evaluation using a proven evaluation tool.*

#### **Slide 14 - Evaluability Assessment**

*Is your program ready to be evaluated? This important question is often overlooked in planning for an evaluation. Conducting an assessment of your program prior to a formal evaluation can help you determine if you are in fact doing the types of activities that are likely to lead to meeting long-term goals. This is called an evaluability assessment.*

#### **Slide 15 - Outcome vs. Assessment**

*You mentioned that things like staff, evaluation, good assessment of offenders, and resources are important to have a successful program. The question is how do we know if these components are contributing to or detracting from the success of a program?*

*First, we need to differentiate between two terms: *Outcome* and *assessment*. *Outcome* is focusing on effects of intervention; *assessment* is measuring the "quality" of the intervention. The two processes are intertwined. We do need to determine the effects of the intervention but we also need to answer the question, "How good is it?" If a program is not working, is it because the concept of the program is poor or is it because the quality of services is poor? Or, is it because both factors are contributing to the situation?*

*I am going to discuss the (CPAI), a tool designed to assess programs based on empirical criteria. This tool is different than a process evaluation or audit that simply measures if you are doing what you say you are. You may be doing what you say you are but the practice may not be effective. For example, yesterday we talked about several programs that have proven as not effective with offenders. So, even if the program is being conducted as planned, if it is not reducing the risk that the offender will re-offend, why keep doing it?*

## **Slide 16 - The Correctional Program Assessment Inventory**

*The Correctional Program Assessment Inventory was developed by Paul Gendreau and Don Andrews, and is one tool that is used to measure program integrity. The instrument is based on the research that we have already reviewed, plus experiential information. The CPAI is used to assess a correctional program like you would an offender. It is used in a number of ways, but the most important application is to improve program effectiveness. It is based on an ideal type; that is, there is no perfect correctional program.*

## **Slide 17 - CPAI Assessment Areas**

*It assesses six areas:*

- *Program Implementation and Leadership*
- *Client Assessment*
- *Program Characteristics*
- *Staff Characteristics*
- *Evaluation*
- *Organizational Issues*

## **Slide 18 - Program Implementation and Leadership**

*The first area is designed to look at the design and implementation of the program, and the leadership being provided at the program level. The focus of leadership is on the person responsible for the day-to-day operation of the program. How involved is that person? What are his or her qualifications?*

## **Slide 19 - Offender Assessment**

*The second area centers on the selection of offenders for the program and the manner in which the offenders are assessed.*

## **Slide 20 - Program Characteristics**

*The third area concerns the programs ability to target criminogenic behaviors, the types of treatments and how they are applied, and the aftercare aspect of the program.*

## **Slide 21 - Staff Characteristics**

*The fourth section looks at staff; their selection, training, qualifications, and supervision.*

### **Slide 22 - Evaluation**

*The fifth area covers evaluation and considers two aspects: how quality assurance is done, and how the program evaluates its effectiveness.*

### **Slide 23 - Organizational Issues**

*The sixth and last area looks at some organizational issues and program stability.*

### **Slide 24 - 27 - CPAI - Juvenile Study**

*We can now look at the results from one study conducted by Latessa that examined the relationship between program integrity and outcome. This study examined nine juvenile offender programs in Ohio. Each was funded by the State, and was designed to provide 6 months of treatment to adjudicated felons. Some were in rural areas, other urban. All differences between the youth were statistically controlled.*

*Each of the nine facilities was assessed using the CPAI. Slide 24 shows that two of the programs scored "unsatisfactory"; North Central, which is a 20-bed program in a rural area, and Camp Ralston, which was the Cleveland boot camp. Two of the programs were "very satisfactory". Butler Juvenile Rehabilitation Center, which is in an urban area, and Hocking, which is in a rural area. All 1600 youth served by these nine facilities since 1992 were included in the study. A number of outcome measures were examined. Slide 25 shows the relationship between CPAI score and adjudication on a new felony offense. Slide 26 shows CPAI score and whether or not the new offense was violent or sexual in nature. Finally, slide 27 shows the relationship between CPAI score and placement in a secure facility. In each case we see a strong relationship between how the program scores on program integrity, and outcome.*

### **GUIDED PRACTICE**

*You now have some information about the CPAI and the six areas it examines.*

*Using this information, you will now have an opportunity to practice using the CPAI. Using the Self-Assessment Checklist, think of a program in your organization. Take about 30 minutes now to walk through each component of the CPAI answering as many of the questions about the program as you can.*

## **Trainer Notes**

Debrief the Guided Practice by asking the following questions:

- What did you discover?
- Now that you have completed the CPAI Checklist, what areas will you target first?
- What are some obstacles you anticipate?
- How will you overcome those obstacles?

*Although this checklist is not designed to replace a CPAI assessment, it will give you some insight into the criteria used to assess a correctional program's integrity. This is also an example of an evaluability assessment. Programs that do not score well on the CPAI are probably not ready to have a full-blown evaluation conducted.*

## **Slide 28 - Working with an Evaluator**

*Often it is necessary to seek assistance in evaluating your program. Here are some tips to keep in mind when selecting or working with an evaluator.*

*First, avoid one-shot evaluations if possible. Evaluation should be considered an on-going activity and a means to improve your program. One-time evaluations may be useful in the short term, but unless data is gathered and analyzed routinely the value is diminished.*

*Second, the sooner an evaluator is involved the better. Don't wait until the program has already started. Evaluators can help identify data elements, comparison groups, selection criteria, intermediate objectives, and other important factors that can help make your program more successful.*

*Third, be clear about your objectives. What are you trying to accomplish, and what do you want your evaluation to focus on?*

*If credibility is an issue you might want to consider an outside evaluator rather than an in-house person. This may help you sell the results, particularly to a funding source.*

*Appoint someone in the facility to serve as the liaison with the evaluator. This person can assist in cutting through the red tape and other obstacles that might impede the evaluation efforts.*

## CLOSURE AND EVALUATION

### Trainer Note

To wrap up this segment, have participants take out a sheet of paper and fold it to form four squares. Have them copy and answer the following four questions which you have posted on a chart page:

- My feelings about this topic are .....
- The most important thing I have learned so far is .....
- One thing I plan to do with the information is .....
- A question, idea, or comment I still have is .....

Have them tape the paper on the door on their way out for break, lunch, or at the end of the day. This will provide you with some feedback on how the training is going, where they may need more information, clarification, etc. Adjust your presentation, or the seminar, if needed, based on the feedback.

## **Program Assessment**



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## **Obstacles**

- The political nature of programs
- Lack of financial and organizational support for evaluation
- The condition, accuracy, and accessibility of data.
- Measurement issues
- Staff resistance to evaluation



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## **Program Assessment**

### **Objective**

- You will be able to describe the benefits of program assessment and conduct an assessment of your own using the CPAI.



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## **Overcoming Obstacles**

- View evaluation as a means to improve program performance and quality
- Build evaluation into the budget
- Involve staff in evaluation efforts
- Measure what is important in ways that are meaningful and useful

Anderson & Burns (1994)

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## **Myths**

- Some programs not suitable for evaluation or "beyond" evaluation
- Programs can be informally evaluated
- Evaluation is "either, or" with regard to outcome results
- Correctional knowledge advances by major breakthroughs

## **Myths**

- You cannot measure program quality
- Research costs too much
- There is a low payoff in research

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## **Performance Measures**

Provide an on-going mechanism for assessing:

- What we do and for whom we do it
- How well it was done

## **Process Measures**

Measures of staff and services

- Activities: # of youth assessed, offender attendance, # of positive urine samples, etc.
- Performance: average increase in reading level, % of case plans implemented, % of offenders rated as "very satisfactory" in job/school performance, etc.

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## Outcome Measures

### Measures of results

- Intermediate outcomes -objectives that if completed successfully should lead to long-term goals
- Long term outcomes - behaviors we should see after program completion

## Recidivism in Perspective

- *The long-term outcome of virtually every correctional program in existence.*
- Numerous definitions are applied
- The length of follow-up can be critical
- Rates influenced by many internal/external factors
- Often treated as a dichotomous variable: "all or nothing"

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## Quality Assurance

*Techniques that can be used to ensure quality:*

- Case file audits
- Assessment and case plans audits
- Video taping groups
- Client satisfaction/exit interviews
- Clinical supervision of staff
- Program audits by outside experts
- Problem oriented notes

## Assessing Pro-Social Behavior

*Techniques should be standardized and objective*

- Assessing dynamic risk and need factors, reassessing periodically
- Developing treatment and case plans based on assessment information, closely monitor attainment of goals
- Measuring behavioral indicators linked to recidivism and risk
- Pre/Post testing on attitudes, knowledge, behavior

11

12

## What to Measure

- Attitudes
- Substance abuse
- Education
- Employment
- Parenting
- Mental health



13

## Evaluability Assessment

- Conducting an assessment of your program prior to a formal evaluation can help you determine if you are doing the types of activities that are likely to lead to meeting long-term goals



14

## Outcome vs. Assessment

- **Outcome Studies**  
Focus on effects of intervention ..... usually some form of recidivism.
- **Assessment**  
Measures the quality of the intervention.

*The two are not necessarily mutually exclusive!*

## Correctional Program Assessment Inventory

Tool for assessing programs based on empirical criteria.

- Developed by Gendreau & Andrews
- Designed to assess a program as you would an offender
- Can be used to:
  - Evaluate
  - Improve
  - Fund
  - Design

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### **Correctional Program Assessment Inventory**

The CPAI examines six areas .....

1. Program implementation and leadership
2. Client assessment
3. Program characteristics
4. Staff characteristics
5. Evaluation
6. Organizational issues



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### **Qualified Leadership**

Effective programs have leadership that have.....

- At least 3 years experience working with offenders
- Training in a helping profession
- Direct involvement in program design
- Direct involvement in hiring, training, supervising staff
- Provide some direct service delivery to offenders



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### **Offender Assessment**

Effective programs assess offenders .....

- Program receives appropriate offenders
- Offenders are assessed on risk, need, & responsivity factors
- Assessment process is objective/standardized
- Levels of risk, need, responsivity determined by assessment process
- Instruments normed & validated on local population

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### **Program Characteristics**

Effective programs use treatment models that have demonstrated effectiveness with offenders.

- Social learning
- Cognitive behavioral
- Radical behavior
- Family based therapies
- Targeting of specific criminogenic needs



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### Staff Characteristics

Effective programs have qualified staff.

- Educated and experienced
- Remain with the program
- Hired on personal qualities
- Have input into program
- Are well trained
- Are well supervised and regularly evaluated



### Evaluation

Effective programs evaluate what they do.

- Use quality assurance processes
- Assess progress of offenders in meeting target behaviors
- Track offender recidivism
- Have an evaluator working with the program



21

22

### Organizational Issues

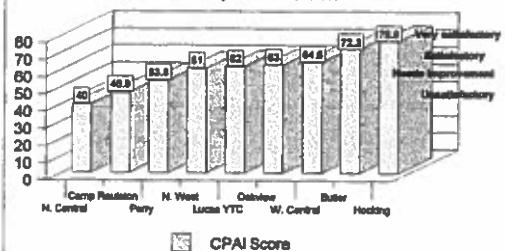
Effective programs have sufficient resources and support.

- Stable program
- Stable funding
- Stable community support



### CPAI Scores

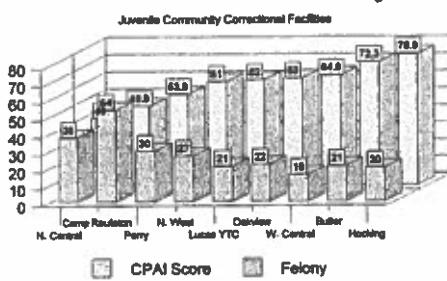
Juvenile Community Correctional Facilities



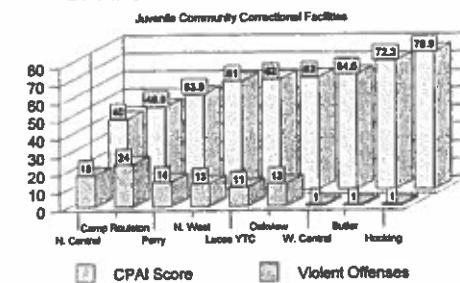
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### CPAI Scores & Felony



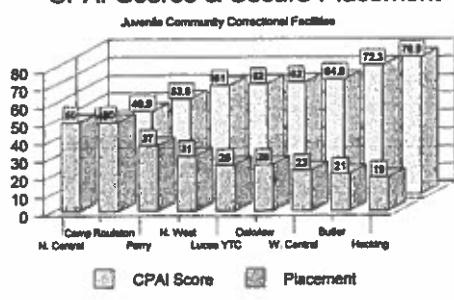
### CPAI Scores & Violent Offenses



25

26

### CPAI Scores & Secure Placement



### Working With An Evaluator

- Avoid one shot evaluations
- Involve evaluator as soon as possible
- Be clear about objective
- Consider using an "outside" evaluator



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1

# **Performance Objectives**

## **PROGRAM ASSESSMENT**

As a result of this module you will be able to:

- Describe the benefits of program assessment and conduct an assessment of your own using the CPAI.

# CPAI Self-Assessment Checklist

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*This checklist is not designed to replace a CPAI assessment, but rather to serve as a rough estimate of where a program stands with regard to CPAI standards.*

Name of Program: \_\_\_\_\_

Location of Program: \_\_\_\_\_

Date: \_\_\_\_\_ Name of Reviewer: \_\_\_\_\_ Type of Program: \_\_\_ Adult \_\_\_ Juvenile

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## PROGRAM IMPLEMENTATION

- The current program director refers to the person responsible for the treatment/service delivery.
- Was the current program director involved in designing the program or current interventions?
- Does the program director have at least a baccalaureate degree in a helping profession?
- Does the program director have at least three years experience working with offenders?
- Is the program director directly involved in hiring staff?
- Is the program director directly involved in training staff?
- Is the program director directly involved in supervising staff?
- Is the program director directly involved in providing some direct services to offenders?
- Were the treatment/criminological literature used in designing the current program?
- Were the interventions/program piloted for at least one month prior to full implementation?
- Does a documented need for the program exist?
- Are the values and goals of the program consistent with the values in the community at-large?
- Are the values and goals of the program consistent with values in the criminal justice community?
- Is the program perceived as cost effective by staff and administration?

- Is program funding adequate to sustain the program as designed?

#### **CLASSIFICATION AND ASSESSMENT**

- Are the vast majority of referrals appropriate for the program?
- Are there legal/clinical/community criteria for the exclusion of certain types of offenders from the program?
- Is there a reasonable survey of risk factors at intake?
- Does the program use a standardized and objective risk assessment instrument?
- Is there a reasonable survey of need factors at intake?
- Does the program use a standardized and objective need assessment instrument?
- Is there a reasonable survey of responsivity factors?
- Does the program use standardized and objective responsivity assessment instruments?
- Does the risk instrument provide a summary score and distinguish levels?
- Does the need instrument provide a summary score and distinguish levels?
- Do the responsivity instruments provide summary scores?
- Has the risk/need instrument(s) been validated within the last five years on a local population?

#### **PROGRAM CHARACTERISTICS**

- Are at least 80 percent of the program's services and interventions designed to target criminogenic needs and behaviors?
- Does the program utilize an effective treatment model (i.e. cognitive behavioral)?
- Does the program last between 3 and 12 months in duration (not including aftercare)?
- Are the whereabouts and associates of the offenders monitored closely or, if in an institution, are the offenders in treatment kept separate from the general population?
- Does the program have detailed treatment manuals?
- Do offenders spend between 40-70% of their time in structured activities?

- Does the intensity of treatment vary by the risk of offender (if risk is not determined by an objective instrument do not check)?
- Does the duration of treatment vary by the risk of offender (if risk is not determined by an objective instrument do not check)?
- Does the program use responsivity factors to match offenders and programs (if responsivity factors are not assessed do not check)?
- Does the program assign staff to treatment/groups based on skills/interests?
- Does the program use responsivity factors to match offenders and staff (if responsivity factors are not assessed do not check)?
- Do the offenders have input in the structure of the program?
- Has the program developed appropriate rewards?
- Do rewards outnumber punishers in their application by at least 4 to 1 ?
- Does the program utilize a theory of punishment?
- Does the program utilize appropriate punishers?
- Are punishers administered in the following manner: escape impossible, applied immediately, maximum intensity, after each occurrence, punishers vary, pro-social alternative taught after punisher administered?
- Are staff trained to look for negative responses to punishers?
- Does the program have completion criteria based on offender progress in meeting target behaviors?
- Does the program systematically train offenders to monitor and anticipate problem behaviors?
- Does the program systematically train offenders to plan and rehearse alternatives to problem behaviors?
- Does the program have offenders practice alternatives to problem behaviors in increasingly difficult situations?
- Does the program routinely refer clients to other services and agencies that help address their needs?
- Does the program train family members to assist offenders when they are released from the program?

- Are offenders able to return to the program for "booster" sessions?
- Is aftercare provided?

## STAFF CHARACTERISTICS

- Do a minimum of 75% of the staff possess at least a baccalaureate degree, and 10% possess a graduate degree?
- Do 75 % of the staff have their degree in a helping profession?
- Does at least 75 % of the staff have at least two years experience working with offenders?
- Are staff selected on personal qualities (e.g. empathy, flexibility, firmness, life experiences)?
- Have 50 % or more of the staff remained on the job for at least two years?
- Are staff regularly assessed and evaluated on their service delivery skills?
- Do the program staff receive regular clinical supervision?
- Do the program staff receive 3-6 months of training on the program's interventions?
- Do the program staff regularly participate in on-going training and workshops?
- Are program staff able to modify the program structure?
- Does the program staff support the goals and objectives of the program?

## EVALUATION

- Are quality assurance mechanisms in place to monitor service delivery by the program?
- Are quality assurance mechanisms in place to monitor service delivery by outside providers?
- Are offenders surveyed as to their satisfaction with the services that are being provided?
- Is offender progress measured with periodic, objective and standardized assessments on target behaviors?
- Is offender recidivism tracked at least 6 months after leaving the program?

- Have there been any formal outcome evaluations conducted on the program that include a comparison group?
- Have the results from the evaluation been written into a report or article?
- Have the results from the evaluation been published in a referred journal?

#### **OTHER**

- Are the client records complete and kept in a confidential file?
- Does the program have ethical guidelines for staff.
- Have there been any changes in the program over the past two years that have jeopardized the program?
- Have there been any changes in program funding over the past two years that have jeopardized the program?
- Have there been any changes in community support over the past two years that have jeopardized the program?
- Is there an advisory board in place to oversee and advise the program?

#### **NEXT STEPS**

- Now that you have completed the CPAI Checklist, what areas will you target first?
- What are some obstacles you anticipate?
- How will you overcome those obstacles?

**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** RECREATION

**WRITTEN BY:** Bill Sturgeon, 2001

**TIME FRAME:** 2 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Explain the importance of daily “structured recreation” in a youthful offender program.
- Incorporate recreational activities into their programs daily schedule.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, “youthful” has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## ANTICIPATORY SET

### Slide 1 - Recreation

*Believe it or not, recreation is a crucial element of a youthful offender program. Recreation and leisure are not commonly viewed as something having social value. But leisure misused can lead to many societal problems. Leisure well-used can enhance our lives, prevent antisocial behavior and promote pro-social thinking and behaviors.*

*Because of its potential as a change agent, recreation should be an integral part of any program designed for youthful offenders. Like so many other things, recreation for youthful offenders is much different from recreation for adult offenders. In the adult world the inmates basically plan and conduct their own recreational activities. Youthful offenders, however, require a well thought out and comprehensive recreational program.*

*I would like you to think about when you were a teenager and the recreational activities you used to like to do.*

#### Trainer Note

Solicit responses from participants and write responses on chart paper.

#### Possible responses

Sports, listening to music, going to dances, reading, dating, hanging out, cruising, movies, clubs, etc.

*Now of the activities you have identified, what ones will youthful offenders be able to participate in while they are in prison?*

#### Trainer Note

Highlight the activities the participants identify. Examples are things like: sports, reading, listening to music, video games, etc.

*Given what you have learned so far about the social/family environment of the typical youthful offender, which of these do you think most youthful offenders have actually participated in?*

#### Possible responses

Probably not many. They are impulsive and don't like rules.

*In fact, the families of offenders have been observed to behave differently than those of others. It seems that their families rarely engage in constructive forms of recreation. Instead of hobbies or active participation in athletics, the principal form*

*of leisure is usually passive, such as watching television or sleeping more than eight hours a day. Some authorities have attributed subsequent criminal behavior to faulty patterns of leisure behaviors developed in early years. According to Kraus and Bates (1975):*

*".....it is within leisure and as a form of pathological play, that many adult criminals-to-be begin their career, carrying on illegal gambling, becoming involved in vice and drug addictions, or engaging in theft or vandalism for sheer excitement."*

*So we have identified some activities youthful offenders can participate in while they are in prison but can also see that there will be challenges in getting them to participate because they have little experience in doing so.*

*In this module we will explore how to overcome these obstacles and develop a constructive recreation plan that complements the efforts of other institutional programs in the effort to promote pro-social thinking and behaviors. Our specific objectives for today are listed on this slide.*

### **Slide 2 - Performance Objectives**

*At the end of this block of instruction the participants will be able to:*

- *Explain the importance of daily "structured recreation" in a youthful offender program.*
- *Incorporate recreational activities into their programs daily schedule*

### **INSTRUCTIONAL INPUT**

#### **Slide 3 - Purpose of Recreation**

*Correctional recreation has two purposes:*

- *Relieve daily tensions created by incarceration: It gives the offenders an opportunity to "burn off" energy and permits the offenders to get a break from "prison life".*
- *Develop leisure skills that personally benefit the offender (by teaching pro-social skills) that will eventually carry over into the community (because it will reduce the likelihood that the offender will engage in criminal behavior).*

## **Slide 4 - Program Requirements**

*As mentioned previously, recreation in a youthful offender program is different than in a normal adult prison. In a youthful offender program, recreation programs must be systematically planned and must meet legal requirements, recreational standards, institution policy and procedures as well as accepted practices. Today you will apply these principles as you design a year-round correctional recreation program for youthful offenders.*

## **Slide 5 - Specific Characteristics**

*Here are some of the specific characteristics that a youthful offender recreational program should have:*

- *Each session must be well thought out and structured to provide opportunities to practice pro-social skills.*
- *Lesson structure can be "hard" or "soft". Hard structure being where the offender is told what the activity is and that they will be required to participate. Soft structure can be where the offender can choose between several less team oriented activities. Examples of soft activities are: video games, board games, etc. (This would come later on in the program.)*

## **Slide 6 - Staff.**

*The recreational staff should be responsible for planning and conducting the activities. The security staff must be responsible for providing security. Unlike some adult recreational activities where the recreational staff also provides the security or visa-versa, in a youthful offender program both disciplines have their own individual roles to play.*

*Recreational staff must develop recreational activities assuming that the offenders don't know and/or understand the rules of the game. One example is a story about a coach who told a group of youthful offenders to pick teams for a baseball game. The next thing the coach knew there was a fight. It seems that the youthful offenders didn't know how many people there were on a baseball team. They had always played by "street" rules.*

## **Slide 7 - Stated Purpose**

*Each day's recreational activity must have a stated purpose. (It is okay to have down days – where the purpose might be to just talk.) Recreation helps the offenders release pent-up energy in a productive manner. Large muscle activities are a must for youthful offenders. It permits them to release some of the energy that they*

*accumulate. The down days can be used to teach the youthful offenders how to relax.*

### **Slide 8 - Learning Through Recreation**

*In addition to having stated purpose the recreational activities should be designed to teach the offenders a variety of different things. They can be taught the rules of the activity (game). Remember we mentioned that research and experience has demonstrated that many of these offenders do not know the official rules of many games. They also teach sportsmanship, competitiveness, organization, anger management, and many other aspects of pro-social thinking.*

*To make sure that all of the offenders have the opportunity to learn from the recreation, activities should be organized to ensure that every offender gets an opportunity to participate. It is the responsibility of the person conducting the activity to ensure that every offender gets involved with the activity.*

### **Slide 9 - Scheduling**

*Scheduling of recreational activities can be difficult if the recreational areas are shared with the adult population. Again, remembering that the youthful offender program is just another program being conducted within the confines of a prison, compromise may be necessary. Youthful offenders do not have to have all of their recreation activity all at once. If necessary, your program can spread its recreational periods throughout the day.*

## **GUIDED PRACTICE**

### **Trainer Note**

Have the participants work in their small groups and design a recreational schedule for a 30 day period. The following page in their work book describes the parameters for the activity. Give the groups 30 minutes to complete assignment, 10 minutes to present their product and 5 minutes to answer questions about their product.

#### **Recreation Schedule**

Design a recreational schedule for a 30 day period. Include the following components:

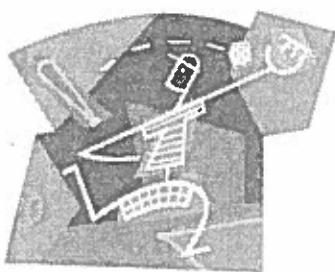
- Type of activity
- Learning points and how they relate to changing criminal thinking
- Number of staff needed for each recreational period
- Duration of each recreational period
- Where the activity will take place (indoor/outdoor)

## **CLOSURE AND EVALUATION**

*Recreation is a fundamental element of a youthful offender program. To take it for granted is a serious mistake. Recreation can be used to teach life skills, teamwork and to release energy, etc.*

*It is important to remember that, at least initially, all recreational activities are structured and well staffed. As the offenders progress through the youthful offender program and begin to develop pro-social behavior the structure can be relaxed to a point.*

## Recreation



## Objectives

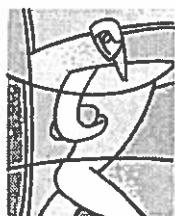
- Explain the importance of daily "structured recreation" in a youthful offender program.
- Incorporate recreational activities into your programs daily schedule.



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## Purpose of Recreation

- Relieve daily tensions created by incarceration
- Develop leisure skills that personally benefit the offender and the community



3

## Program Requirements

- Systematically planned
- Must meet legal requirements
- Recreational standards
- Institution policy and procedures
- Accepted practices



4

## **Specific Characteristics**

- Structured
- Have a stated purpose
- Provide a learning opportunity
- Allow for all to participate



5

## **Staff**

- Recreational staff responsible for planning and conducting the activities.
- Security staff responsible for providing security.



6

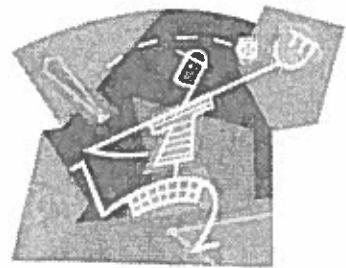
## **Scheduling**

- Can be challenging to coordinate
- Compromise may be necessary
- Can spread recreational periods throughout the day



7

## **Recreation**



8

# **Performance Objectives**

## **RECREATION**

As a result of this module you will be able to:

- Explain the importance of daily “structured recreation” in a youthful offender program.
- Incorporate recreational activities into your programs daily schedule.

## **Recreation Schedule**

Design a recreational schedule for a 30 day period. Include the following components:

- Type of activity
- Learning points and how they relate to changing criminal thinking
- Number of staff needed for each recreational period
- Duration of each recreational period
- Where the activity will take place (indoor/outdoor)

**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** SECURITY AND SCHEDULING

**WRITTEN BY:** Bill Sturgeon, 2001

**TIME FRAME:** 4 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Coordinate a daily operation schedule within the context of the overall security operations.
- Complete a checklist to assess the current gaps in their facility's security envelopes.
- Develop a staffing plan for their facility.
- Develop a plan for implementing Security Envelopes.

**AUDIENCE**

Groups of 18 - 30 Correctional Professionals who work with young offenders

**EQUIPMENT/SUPPLIES NEEDED**

- In-focus machine, Computer
- Chart stands and pads, markers
- Participant workbook
- Diskette with slide show

**SPACE REQUIREMENTS**

Classroom set-up in pods: 5 participants at each table

**REFERENCES**

- No Time To Play and Recess is Over, William Sturgeon
- Prison Security Manual NIC 1994, William Sturgeon

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **Slide 1 ~ Security and Scheduling**

### **ANTICIPATORY SET**

*Developing a security plan for a youthful offender program requires us to think through the security requirements for every facet of the program. Over the past years we have learned a great deal about the security management of youthful offenders in adult facilities.*

*One of the most important things that we have learned is that youthful offenders can be managed, refuting common beliefs of the mid-1990's that youthful offenders could not be managed other than by locking them down 23 hours per day.*

*We have learned that there are key differences that set this population apart from the older inmates. For example the youthful offenders:*

- *Tend to be more impulsive and reactionary. They are less skilled at considering the consequences of their thinking.*
- *Tend to be more disrespectful to other inmates and staff.*
- *They are still maturing; cognitively, socially, emotionally and physically.*

*Security in any institution is, without question, demanding but these added factors make it even more so in a youthful offender program. Security is truly everyone's responsibility, which is a shift from the traditional way of thinking (that correctional officers maintain treatment and program staff administer programs.) The involvement of clerical, program, food service, and maintenance personnel in planning and maintaining the security within a facility is essential.*

*"Well developed programs and an involved programs staff equals good security."*  
*(Bill Sturgeon)*

#### **Trainer Note**

Here is a real life example written by Bill Sturgeon to support the above statement. You should develop your own personal example.

*"There was a youthful offender program that was averaging 8 serious incidents per day. The security staff was worn-out from all the incidents and they were willing to try anything. A new group of counselors was selected to work with the youthful offender program. These counselors developed very good programs and became very involved with the offenders. They spent time in the living areas, recreation areas and in the dining room. After a short period of time (about 30 days) the serious incidents dropped to one per month."*

*Another example is the Idaho Department of Corrections where correctional officers interact with offenders using a behavioral change program called Cognitive*

*Reflective Communication or CRC. This is a method of two way communication that encourages offenders to take responsibility and make positive behavioral changes.*

*These examples illustrate why we need to shift from traditional paradigms of looking at uniformed staff as the group who address all of the security issues in a youthful offender program. Throughout this module we will continue to challenge you to examine your security paradigms and work on making any needed changes to accommodate working with the youthful offender population.*

### **Slide 2 - Security Management**

*As you build the security plan for your youthful offender program, be aware that your security plan must contain procedures that enable you and your staff to react quickly and decisively to manage any incident or occurrence. Youthful offenders, because of their immaturity and impulsiveness, don't understand that there will be consequences for their behavior. Your security plan must be designed to ensure that there are swift, consistent consequences for inappropriate behavior.*

### **Slide 3 - Performance Objectives**

#### **Trainer Note**

Refer participants to performance objective on slide or in workbook.

### **INSTRUCTIONAL INPUT**

### **Slide 4 - Preparing a Security Plan**

*Preparing a security plan for any youthful offender program will require a great amount of detailed work. Developing a comprehensive security plan for a youthful offender program ranks right up there with developing a security plan for a super-max facility. I make this comparison because of the amount of detail that goes into the planning, implementation, and training for both types of facilities. Just as in a super-max facility there is no room for error, there is no room for error in a youthful offender program.*

*Why do you think that there is no room for error in a youthful offender program?*

### **Possible responses:**

As has been stated previously youthful offenders lack maturity and are impulsive. These two elements alone can be a test to the program's security plan.

### **Slide 5 - Elements of a Security Plan**

*One of the best ways to develop a security plan is to prepare it by identifying and implementing Security Envelopes that take into consideration the following:*

- *Operations*
- *Physical Plant (Total Environment)*
- *Staffing (Total Staffing)*
- *Technology/Materials*

*Let's take a few minutes and review the term "Security Enveloping."*

### **SECURITY ENVELOPING OPERATIONAL DEFINITION**

#### **Slide 6 - Security Enveloping**

*"Security Enveloping is the integrating and interfacing of operations, staff, and facilities, augmented by appropriate technology to manage the security operations."*

*What does this definition mean to you?*

#### **Trainer Note**

Solicit class responses and write responses on chart paper.

**Possible Responses:** Coordination, working together, having a working plan, team work

*Yes, it is about all those things, working together to cover or enclose an event or activity to make sure that security is maintained.*

#### **Slide 7 - Operations/ Scheduling**

*To apply the basic principles of security enveloping when we are developing the security plan for the youthful offender program, we will first need to have a detailed understanding of the daily operations of the program.*

*The best way to do this is to develop a comprehensive daily schedule. Once a daily schedule has been developed then the various security envelopes can be developed.*

*To develop a comprehensive daily schedule, each event that occurs throughout the day, movement to and from programs, meals, or sick call must be assessed and a security envelope developed for that activity.*

*For example: Knowing what time you will wake-up the youthful offenders will determine the answers to the following questions:*

- *When will additional staff be needed to supervise the offenders and perform other tasks?*
- *When does the "night" security envelope begin to open to accommodate the daily operations/offender movement of the early part of the day?*
- *How do the alarm systems and/or other types of technology change depending on the time of day, operations or event?*

*When the first youthful offenders wake-up, then in all reality the facility wakes-up. When developing the daily schedule those responsible for designing, implementing, and managing the security plan, carefully consider the following:*

- *What exactly are the offenders scheduled to do?*
- *Where exactly are they going to be?*
- *What will the exact time frames be? (This should include movement to and from activities.)*
- *How will they get there? (route)*
- *How will they get to the next activity on the schedule? (route)*
- *What will be the total Staff requirements/responsibilities for every activity on the schedule?*
- *What will be the exact number of offenders either in movement and/or in activities?*

## **GUIDED PRACTICE**

*I would like you to consider these issues. In your small groups, consider the following question, "What are the implications to security when you wake the offenders up at 4:30 AM?" Take 15 minutes to think through and list everything that you need to do to maintain security. You can use the questions listed in your workbook to help stimulate your thinking.*

### Developing a Comprehensive Daily Schedule

*Security envelopes cannot be developed until there is a comprehensive daily schedule.*

A comprehensive daily schedule is based on events that occur in the daily operation of the facility. Examples of events that comprise daily operations include various programs, sick call, recreation, meals and the time the offenders wake up and go to bed. To develop a schedule, think about the event and then think through the checklist below to determine what is needed to make that event happen while maintaining security.

- When will additional staff be needed to supervise the offenders and perform other tasks?
- When does the "night" security envelope begin to open to accommodate the daily operations/offender movement of the early part of the day?
- How does the alarm system and/or other types of technology change depending on the time of day or event?

- What exactly are the offenders scheduled to do?
- Where exactly are they going to be?
- What will the exact time frames be? (This should include movement to and from activities.)
- How will they get there? (route)
- How will they get to the next activity on the schedule? (route)
- What will be the total Staff requirements/responsibilities for every activity on the schedule?
- What will be the exact number of offenders either in movement and/or in activities?

#### **Possible responses:**

- Lack of staff at that hour of the morning will need to be addressed.
- The rest of the facility is still in the night security envelope, yet the youthful offender section will have to move to the day security envelope. Need to consider, how much the night security envelope will have to be opened to accommodate the "operations/movement" of the youthful offender program. (Also consider the impact this operations/movement on the rest of the

facility.)

- If they bring in staff to wake the offenders up at 4:30 AM they need to also consider the following:
- Will there be staff who will want to work those hours?
- What is the normal shift 8 hrs, 10 hrs, 12 hrs.? For example, if the normal shift is 8 hrs., then the staff that comes in at 4:00-4:15 AM will have to leave at 12:00 or 12:15 PM (noon) and how will that affect the schedule?

## **Debriefing**

### **Trainer Note**

Debrief the guided practice by asking the following questions:

- *What squared with what you already knew about daily scheduling?*
- *What new idea(s) will you take back and use?*

*The purpose of this exercise was to have you think in broad and specific terms at the same time. Every action that is taken will have some impact/reaction on the security envelopes that you establish.*

## **Slide 8 - Facility**

*One of the best ways, to develop security envelopes is from the inside (of the facility) to the perimeter fence/walls. The last part of your security envelope, of course, is your perimeter. I like to start at the offender living area at midnight and then, using the daily schedule, develop individual security envelopes for all of the activities listed on the schedule.*

*When developing security envelopes it's important to always remember to include inmate movement. Experience has shown that very often incidents occur during offender movement from one area to another.*

## **Slide 9 - Benefits of security envelopes**

*Additional side benefits derived from developing security envelopes include these:*

- You really get to know the strengths and weaknesses of your entire facility.
- You develop understanding about the technology that your facility uses to augment staff.
- You can optimize the productivity of the staff.
- You know exactly where every offender is at every minute of the day.

## **Slide 10 - System Failure**

*Remember this: if an inmate makes it to your perimeter fence/wall ALL of your internal security envelopes have failed.*

*When you look at the facility where the youthful offender program will be /is located, ensure that the facility has been built to the security levels needed for the program. In most cases, the facilities now being used are for the most part maximum security. But remember, adult facilities were built for adults. Check your facility.*

*Example: In one prison that had a youthful offender program, I noticed an opening in a corner that a small youth or for that matter an adult inmate could have squeezed through.*

## **Slide 11 - Assessment**

*Assess each of the security envelope's strengths and weaknesses that you identify and develop a plan for taking corrective action.*

## **Slide 12 - Assessment**

*Some things to look for during your assessment process include:*

- *The overall physical conditions of areas the youthful offender program will be using. (The living areas should be well maintained and if possible, freshly painted. By doing this the youthful offenders, as part of their programming, will be required to keep it in the condition that they found it.)*
- *Broken or missing fixtures. (Fix them)*
- *Poor lighting (If possible you would increase the lighting.)*
- *Identify blind areas and include in your security plan a method for dealing with these blind areas. (Youthful offenders like adult offenders will use these*

*blind areas to their best interests, not yours.)*

- *Use the 360 degrees assessment method when looking at all facilities that the youthful offenders will use. (The 360 degree process is when you assess the ceiling, walls, floor, all openings (door jams, windows, vent opening, etc.).*
- Assess all movement routes using the same 360 degree method.

*The facility can be and should be one of the strongest components of your total security envelope only if you know it and use it effectively. One last comment on facility security assessments: Make sure that security assessments of your facility are conducted on a very regular basis.*

## **GUIDED PRACTICE**

### **Trainer Note**

Part 1: Using the information in their workbooks, have the participants describe their facility. Give them about 10 minutes for this portion.

#### **Security Assessment**

Provide a detailed description of the living area to include the following:

- Number of cells
- Number of offenders per cell
- If the living area is a dormitory how many offenders can sleep in it?
- Where are the day rooms located in relationship to the living area?
- Will the day rooms need their own security envelopes?
- If yes, what hours of the day will these security envelopes need to be operational?
- Define all routes that the youthful offenders will use and determine how to develop the security envelope (s), that will be needed.
- Determine the security envelope(s) that will be needed for the education area.

Part II: Next, using the results of the checklist, have participants identify the strengths and weaknesses of their facility and identify what measures (to include staffing and technology) they would use to correct those weaknesses. The parameters are as follows:

- 20 minutes to complete assignment
- Write findings on chart paper
- Identify spokesperson
- 5 minutes to present findings
- 5 minutes to answer questions and defend findings

Trainer should be looking for these things:

- That all areas of the facility have been assessed (Dining room, recreation areas, school area, etc.)
- If cameras are given as a solution, find out where the camera will be monitored, who will be monitoring it, and who is assigned to respond in an emergency.

## **INSTRUCTIONAL INPUT**

### **Slide 13 - Staffing**

*The basic rule for staffing is:*

*Have the correct number of people – at the correct place – for the correct period of time – with the correct training – doing the correct thing.*

*Staffing is the most important element of the security envelope principle. If you know that staffing is crucial, then when you establish the security envelopes for your program you must determine the staffing levels early in the process.*

### **Slide 14 - Unique staffing issues**

*Here are some unique things to consider regarding a youthful offender program staffing pattern:*

- *Do not depend on traditional adult staffing patterns for youthful offender programs.*
- *Consider the responsivity principle. Think about how to best match the skills, interests and knowledge of the staff with the population.*
- *Modeling. There is a need for pro-social role models (to reinforce behavioral change).*
- *Total staffing levels must include interdisciplinary staffing. (Security, Programs, Support, Clerical, Maintenance, etc.)*

- Staff should be flexible and move with the operational demands of the program.

Experience and research has shown us that traditional adult staffing patterns do not meet the demands of managing and operating a youthful offender program and would seriously compromise your security envelopes.

### Slide 15 - Fixed versus Fluid Posts

The staffing component of security enveloping has to have the ability to respond to any incidents or events immediately. This can be accomplished by freeing up staff to move with the offenders. Look at "Fixed Posts" and assess their purpose, effectiveness, and efficiency. My experience has demonstrated to me that in many cases "Fixed Posts" are not as effective and efficient as fluid posts.

### Slide 16 - Interdisciplinary staffing

Also, when developing the staffing for your security envelope, include staff other than security. The staff of a youthful offender program must, more than any other group in corrections, work together.

Examples:

- When the offenders go to structured recreation there should be a coach/recreational specialist whose only responsibility is to teach the offenders and to conduct the recreational activity. There should be ample security staff present to provide security.
- During count times counselors should be in the living areas to assist the security staff with the count.
- During meal times chaplains and counselors should be present to assist security and food service staff and to mill around and talk with the offenders.

### Slide 17 - Staffing Patterns

Continuous assessment of the staffing requirements and assignments is also something that is part of operating a successful youthful offender program. REMEMBER, any changes to the daily schedule will impact the staffing component of the security envelopes that have been established.

Staff selection and training will be discussed in detail in another module, but I wanted to mention it here because it is the backbone of security enveloping. If staff

*are assigned to work in a youthful offender program without "specialized" training, you can expect serious issues with your security plan.*

## **GUIDED PRACTICE**

### **Notes to Trainer:**

Have the participants work individually (or if it is a training where there are teams from the same institution they can work in their small groups) to develop a "draft" staffing pattern that is inclusive of all staff who will be required to operate and manage their program. Give them the following parameters:

- 30 minutes to develop "draft" staffing pattern
- 5 minutes to present "draft" staffing pattern
- 5 minutes to answer questions and defend their "draft staffing patterns"

(If the plans are individual, the trainer should walk around and check in with participants. There will be time for only a few to present their plans).

The trainer should be looking for;

- Interdisciplinary staffing (especially for nights and weekends)
- Coverage at all times of the day
- How well does the staff agree/move with the offenders/operations
- Where staff has been identified in the facility section of this module as a means to correct a deficiency, ensure that it is identified in the staffing pattern.

### **Slide 18 - Technology/Materials**

*In developing our security envelopes, the use of technology certainly has its place, technology should only be used to augment staff not to replace staff. This population is unique in that because of their ages, they need to have the physical presence of staff. Also, for the safety of both staff and offenders, it is important to have staff interacting with the offenders on a continuous basis.*

*Technology should be used in a monitoring capacity that assists in the management and operations of the program. Technology can be used to free staff from mundane monitoring posts so that they can 'directly' supervise offenders. If offenders are 'directly' supervised, there will be fewer incidents, better adherence to the daily schedule, and a more effective way to observe the offenders. This direct observation is crucial in a youthful offender program because, as these offenders progress through their adolescent years they can have mood swings that range from rage to suicide attempts. The ability to have staff in constant and direct contact with them*

*can greatly reduce these mood swings from erupting into serious incidents that will put stress on a security envelope.*

*Determine what type of technology will be needed to enhance your security envelope(s). It must determine 'exactly' what is expected of the technology and to define how it will enhance the security envelope(s).*

## **Materials**

*Material can range from smaller handcuffs to uniforms that the offender will wear. Prior to introducing anything into the program, it must be determined how it might affect the security of the program. Remember that we look at things through our paradigms and that the offenders look at things through their paradigms.*

*Example: An institution was installing a new perimeter fence that was supposed to be impossible to get over. There were two groups of people watching the installation, the staff and the youthful offenders. The staff felt confident that the fence would be virtually impregnable while the offenders were discussing how they could compromise the fence and who would be the first one to escape. Think back to the Paradigm video, when Joel Barker made the statement, "We see best what we are supposed to see."*

## **GUIDED PRACTICE**

### **Trainer Note:**

Have the participants work in their small groups to design a security envelope for one of the following areas (assign one or two areas to each group):

- Living Area
- Educational Area
- Medical Area
- Visiting Area
- Chapel
- Dining area
- Offender movement from living area to educational area.

Parameters are as follows:

- 45 minutes to produce a security envelope for their assigned area
- Write findings on chart paper
- Identify spokesperson
- 5 minutes to present their product
- 5 minutes for questions

The trainer should ensure that each group has used all the components of security enveloping. Look for breakdowns in coverage. Make sure there is not an over-dependence on technology. Look for an interdisciplinary approach to staffing. Ensure that scheduled events don't overlap.

## CLOSURE AND EVALUATION

*Developing a total security plan for the youthful offender program can be a daunting task but it has to be done. I think the best way to accomplish this task is to break the security down into its individual security envelopes. By taking this approach, it will help you see how each security envelope evolves into the next and how all the individual security envelopes create the total security plan.*

*Don't overestimate your current security thinking that it will handle these youthful offenders without any adjustments. Experience has shown us that you'll be wrong.*

## Security and Scheduling

- "Well-developed programs and an involved programs staff equals good security." (Bill Sturgeon).

## Security Management

- Youthful offenders can be managed, refuting common beliefs of the mid-1990's.

2

## Objectives

- Develop a Daily Operation Schedule within the context of the overall security operations.
- Assess the current gaps in their facility's security envelopes.
- Develop a staffing plan for their facility.
- Develop a plan for implementing Security Envelopes.

3

## Preparing a Security Plan

- Must be able to react quickly and decisively to manage any incident or occurrence.
- "No room for error."



4

## **Elements of a Security Plan**

- Operations
- Physical Plant (Total Environment)
- Staffing (Total Staffing)
- Technology/Material

5

## **Security Enveloping**

- The integrating and interfacing of operations, staff, and facilities, augmented by appropriate technology to manage the security operations."

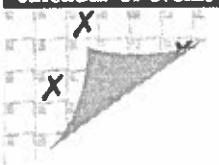


6

## **Operations/Scheduling**

- Understand daily operations
- Develop a comprehensive daily schedule

### **Calendar of events**



7

## **Facility**

- Develop security envelopes from the inside (of the facility) to the perimeter fence/walls.
- Include inmate movement.



8

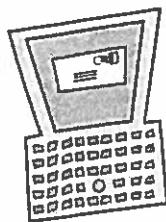
## **Benefits of Security Envelopes**

- Learn strengths and weaknesses of entire facility.
- Learn the technology that facility uses to augment staff..
- Optimize the productivity of staff..
- Know exactly where every offender is at every minute of the day.

9

## **System Failure**

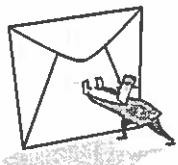
- If an inmate makes it to your perimeter fence/wall all of your internal security envelopes have failed.



10

## **Assessment**

- Assess each of the security envelope's strengths and weaknesses and develop a plan for taking corrective action.



11

## **Assessment Should Examine .....**

- Overall physical condition (of facility)
- Poor lighting, broken or missing fixtures
- Blind areas
- Using 360 degree assessment

12

## Staffing

- The correct number of people ....
  - ..... at the correct place
  - ..... for the correct period of time
  - ..... with the correct training
  - ..... doing the correct thing.

## Unique Staffing Issues

- Do not depend on traditional adult staffing patterns
- Responsivity principle
- Modeling
- Interdisciplinary staffing
- Flexible and move with the operational demands of the program

## Fixed versus Fluid Posts

- Assess the purpose, effectiveness, and efficiency of fixed posts.
- Fixed posts may not be as effective and efficient as fluid posts.

## Interdisciplinary Staffing

- Recreation: coach conducts recreational activity. Security staff provide security.
- Count: counselors assist security staff with count.
- Meals: Chaplains and counselors assist security and food service staff.

## Staffing Patterns

- Changes to the daily schedule will impact the staffing component of the security envelopes that have been established.



17

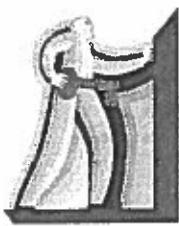
## Technology/Materials

- Technology is meant to augment and complement your overall security plan.



18

## Security and Scheduling



19



# **Performance Objectives**

## **SECURITY AND SCHEDULING**

As a result of this module you will be able to:

- Develop a plan for implementing “Security Envelopes.”
- Coordinate a Daily Operation Schedule within the context of the overall security operations.

# Developing a Comprehensive Daily Schedule

*Security envelopes cannot be developed until there is a comprehensive daily schedule.*

A comprehensive daily schedule is based on events that occur in the daily operation of the facility. Examples of events that comprise daily operations include various programs, sick call, recreation, meals and the time the offenders wake up and go to bed. To develop a schedule, think about the event and then think through the checklist below to determine what is needed to make that event happen while maintaining security.

- When will additional staff be needed to supervise the offenders and perform other tasks?
- When does the “night” security envelope begin to open to accommodate the daily operations/offender movement of the early part of the day?
- How does the alarm system and/or other types of technology change depending on the time of day or event?
- What exactly are the offenders scheduled to do?
- Where exactly are they going to be?
- What will the exact time frames be? (This should include movement to and from activities.)
- How will they get there? (route)
- How will they get to the next activity on the schedule? (route)
- What will be the total staff requirements/responsibilities for every activity on the schedule?
- What will be the exact number of offenders either in movement and/or in activities?

# Security Assessment

Provide a detailed description of the living area to include the following:

- Number of cells \_\_\_\_\_
- Number of offenders per cell \_\_\_\_\_
- If the living area is a dormitory how many offenders can sleep in it?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- Where are the day rooms located in relationship to the living area?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- Will the day rooms need their own security envelopes? \_\_\_\_\_
- If yes, what hours of the day will these security envelopes need to be operational?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- Define all routes that the youthful offenders will use and determine how to develop the security envelope(s), that will be needed.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- Determine the security envelope(s) that will be needed for the education area.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** SELECTION, TRAINING, AND SUPERVISION OF STAFF

**WRITTEN BY:** Dr. Lorraine Fowler, 1996, updated by Barry Johnson, 2001

**TIME FRAME:** 4 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Identify criteria for recruitment, assessment, and selection of staff who can meet the unique needs of youthful violent offenders.
- Describe the elements of a “core” training curriculum for all staff working with youthful violent offenders.
- Describe how effective leadership can help staff succeed.

AUDIENCE	EQUIPMENT/SUPPLIES NEEDED
Groups of 18 - 30 Correctional Professionals who work with young offenders	<ul style="list-style-type: none"><li>• In-focus machine, Computer</li><li>• Chart stands and pads, markers</li><li>• Participant workbook</li><li>• Diskette with slide show</li></ul>
<b>SPACE REQUIREMENTS</b> Classroom set-up in pods: 5 participants at each table	

**REFERENCES**

- *The Power of Ethical Management*, Kenneth Blanchard, and Norman Vincent Peale.
- *Leadership is an Art*, Max DePree
- *The Psychology of Criminal Conduct*. D.A. Andrews, and James Bonta
- *Prison Personnel Management and Staff Development*. F. Warren Benton, and Charlotte A. Nesbitt

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, “youthful” has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **ANTICIPATORY SET**

### **Slide 1 - Selection, Training, and Supervision of Staff**

#### **Introduction**

*We are going to focus today's discussion on the crucial role corrections staff play in the successful management of youthful offenders in adult correctional facilities.*

*Without question staff is one of the most important elements of a youthful offender program. The staff members can be viewed as "agents of change." They help the offender change his or her criminal thinking and behavior by consistently modeling appropriate pro-social behavior.*

*Throughout this entire week of training you have experienced how and why staff must approach their work with youthful offenders differently than they do adults, starting with social learning theory tenets about the dynamic interaction between three forces, environment, cognitive structure, and behavior.*

*During this module we will take an in-depth look at the recruitment, training, and retention of staff.*

*Crucial elements about staffing are:*

- *Having staff that have the competency (knowledge, skills, abilities and attitudes) needed to work with youthful offenders.*
- *Having the correct number and type of staff assigned to work during time periods where they are needed the most;*
- *The staff are assigned to the youthful offender program as their full-time duty assignment;*
- *All staff assigned to the youthful offender program complete "special training" on how to manage youthful offenders.*
- *All staff in the facility are strongly committed to and support the goals and values of the facility, this includes the treatment and services that are offered the youth.*

#### **Slide 2 - Objectives**

*At the conclusion of this module, you will be able to:*

1. *Identify criteria for recruitment, assessment, and selection of staff who can meet the unique needs of youthful violent offenders.*
2. *Describe the elements of a "core" training curriculum for all staff working with youthful violent offenders.*

3. *Describe how effective leadership can help staff succeed in their jobs.*

### **Slide 3 - Staff Recruitment, Assessment and Selection**

*Let's start out by thinking about what criteria you would use to select staff to work with youthful offenders in your institution.*

*One of the first criteria is where will staff come from? Staff will come to work with young adult offenders from one of two places. Staff will either be from within the adult system and will have set patterns in dealing with inmates or they will be staff from outside the system and may have little or no correctional experience.*

*Staff who are recruited or who apply from within the system bring advantages and disadvantages.*

### **INSTRUCTIONAL INPUT**

**Advantages to recruitment of experienced staff.**

### **Slide 4 - Recruiting Experienced Staff**

*Staff who are recruited or who apply from within the system bring advantages and disadvantages. Here are three examples of advantages:*

1. *They know the adult systems and will know the general Departmental policy and procedure.*
2. *Have been tested by an inmate population and know what they are expected to do.*
3. *Due to the fact they work in the same system, their performance can be checked with supervisor at present location.*

*What are some additional advantages of using experienced staff?*

**Disadvantages to recruitment of experienced staff.**

*What are the disadvantages? Here are two examples.*

### **Slide 5 - Disadvantages**

1. *Patterns (management methods and techniques) that work with adult inmates*

*don't always work with youthful offenders. Experienced staff are often slow at giving up these patterns or habits ( a word of caution: some staff work very well with adult inmates but have a difficult time working with youthful offenders.)*

- *Why do you think this is, some staff may have a difficult time working with youthful offenders?*

**Possible responses:**

Beliefs and attitudes are entrenched and as we have seen in other modules, our way of thinking can be hard to change.

2. *Preconceived ideas about promotions or their role in a new program or new facility may not come to reality. This leaves staff unmotivated and less effective.*

*What are some other disadvantages?*

**Possible responses:**

Staff may have only worked in one facility in one capacity. This has given them limited exposure to other jobs in the facility. Narrow range of experience.

### **Slide 6 - Recruiting From Outside**

*Staff may also be recruited from outside the system. Again there are advantages and disadvantages. Take a few minutes to brainstorm at your tables the advantages and disadvantages of recruiting staff from outside the system.*

**Possible Responses**

**Advantages:** Bring new skills and ideas to the system that can fuel enthusiasm, may be able to recruit staff from a juvenile system who have experience working with adolescents, staff can be trained the way that you want them trained.

**Disadvantages:** Correctional systems are often very complicated and it takes a long time to learn these systems, even with good selection criteria, staff still get hired who are not suited for correctional work, takes new staff time to develop a style of working with youthful offenders. They may not have a great deal of time.

*Now that we have discussed where staff are going to come from, we need to think about the specific knowledge, skills, abilities and attitudes that any type of staff member working with youthful offenders might need.*

*I have posted 4 sheets of chart paper titled "skills," "knowledge," "abilities" or*

*"attitudes." Get up and, in your small groups, go to the chart page nearest you. Take about 3 minutes to brainstorm the criteria you would use to select staff to work with youthful offenders in your institution. Think about the things that we have learned so far about criminal thinking, social learning, and effective programming. After about three minutes, I will give you a signal and have you rotate to the next chart (to your right) and add anything the previous group has missed. We will rotate every three minutes until you have visited all of the charts.*

#### **Trainer Note**

Before this activity you need to title the chart pages with "skills," "knowledge," "abilities" or "attitudes." The goal is for participants to think about general areas that apply to any job in the youthful offender program. This makes the additional point that, whether you are a correctional officer, treatment staff, or recreation staff you should share some specific areas of knowledge, skills, abilities and attitudes unique to working with this population.

Participants will brainstorm traits/characteristics a person would need for that job title. Leave on board or tape paper to wall for later reference.

Give them an example to help them get started. (All staff should have knowledge about the stages of adolescent development, should have skills in reflective listening, should have the ability to work as a team member, should have the attitude that people can change.) You may want to review the definitions of knowledge, skills, ability, and attitude but it is okay if they mix them up on the charts. The point is to get them thinking about the special characteristics that people need to successfully work in a Youthful Offender program.

#### **Definitions:**

- **Knowledge** is an understanding and familiarity with facts and information relevant to a specific job.
- **Skills** are the ability to perform job tasks with a high degree of proficiency.
- **Abilities** or traits are attributes or characteristics or qualities of a person.
- **Attitudes** are beliefs or a paradigm that a person holds.

#### **Possible Responses**

Knowledge could include: learning disabilities, mental illness/personality disorders, criminal thinking, anti-social personality, "what works" interventions, impact of abuse, nutritional and health related issues, security practices.

Skills could include: ability to model appropriate pro-social behaviors, reflective listening, verbal commands, defensive tactics, non-coercive use of authority.

Abilities could include: flexibility, works as a team member, interacts well with others, can hold themselves and others accountable, objectivity, open mindedness.

Attitudes could include: people can change, young offenders learn from observing others so I need to be a good role model, safety is everyone's job, effective programming enhances safety in the institution and reduces criminal behavior in the community, learning is a lifelong process.

### **Debriefing**

#### **Trainer Note**

Debrief by having participants look at all the charts. Make the point that ALL of the staff need to have many of the same general knowledge, skills, abilities and attitudes (not just treatment staff, not just officers, not just medical staff). No matter what your position is, you need to understand some foundational principles about adolescent development and "what works" principles. Obviously, staff will need other skills and knowledge based on their specific job but all need these same foundational pieces. Expand as necessary.

*Staff must be recruited, assessed, and selected specifically for working with young violent offenders, whether the staff functions as trainer, line staff (officer, teacher, cook, secretary), administrator, supervisor, or volunteer. However, there are certain criteria which must be used to select all corrections staff, regardless of the type of classification of inmates they will be working with.*

### **Slide 7 - ACA Standards for Staff Selection**

*The latest edition of the Commission on Accreditation Standards for Adult Institutions suggest the following critical "generic" standards when selecting staff.*

- 3-4059      *Criminal record checks to detect convictions that relate specifically to job performance.*
- 3-4060      *Physical examinations that evaluate staff against the specific requirements of their assignments.*
- 3-4053      *Equal employment opportunity for all qualified persons to compete for entry into, and promotion within the program/institution.*
- 3-4055      *Written policy, procedure, and practice to ensure selection, retention, and promotion on the basis of merit, specified qualifications, demonstrable skills needed to perform the job.*

*Your organization most likely has standards that are similar to these.*

## **Slide 8 - Need for Diverse Staff**

*Diversity is another key point that must be considered when recruiting and selecting staff.*

*State correctional institutions are often located in rural locations and it is difficult to provide true diversity among staff. This diversity is more important while working with youthful offenders.*

*Thinking about what you have learned so far, what is it about youthful offenders that makes it especially important to have diverse staff?*

### **Possible responses:**

Young adult offenders in all jurisdictions are very often characterized by:

- Minorities, who often have diverse cultural and ethnic backgrounds. (The minority population shifts in different parts of the country). The responsivity principle states that it is important to match offenders with treatment providers who have a similar cultural background.
- Having “high needs,” both socioeconomically and psychologically. The need for attention in so many areas by these inmates takes a diverse staff to meet the multiple needs of this group.
- Youthful offenders are often high risk in terms of violent and criminal behavior. Prior to incarceration many young adult offenders were surviving on the street with little or no adult supervision.
- Incarceration may be the first time that the youthful offender has the opportunity to have a positive relationship with an adult. This process may be made easier if this relationship can be formed with a person they can identify with (a role model.)

*Those are some great responses. You are right, much more than lip-service must be given to seeking diversity and flexibility as well as competence and integrity in staff. So how do you go about finding the right staff?*

## **Slide 9 - Selection Resources**

*Both the National Institute of Corrections and the American Correctional Association have numerous publications that emphasize the following points.*

- *Recruitment of staff should be open to external as well as internal (to the program and/or institution) candidates to be truly fair and unbiased.*

- *Equal Employment Opportunity and American Disabilities Act standards embodied in Accreditation Standards for Adult Institutions and promulgated by your agency policy and legal advisors should be followed.*
- *Assessment of potential staff, given persons of equal education and experience for the specified job, should "screen candidates out as well as in." In this regard, job-related assessment is probably best contracted out to your local university or college specialists or to your state merit system to meet legal challenges and to assure truly "valid" assessment. National Institute of Corrections consultants are available to assist in "valid" human resources testing.*
- *Selection of staff should be tailored to the goals of the program/institution. In this case, trained or trainable in, adolescent development, developmental delays or disabilities, problem-solving and/or cognitive-behavioral intervention strategies, and cultural diversity.*

#### **Activity: Developing Position Descriptions**

*I would like you to find a partner. Based on what you have learned so far, work towards developing a position description (list the skills, knowledge and traits needed) for a correctional officer whose primary job would be working with a Youthful Offender population. Don't worry about the format. Your goal is to describe the unique qualifications a correctional officer working with the youthful offender population would need. Also, think about how typical job duties would be different in this setting. Take about 20 minutes.*

#### **Trainer Note**

Debrief by having a few of the pairs share what they have come up with. When the traits are listed they should include, at a minimum, the following: empathy, fairness, non-confrontational but firm and ability to effectively problem solve.

Ask the following question:

What will have to be done in your organization to get unique position descriptions developed for the various job functions in a youthful offender unit/institution?

#### **Treatment staff**

*When it comes to hiring staff who will deliver treatment, the following additional factors should be considered:*

- *It is recommended that 75 percent of the service delivery staff possess a baccalaureate degree in a helping profession, and 10 percent have a master's degree or higher.*

- *It is recommended that 75 percent of staff have at least two years experience working with offenders.*

## **Slide 10 - Goal of Training**

*If we have selected staff with the qualifications and attitudes we are looking for, what kind of training should we make available to them?*

*Let's first think about the goal of training. What is the goal of training?*

### **Possible Responses:**

To meet standards, to improve job performance.

## **Slide 11- Effective Training**

*That's right, the goal of training is to improve job performance. Therefore, in order for training to meet this goal it must:*

- *Focus on improving the level of knowledge, skill and attitudes required to do the job.*
- *Provide a safe environment in which to practice new skills.*
- *Use a process where the trainee can receive consistent, continuous feedback (from their supervisor) about their use of the skill in the work place. This concept is also called "coaching."*
- *Provide opportunities where trainees can observe consistent, appropriate use of the skill (by trainer or supervisor). This concept is known as "modeling." Modeling and appropriate reinforcement needs to be part of training for all staff, not just treatment staff.*

## **Specialized Areas of Training**

- *Treatment staff should receive at least three months of formal training in theory and practice of interventions employed by the program.*
- *It is especially important that all staff who will be conducting groups and using curriculums are thoroughly trained on the proper application of the material. A formal training program should be initiated. This can include formal training on the interventions, treatments, and curriculums selected by*

- the program, co-facilitation with senior staff, regular clinical review and feedback on service delivery, job shadowing, and refresher courses.*
- Staff training should also include a review of the principles of effective interventions, behavioral strategies and the application of reinforcers (both positive and negative), treatment planning, risk and need factors related to criminal conduct, and the use and interpretation of assessment instruments.*

#### **Trainer Note**

Write TRAINING at the top of board or chart paper. Have the group first brainstorm the knowledge areas that the correctional officer will need to be trained in. Then the skills and finally the attitude. For example, the officer will need knowledge of criminal thinking, cognitive behavioral change programs, social learning theory. They will need skills in communication, writing (reports, case notes), etc. They will need to hold attitudes that reflect objectivity and open mindedness, that their work is challenging and rewarding, that they will treat all offenders with professional respect regardless of the situation, etc. Leave on board or tape chart paper on the wall for future reference.

#### **Debriefing**

Have participants look at lists.

*Let's take a few minutes to focus on attitudes. Gaining knowledge and acquiring skills is usually easier than changing attitudes. But as we know from our module on social learning, all people are capable of changing their thought processes and behaviors. Sometimes it takes hard work to change old ways of thinking and behaving, but it can be done. Let's take a few minutes to focus on some attitudinal principles that are based on research from "what works" and are essential for staff working in a Youthful Offender Program. Take a few minutes to read them.*

### Attitudinal Principles for Staff

1. I will hold all youthful offenders, staff, and myself accountable under these standards without personalizing or emotionally reacting.
2. I believe in what I'm doing; it is challenging and rewarding.
3. I will allow myself to be objective and open-minded when communicating with all youthful offenders or other staff
4. I will help youthful offenders, other staff and myself learn to manage ourselves in order for all of us to become more productive in our society.
5. I will continually challenge myself to learn and model the skills, attitudes and behaviors necessary to be the most effective professional possible.
6. I see 'choice' as an essential part of real change and growth.
7. I will treat all youthful offenders and other staff with professional respect, regardless of the situation.
8. My primary mission is to work *with* youthful offenders to challenge them continually to work towards positive self-change and growth while holding them accountable.
9. I support offender self-risk management in a balanced way that protects victims/ communities.
10. I will set, communicate and uphold clear limits and guidelines for all youthful offenders and other staff for whom I am responsible, including myself.

### Trainer Notes

Debrief with the participants after they have read the attitudinal principles by asking the following questions (adjust the questions according to your audience). You can choose to have large or small group discussion.

- Which of these attitudinal principles are regularly practiced by you/your staff?
- What might happen if you or your staff's attitudinal principles are not aligned with those desired by your organization?
- What are some of the challenges you may experience when trying to get yourself/your staff to change existing attitudes to match those desired by your organization?
- How can you/your staff overcome these challenges?

A key point is that, as you begin to develop training, remember it is essential to include time for providing knowledge, practicing skills and also exploring attitude. All training must be based on filling the gap between existing knowledge, skills and attitudes with those needed for optimum job performance. The following provides some ideas about possible resources for existing training programs that could be used or adapted for use in your organization.

*Some ways to develop training are to:*

- *Examine other young adult offender programs training curriculums or visit both private and governmentally run juvenile agencies in your state. These programs have been training staff on these type of issues for a long time. All information may not be applicable, but ideas and maybe even times will be available.*

*(A word of caution: juvenile institutions have one purpose. The purpose is to house and treat juveniles. Youthful offender programs have to exist in an adult correctional environment therefore you may have to adapt what you learn to fit in the adult environment.)*

- *A committee of stakeholders can be formed consisting of officials from juvenile agencies, local Judges, academic experts in the field of juvenile justice and criminology. Members responsible for policy making from the Department of Corrections should be included. This allows these staff who will not have regular contact with young adult offender issues to gain an understanding of the needed resources.*
- *Job task analysis should be conducted to make sure that the training will address the knowledge, skills, abilities and attitudes needed for each job.*

### **Slide 12 - When To Train**

- *Pre-Service and/or Orientation - This training can become part of your departments or institutional basic training requirement.*
- *"On-the-job" training by peers and supervisors, and mentoring where feasible. On the job training can be formalized, with records and checklists. It can also be informal, consisting of frequent coaching and feedback from the supervisor.*
- *In-service training should provide more advanced skills and updates on current methods.*
- *At every opportunity. "Lifelong learning" is not a cliché, but a constant in this context. In fact, every interaction between staff should be viewed as a learning opportunity.*

### **Retention**

*To work with young adult offenders on all levels is a very demanding task. Recruitment, the interview process, selection and training are a huge investment. Therefore, it is important to retain staff. Staff, however, can easily burn out while working with young adult offenders. On top of the usual challenges of working in a corrections environment, young adult offenders require additional time and attention.*

*Staff turnover is disruptive to program integrity. As part of their strategic plan, the facility should use strategies for keeping staff turnover to a minimum, especially treatment staff.*

*One of the key elements in retaining staff is effective leadership. Leaders must recognize and support staff as agents of change.*

*We talked earlier in this module and other modules about the need for all the staff in a youthful offender program to work as a team. In any organization, be it business or community, the involvement and support of every member is important; however, within a youthful offender program, it is essential. Correctional officers, probation and parole officers, teachers, counselors, and volunteers all make excellent members of the treatment team and must be considered an essential part of the team.*

*If staff know they are supported by leadership, they are less likely to burn out, lose job satisfaction, or use authority inappropriately. As we talked about in the module on Social Learning, this multi-disciplinary involvement creates a "One Voice-One Message" philosophy and is one more critical element of integrated correctional strategy.*

#### **Slide 14 - Consistent Leadership and Supervision**

*Optimum results for offender change require an infrastructure whose leadership is informed, supportive and who model the principles and practices of the research based, data driven service approaches. In this context, leadership evaluates and measures the organization's decision making, personnel practices, problem solving, etc. by the "What Works" principles and practices. Leadership understands, serves, and supports the vision, principles, and practices of evidence-based programming and correspondingly holds supervisors accountable at all levels.*

*Constant, consistent feedback, coaching and evaluation are "owed" to staff on a:*

- *formal performance evaluation basis once or twice a year;*
- *special basis, as opportunities as well as problems arise; and*
- *daily, weekly, monthly basis, whenever "staffing" of offenders occurs.*

#### **Slide 15 - Performance Measurement**

*Essential criteria by which performance of all staff and inmates will be measured:*

- *Firm, fair, consistent reinforcement of positive behaviors and healthy interactions;*
- *Reinforcement through modeling of constructive, pro-social thoughts and behaviors; and*
- *"Rewarding," whether by caring compliment or appropriate privilege, of achievements, vocational, educational, familial.*

*Effectiveness in working with youthful offenders is, indeed, a "team effort," but the leadership - modeling, teaching, evaluating, clearly and consistently communicating - for our team(s) is the primary job of supervisors and managers.*

- *What can leaders/supervisors do to reinforce positive staff practices?*
- *To discourage undesirable staff practices?*

## CLOSURE AND EVALUATION

### Slide 16 - Closing the Gap

*Corrections has always been a profession where the gap between operations and treatment staff has played a part in the effectiveness of any program and/or institution. To close that gap:*

- *Appreciate other disciplines. Staff must appreciate the importance of staff in other disciplines. Respect for someone else's position is best achieved by open communication and idea sharing that can take place in a cross discipline training environment as well as cross discipline staff meetings.*
- *Live the mission statement. The mission statement for the program must permeate all training and communication. The mission of the program lays the foundation for training and work that follows. The philosophy of the administration should be communicated hand in hand with the mission statement. This relays clear cut expectations to staff for carrying out the daily operations.*
- *Define performance outcomes. The performance outcomes of staff are often measured differently when working with young adult offenders than with adults. The expectations of outcomes should be made clear to staff as part of all training and supervisor-staff interactions.*
- *Provide job specific training. Training should be directly related to the knowledge, skills, and attitudes needed to perform the job on a daily basis. Training should be modified, when needed, to achieve the desired performance outcomes for staff.*
- *Expect cross-training. Supervisors must be aware of the content of line staff training. Management staff must know the curriculum that is provided to levels below them. This ensures effective communication up and down the chain of command. It also ensures that when line staff bring issues to management, management will readily realign the impact of these issues.*

*Staff (including leadership) need to go through the same programs they will be supporting the youthful offenders through. For example, if you have a cognitive*

*program, the staff should at least experience the basics of the program as a part of their training.*

*To manage youthful violent offenders effectively, it is essential to select individuals who are qualified and have an interest in learning more about the special needs of youthful offenders. But selection of staff is only the beginning in meeting the challenges these offenders present to corrections. Continued training and quality supervision ensure the retention and continued growth of our best corrections professionals.*

*Let's take a few minutes to wrap up with some action planning. You can turn to your workbooks and take 10 minutes to answer the questions there.*

### Action Planning

Take about 10 minutes to answer these questions:

- What was the most important concept you learned in this module?
- How will you use the information you received today to select, train, and supervise staff working with youthful offenders?
- What additional information would you like to have?



## **Selection, Training, and Supervision of Staff**



### **Objectives**

- Identify criteria for recruitment, assessment, and selection of staff.
- Describe elements of a "core" training curriculum.
- Describe how effective leadership can help staff succeed in their jobs.

## **Staff Recruitment, Assessment, Selection**

- Staff will either be from within the adult system (with set patterns in dealing with inmates.)
- Or they will be staff from outside the system (may have little or no correctional experience).

## **Recruiting Experienced Staff - Advantages**

- Know the adult systems and departmental policy.
- Have been "tested" by inmate population and know what they are expected to do.
- Performance can be checked with supervisor at present location.

### **Recruiting Experienced Staff - Disadvantages**

- *Patterns that work with adult inmates don't always work with young adults.*
- *Preconceived ideas about promotions or their role in a new program or new facility may not come to reality.*

### **Recruiting From Outside**

- Advantages
- Disadvantages

### **ACA Standards for Staff Selection**

- *Criminal record checks*
- *Physical examinations*
- *Equal employment opportunity*
- *Written policy, procedure, and practice regarding staff recruitment and selection*

### **Need for Diverse Staff**

- State correctional institutions are often located in rural locations
- Difficult to provide a true diversity among staff
- Diversity is more important while working with young adult offenders

## **Selection Resources**

- Open jobs to internal and external candidates
- *Equal Employment Opportunity and American Disabilities Act standards embodied in Accreditation Standards for Adult Institutions and promulgated by your agency policy and legal advisors should be followed.*

## **Goal of Training**

- To improve job performance



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## **Effective Training**

- Focuses on improving level of knowledge and skill
- Provides safe environment to practice new skills
- Uses coaching
- Uses "Modeling"



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## **When To Train**

- Pre-service and Orientation
- On the job
- In-service
- Every opportunity

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## **Effective Supervision**

- "Efficiency is doing the thing right, but effectiveness is doing the right thing." Peter Drucker

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## **Consistent Supervision**

- Formal performance evaluation basis once or twice a year
- Special basis, as opportunities as well as problems arise
- Daily, weekly, monthly basis, whenever "staffing" of offenders occurs

14

## **Performance Measurement**

- Firm, fair, consistent reinforcement of positive behaviors and healthy interactions
- Reinforcement through modeling of constructive, pro-social thoughts /behaviors
- "Rewarding," by caring compliment or appropriate privilege of achievements

15

## **Supervisory Role**

- *The primary role of a supervisor is to create an environment for staff to grow and develop--professionally and personally.*

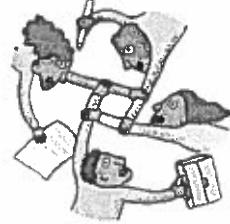
(Dr. Barry Glick, 1986)

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## **Closing the Gap**

- Appreciate other disciplines
- Live the mission statement
- Define performance outcomes
- Provide job specific training
- Expect cross training

## **Selection, Training, and Supervision of Staff**



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# **Performance Objectives**

## **SELECTION, TRAINING AND SUPERVISION OF STAFF**

As a result of this module you will be able to:

- Identify criteria for recruitment, assessment, and selection of staff who can meet the unique needs of youthful violent offenders.
- Describe the elements of a “core” training curriculum for all staff working with youthful violent offenders.
- Define characteristics of effective supervisors.

## Action Planning

*Take about 10 minutes to answer these questions:*

- What was the most important concept you learned in this module?

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- How will you use the information you received today to select, train, and supervise staff working with youthful offenders?

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- What additional information would you like to have?

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**NATIONAL INSTITUTE OF CORRECTIONS  
LESSON PLAN**

**COURSE TITLE:** Youthful Offenders in Adult Corrections:  
A Systemic Approach Using Effective Interventions

**MODULE TITLE:** SUICIDE PREVENTION

**WRITTEN BY:** Diana Coates 2001

**TIME FRAME:** 2 hours

**PERFORMANCE OBJECTIVES**

At the conclusion of this module participants will be able to:

- Identify youthful offenders who are at risk of suicide.
- Implement appropriate precautions to help ensure the safety of high risk youthful offenders.
- Develop a plan to decrease the impact that suicide can have on staff and other youthful offenders.

AUDIENCE	EQUIPMENT/SUPPLIES NEEDED
Groups of 18 - 30 Correctional Professionals who work with young offenders	<ul style="list-style-type: none"><li>• In-focus machine, Computer</li><li>• Chart stands and pads, markers</li><li>• Participant workbook</li><li>• Diskette with slide show</li></ul>
<b>SPACE REQUIREMENTS</b> Classroom set-up in pods: 5 participants at each table	

**REFERENCES**

**GENERAL COMMENTS**

This module is part of a training series that addresses the unique challenges of managing youthful offenders incarcerated in adult institutions. For the purposes of this series, "youthful" has been defined as offenders that are under the age of 22. Use personal examples to support and illustrate key points.

## **Slide 1 - Suicide Prevention**

### **ANTICIPATORY SET**

#### **Slide 2 - Suicide**

*Nationally, suicide is the third leading cause of death among adolescent's ages 15 to 24 years and the fourth leading cause of death for persons ages 10 to 14.*

*Among 5 to 24 year olds, only four causes account for nearly three-quarters of all mortality and a great amount of educational and social problems. Motor vehicle crashes cause 29% of all deaths among this age group, homicide causes 20%, suicide causes 12%, and other injuries (such as falls, fires, drowning) cause 11%.*

*These startling statistics demonstrate that suicide is a critical problem for young people. As care givers of young offenders it is essential for you to learn techniques to facilitate early identification of adolescent inmates at risk of suicide, implement appropriate precautions to ensure the safety of known high risk youthful offenders, and decrease the devastating impact that suicide can have on staff and other youthful offenders involved.*

#### **Slide 3 - Performance Objectives**

- *Identify youthful offenders who are at risk of suicide.*
- *Implement appropriate precautions to help ensure the safety of high risk youthful offenders.*
- *Develop a plan to decrease the impact that suicide can have on staff and other youthful offenders.*

### **INSTRUCTIONAL INPUT**

#### **Identification**

##### **Mental Illness**

*Over 90% of all adolescent suicide victims have suffered from at least one major psychiatric disorder. (Brent et al. 1988c, 1993b, Martton et al, 1995 and Shaffer et al. 1994)*

*The overall suicide rate is 11.2 per 100,000 persons, ranking suicide as the ninth leading cause of death.*

*Although age-specific rates of suicide have consistently been highest in the elderly, the incidence of suicide among adolescents and young adults has tripled since 1955.*

*Suicide is more common in whites and native Americans; higher rates of suicide are reported in the Western states.*

*80 percent of persons who commit suicide are men; the majority of those who make nonfatal suicide attempts are women between 25 and 44 years of age.*

*A previous suicide attempt is considered the best predictor of a completed suicide, although this history alone cannot be used to determine which young offender will ultimately commit suicide. (American Family Physician, 1999).*

#### **Slide 4-5 - Depression and Suicide**

*Major depression increases suicide risk:*

*The most common psychiatric disorders associated with completed suicide are major depression and alcohol abuse.*

*The risk for suicide in young offenders with mood disorders (major depressive disorders and bipolar disorders) is 15 percent, and the risk is highest in the early stages of the illness. However, those who go on to commit suicide rarely have "pure" depression, but usually depression that is co-morbid with alcohol abuse.*

*It should be noted that it is not the psychiatric disorder itself that increases the risk of completed suicide, but the combination of the disorder with a stressor such as death of a loved one, divorce etc.*

*What do you think is the percentage of adolescent inmates at your facility with a substance abuse disorder, a depressive or a behavioral disorder?*

#### **Key Point**

*When persons are extremely depressed they are psychologically and physically unable to attempt suicide. As the depression "lifts", the individual feels more energetic. It is during this period of "wellness" that the person is at high risk of suicide.*

*The suicide risk among alcoholics is similar to that in young offenders with mood disorders, but alcoholics tend to commit suicide late in the course of alcoholism and are frequently depressed at the time of death.*

*Take a few minutes at your table and list ways that depressive symptoms may manifest themselves in adolescents.*

## **Transition**

*You have hit on the key ways that depressive symptoms manifest themselves in adolescents. We will look now at some specifics regarding conduct disorder and antisocial personality disorder and the characteristics associated with these disorders.*

## **Slide 6 - Conduct Disorder and Antisocial Personality Disorder**

*Persons with Conduct Disorder and Antisocial Personality Disorder show certain characteristics.*

*Suicide for the individual with an Antisocial Personality or Conduct Disorder can be the result of another mental disorder (e.g. depression) or the result of the Personality Disorder.*

*Impulsivity of the Suicidal Act: Persons with severe Personality Disorders often commit suicide in an impulsive, unpredictable way. (Kernberg, 1993). They may not actually want to kill themselves, they may just be seeking attention. They are, however, still high risk.*

## **Slide 7-8 - Self-Destructive Behavior**

*Here are some characteristics.*

### ***Self-Mutilation***

*Persons with personality disorders also often engage in self-destructive behavior where there is not suicide intent. These behaviors may include self-mutilation, addictive behaviors, recklessness, the abuse of medical conditions, etc. In most cases, the self-mutilation act is not related to an intent to die but often to other outcomes such as reducing anxiety or to punish a perceived "bad self."*

*The normal symptoms of depression in adults may manifest themselves differently in adolescents.*

*A common reason why clinicians fail to identify suicide intent among youthful offenders with a personality disorder is their failure to identify the second disorder – often depression.*

*Depressed persons MUST BE taken seriously. Their self-destructive acts are often so life threatening they may seriously injure themselves or die accidentally.*

## **Slide 9 - Risk Factors**

### **Previous Suicide Attempt**

*Research has indicated that people who have attempted suicide are more likely to have subsequent attempts. Approximately 80% of all persons who commit suicide have made at least one prior attempt. The ratio of attempted suicides to completed suicides is higher in adolescents than adults. Always check an inmate's arm and neck for obvious signs of prior self-mutilation/suicide attempts.*

*Don't forget that you will need to seek legal counsel regarding consent for hospital treatment after a suicide attempt.*

### **Family History of Suicide**

*Psychiatric literature has shown that family suicide history increases the risk of death by suicide (Gutierrez et.al. 1996)*

### **Disrupted Family Environment**

*Suicide rates are higher for divorced or widowed persons than for married persons. Suicide rates were highest for young widowers between 15 and 34 years of age.*

*Absence of the father in the home environment has been linked to increase in risk of adolescent attempted suicide (Andrews and Lewinsohn, 1992).*

*Family violence and physical and sexual abuse are associated with both suicide and attempted suicide in young persons. (Rubenstein et. al. 1998)*

*Parental separation, divorce, and most dramatically, remarriage increases the risk of youth suicide. (Rubenstein et. al. 1998)*

### **History of Violent Behavior**

*Individuals who have killed others have a suicide rate several hundred times greater than those who have not (Hendrin, 1986. Wolfgang, 1958).*

*Approximately 30% of violent individuals have histories of self-destructive behavior.*

*Psychological autopsies of young suicide victims indicate that almost 50% had histories of aggressive antisocial behavior, (a much higher rate than older persons did) while only 1/4 had histories of major depression, a much lower rate than older persons. (Gould et al, 1990).*

*The majority of prison suicide victims in New York State committed a violent felony (Lyons, 1983).*

## **Slide 10 - Assessment**

*As you know from our previous sessions regarding what works to reduce criminal risk with youthful offenders, insuring that you have good assessment protocol is essential. Accurate assessment can help identify the warning signs for suicide attempts.*

*Persons who attempt or commit suicide often indicate their intent. Suicide can be prevented with knowledge of the warning signs, which can be emotional, behavioral or verbal indicators.*

*Here is a list of emotional indicators. Take a moment to read them*

### **Emotional Indicators**

- Sadness, depression
- Feelings of helplessness/hopelessness – the sense that the future is bleak and things will not improve.
- No sense of future or unrealistic sense of future (e.g. talks of getting out of jail unrealistically).
- Pervasive feeling of being powerless
- Tension, agitation or emotional outbursts
- Emotional flatness or feelings of loneliness
- Self-doubt
- Anxiety (stuttering, muscle tension)
- Excessive shame or guilt (possibly about crime committed)
- Fear
- Expressions of self hatred - -inability to see alternatives or feel pleasure
- Hostile rejection of help
- Mood Swings

*Which of these emotional indicators have you observed with young offenders?*

*Which of these indicators might be easily misinterpreted?*

*What other emotional indicators might be a warning sign?*

### **Possible responses**

Responses will vary. Here are a few: Stress rage, hopelessness, despair and guilt are important emotional states in which young persons commit suicide.

### **Key Points**

*A couple of key points to keep in mind when considering emotional indicators are as follows:*

*Dealing with a hostile inmate is difficult. Mistakenly, hostile rejecting persons are often not thought of as suicidal. However, suicidal persons often push people away by being hostile to get the opportunity to be left alone to kill themselves*

*Mood swings are an important indicator of suicide potential that can be misunderstood or ignored. For example, depressed persons often attempt suicide when symptoms seem to be improving. They become more energized as the depression lifts, "clear thinking," capable of formalizing a plan and becoming determined to complete the suicide act.*

*Once a person decides to commit suicide, they may appear more relaxed, happy and contented – feel a sense of relief – a solution to the problem is clear, a "way out."*

*Be careful not to react to the inmate's hostility with anger. This could result in missing signs of suicidal intent; thus reacting in the manner the inmate had planned.*

*Sometimes a young offender may have trouble expressing their emotions. Sometimes a "feelings" chart or picture can help. Often you will need to probe more deeply.*

## **Behavioral Indicators**

*Take a minutes to read the behavioral indicators of suicidal intent.*

- Loss of appetite/overeating
- Sleep problems – too much or too little
- Unusually slow reactions (psychomotor)
- Difficulty carrying out routine tasks
- Social withdrawal
- Pacing
- Panic attacks
- Hiding one's face
- Moderate alcohol abuse-increase in intake so that dysfunction occurs.
- Making final arrangements before death such as:
  - Give away possessions
  - Draft a will
  - Repair old relationships
  - Re-establish old contacts
  - Writing a suicide note
- Change in daily routine

*Which of these behavioral indicators have you observed with young offenders?*

*What are some other behavioral indicators that might be a warning sign?*

**Possible responses**

Responses will vary.

**Physical and Verbal Indicators**

*What are some verbal indicators you have seen?*

**Possible responses**

- Direct suicide threats are obvious risks (e.g. "I wish I were Dead").
- Indirect, subtle statements are less obvious but can indicate potential suicide risk (i.e., "I've got no future," "I'll never get out of here"). Be alert to statements of giving up.
- Fantasizing about death.
- Joking about suicide. A person may convey their intent to commit suicide through humorous or sarcastic statements.
- Crying can indicate deep sadness.
- Talking about it.

**Transition**

*So, those are some indicators, now let's look at how to respond.*

**Critical Responses**

**Slide 11 - Screening**

*Who does screening? Officers spend the most time really knowing, screening the youthful offenders.*

*Asking offenders about suicide will not give them the idea or the incentive to commit suicide. Most young offenders who consider suicide are ambivalent about the fact and will feel relieved that the clinician is interested and willing to talk with them about their ideas and plans.*

*The clinician may need to make introductory statements or listen for indirect statements by the client.*

*During the initial evaluation of new young offenders, the clinician should ask about a history of psychiatric disorders.*

*The young offender should be asked about a history of suicidal ideation and suicide attempts.*

*Similarly, all new young offenders should be screened for alcohol abuse.*

*A brief mental status examination should be recorded in the chart.*

*Any young offender who shows evidence of depressed mood, anxiety or substance abuse should be asked about recent stressors and suicidal ideation and undergo a full evaluation for the presence of affective or anxiety disorders.*

*Because one interview may not be sufficient (i.e., the young offender may deny on the first interview that he or she is depressed or abusing substances), screening should continue over a series of visits.*

## **Slide 12 - Intervention**

*How do you know if someone needs to be hospitalized?*

### **Possible responses**

If they say they are going to commit suicide, have a plan, prior attempts, etc.

*Exactly, so how do you (or your staff) intervene?*

### **Interventions**

#### **Positive Interaction Techniques**

*One method of intervention is called "positive interaction." Here is a positive interaction technique that should be used by the staff member in communication and effectively dealing with offenders that may be suicidal.*

*A fundamental guideline for the staff member to follow is to encourage the individual to open up and discuss his or her suicidal thoughts.*

*Four questions to be asked during this dialogue are:*

1. *How do you plan to take your life?*
2. *Where do you plan to do this?*
3. *When do you plan to do this?*
4. *Do you have the tools to accomplish this?*

*These questions can be incorporated into dialogue very effectively. If a question is asked broadly, the offender may offer further information to provide you with the answers you are seeking. For example, an effective dialogue may be as follows:*

**Staff person:** "You've decided to do it, how do you plan to do it?"

**Offender:** "It ain't going to be easy, but I could probably hang myself from these bars."

*It is important to note at this time that by discussing suicide with a potential victim, you will not initiate suicidal thought but will instead encourage the person to discuss an existing idea.*

*The decision to take one's own life comes from within, no one can make a person decide to commit suicide.*

*It is possible for one to help change that decision, by offering the offender alternative solutions and by introducing the concept of hope.*

### Referrals

*A major factor in the prevention of suicide is getting the individual professional help. The importance of quick and appropriate referrals cannot be stressed enough. Persons contemplating suicide can often, with help, find alternative solutions.*

*It is the duty of staff to notify Mental Health Service when an appropriate referral is to be made. To help the Mental Health staff it is important to accurately describe the situation. One way to do that is through log book entries.*

*There is an example of a log book entry in your work book.*

#### Suicide Intervention Techniques

An example of a log book entry may be as follows:

*Offender Smith spent much of the day in his cell alone. He was not too responsive when other offenders or staff members spoke to him. He refused to eat breakfast or lunch. After he telephoned his family, he was seen crying in his cell.*

Staff Member \_\_\_\_\_

Date \_\_\_\_\_

Time \_\_\_\_\_

*So what if you make appropriate interventions and a suicide takes place anyway? What happens? What are the liability issues?*

### Slide 13 - Liability

*The law recognizes that there are no standards for the prediction of suicide and that suicide results from a complicated array of factors. The standard of care for young offenders with suicidal tendencies is based on the concept of "foreseeability," which includes the reasonable clinician's ability to take a thorough history, to recognize relevant risk factors and to design and implement a treatment plan that provides precautions against completed suicide.*

*Courts assume that a suicide is preventable if it is foreseeable, though "foreseeability" is not identical to preventability. (In retrospect, a suicide may appear to have been preventable but not necessarily foreseeable).*

## **GUIDED PRACTICE**

I would like you to work in your small table groups to:

- *Use your experience and the information we have discussed and develop a plan to decrease the impact that suicide can have on staff and other youthful offenders.*

### **Trainer Note**

Here are some examples:

Provide staff training on signs of suicide. Develop a system to pass information from one shift to the next. Develop an assessment inventory for use at intake. Use programming to keep the young offender busy; life skills, education, etc. Put in a review mechanism. Placing them in a watch cell with observation and follow-up.

Keep data on suicide attempts in the facility. Watch for trends. For example, you may find that most attempts occur in Administrative Segregation. This can help you alert your staff for "hot situations/areas." Data can indicate what is most frequently used for attempts (for example, razor blades). Data can indicate the time of day most attempts occur (for example, at night). This can help an organization make policy changes and identify staff training need based on facts and data.

## **CLOSURE/EVALUATION**

### **Key Points**

*Most young offenders who voice or admit to suicidal ideation when questioned do not go on to complete suicide. However, some of these young offenders will go on to commit suicide; thus, suicidal ideation warrants thorough evaluation – both when suicidal thoughts are expressed as well as periodically thereafter.*

*Psychiatric disorders are present in most young offenders who express suicidal ideation or attempt or complete suicide. The best way to prevent suicide is to ask young offenders with symptoms of these disorders more specific questions about recent stressors and their thoughts about suicide, and then to treat the young offenders accordingly. Families must be an integral part of treatment planning. Medication and individual or family therapy are often indicated.*

## **Suicide Prevention**



## **Suicide**

- 3rd leading cause of death in 15 - 24 year olds
- 4th leading cause of death in 10 - 14 year olds

## **Performance Objectives**

As a result of this module, you will be able to:

- Identify youthful offenders who are at risk of suicide.
- Implement appropriate precautions to help ensure the safety of high-risk youthful offenders.
- Develop a plan to decrease the impact that suicide can have on staff and other youthful offenders.

## **Depression and Suicide**



- Most common psychiatric disorders associated with completed suicide are major depression and alcohol abuse.
- The risk for suicide in patients with mood disorders (major depressive disorders and bipolar disorders) is 15 %, and the risk is highest in the early stages of the illness.

### **Depression and Suicide**



- Those who go on to commit suicide rarely have "pure" depression, but usually depression that is co-morbid with alcohol abuse.
- Psychiatric disorder, combined with a stressor, increases the risk of completed suicide.

### **Conduct Disorder & Antisocial Personality Disorder**

- Suicide for the individual with an Antisocial Personality or Conduct Disorder can be the result of another mental disorder (e.g. depression) or the result of the Personality Disorder.
- Persons with severe Personality Disorders often commit suicide in an impulsive, unpredictable way.

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### **Self Destructive Behavior**

Persons with personality disorders may engage in:

- Self mutilation
- Addictive behaviors
- Recklessness
- Abuse of medical conditions

### **Self Destructive Behavior**

Purpose of self destructive behavior may be to .....

- Reduce anxiety
- Punish a perceived "bad self"

..... rather than an intent to die.

### Risk Factors

Factors increasing the likelihood of suicide .....

- Previous suicide attempt(s)
- Family history of suicide
- Disrupted family environment
- History of violent behavior

### Assessment

Knowing warning signs can help prevent suicide.

- Emotional indicators
- Behavioral indicators
- Verbal indicators



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### Screening Strategies

- Ask questions
- Listen
- Screen for substance abuse
- Conduct a mental status exam
- Continue screening with a series of visits



### Interventions

- Positive Interaction Techniques
- Referrals



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## **Liability**

*The concept of "foreseeability"*

- Take a thorough history
- Recognize relevant risk factors
- Design and implement a treatment plan



# **Performance Objectives**

## **SUICIDE PREVENTION**

As a result of this module you will be able to:

- Identify youthful offenders who are at risk of suicide.
- Implement appropriate precautions to help ensure the safety of high-risk youthful offenders.
- Develop a plan to decrease the impact that suicide can have on staff and other youthful offenders.

## Suicide Intervention Techniques

It is the duty of staff to notify Mental Health Service when an appropriate referral is to be made. To help the Mental Health staff it is important to accurately describe the situation. One way to do that is through log book entries. Here is an example of a log book entry.

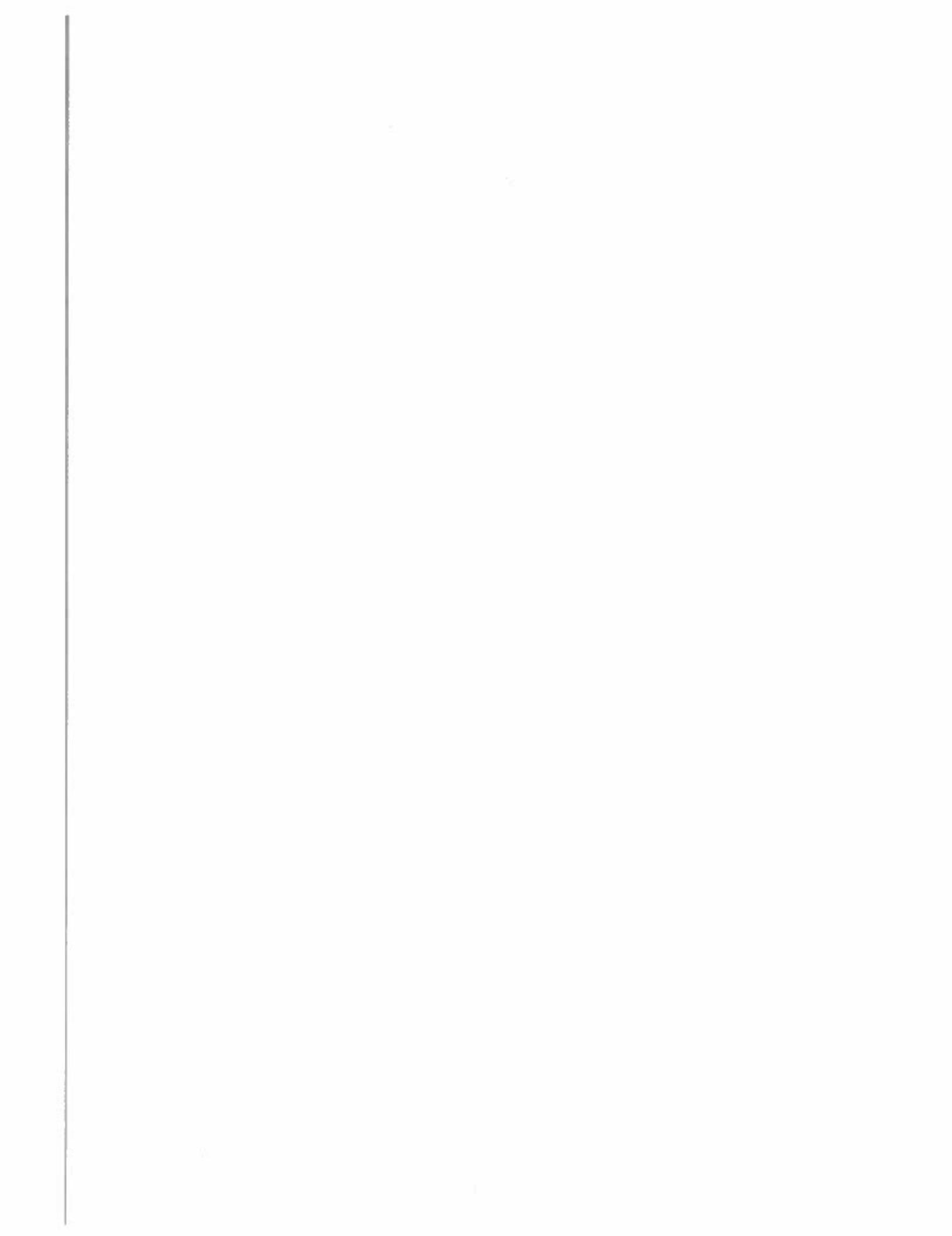
*Offender Smith spent much of the day in his cell alone. He was not too responsive when other offenders or staff members spoke to him. He refused to eat breakfast or lunch. After he telephoned his family, he was seen crying in his cell.*

Staff Member      *Jim Oaks*

Date                01/05/01

Time                1330

# Action Planning



## **Case Planning - Reception to Release**

### **Social Learning**

Now that you have some information about social learning theory, you will have an opportunity to build a personal case study as you progress through this training session. The goal is to build a case plan for your youthful offender that begins with his or her reception into the prison system and continues through his or her return to the community.

To begin, complete the following information based on a challenging offender that you work with.

**Name:** \_\_\_\_\_

**Age:** \_\_\_\_\_

**Crime:**

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**Social learning history:**

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**Family history:**

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**Friends:**

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**School/Education:**

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**Social activities:**

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## Criminal Thinking and Overview of What Works

Keeping in mind what you have learned in the modules on *Criminal Thinking and Overview of What Works*, add to your case plan by completing the following information.

- What attitudes and beliefs do your youthful offenders hold?

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- Describe what you know about the crime they committed.

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- Describe what you know about any victims involved.

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- Describe his or her employment history.

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- Describe his or her past substance use and/or abuse.

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- Describe the criminal beliefs, attitudes, and behaviors he or she exhibits. Which of these attitudes and beliefs do you think are most predictive of continued criminal behavior on the part of this youth?

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- Describe how the youthful offender reacts to: Institutional rules, people in authority, friends, and family members.

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- What activities or programs will you target for this youth to participate in (while incarcerated) that you think will most likely reduce his or her risk?

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## **Adolescent Development**

- Based on what you know about adolescent development, describe your youthful offenders current "stage of development."

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- What are his or her nutritional needs?

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- What behaviors are you likely to see that are more a reflection of his or her "developmental stage," versus criminal behavior?

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## **Interventions and Programming**

- Think about the programs that your youthful offender is involved in. Which meet the criteria for effective programs?

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- Which do not?

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- Based on what you learned in the module on *Interventions and Programming*, what are some programs that might be effective for changing the behavior of this youthful offender?

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## Classification/Risk Assessment

Reflecting on what you learned in the module on *Classification and Risk Assessment*, answer the following questions using the youthful offender for which you have been building a case plan.

- What are his/her static risk factors?

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- What are his/her dynamic risk factors/criminogenic needs?

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- What are his/her non-criminogenic needs?

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- What does he/she need to do to become a better release prospect?

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- What are the most important risk factors you will need to monitor in the institution? Community?

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## **After Care**

Looking at the case plan you have built for your personal case study answer the following:

- What will be the biggest challenges in preventing this offender from recidivating?

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- What recommendations do you have to help the offender work through those challenges?

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## YOUTHFUL OFFENDER PROGRAM DEVELOPMENT READING LIST

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Hoge, R. and D. Andrews (1996). *Assessing the Youthful Offender: Issues and Techniques*. New York, NY:Plenum.

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Loeber, R., and D. P. Farrington (1998), *Serious and Violent Juvenile Offenders: Risk Factors and Successful Interventions*, Thousand Oaks, CA: Sage.

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## **OTHER RESOURCES**

[www.nicic.org/services/special/youth/yo-syllabus.htm](http://www.nicic.org/services/special/youth/yo-syllabus.htm)

(This web site provides a syllabus of supportive literature on youthful offenders in corrections. A copy is provided for you on the following pages).