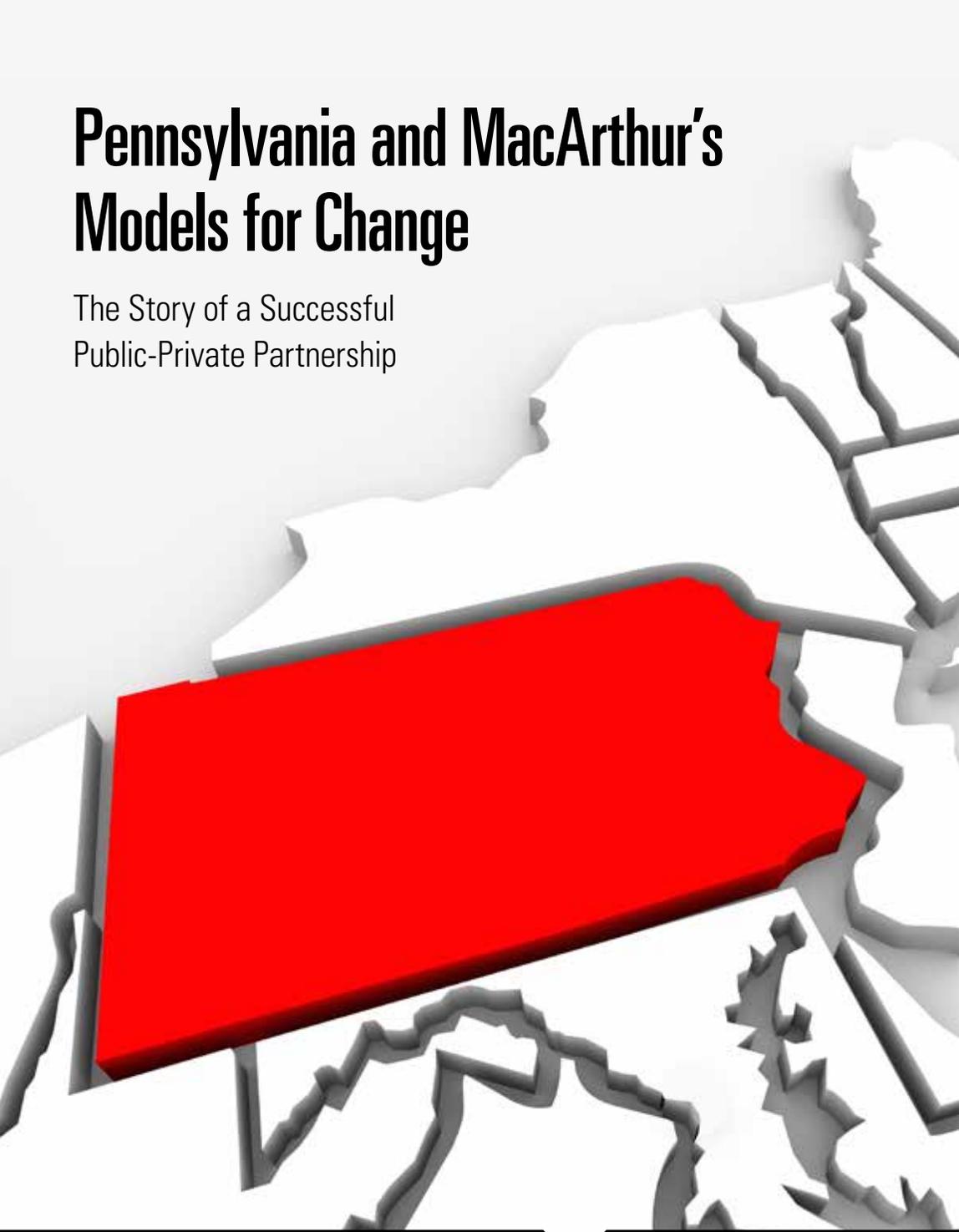


# Pennsylvania and MacArthur's Models for Change

A 3D map of the United States is shown in a light gray color, appearing to be cut out of a white surface. The state of Pennsylvania is highlighted in a vibrant red color, making it stand out from the rest of the map. The map is oriented with the top of the page as the top of the map.

The Story of a Successful  
Public-Private Partnership

by Juvenile Law Center

**ModelsforChange**  
Systems Reform in Juvenile Justice

Written by Robert G. Schwartz, Juvenile Law Center

The preparation of this document was supported by John D. and Catherine T. MacArthur Foundation.

April 2013

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## Models for Change

All young people should have the opportunity to grow up with a good education, get a job and participate in their communities. Creating more fair and effective juvenile justice systems that support learning and growth and promote accountability can ensure that every young person grows up to be a healthy, productive member of society.

*Models for Change: Systems Reform in Juvenile Justice*, a MacArthur Foundation initiative, began by working comprehensively on juvenile justice reform in four states, and then by concentrating on issues of mental health, juvenile indigent defense, and racial and ethnic disparities in 16 states. Through collaboration with the Substance Abuse and Mental Health Services Administration (SAMHSA) and the Office of Juvenile Justice and Delinquency Prevention (OJJDP), *Models for Change* expanded its reach and is now working to replicate and disseminate successful models of juvenile justice reform in 31 states.



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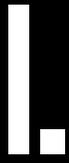


## Forward

As lead entity for Models for Change in Pennsylvania, Juvenile Law Center was active in many of the activities and events that are described in the following pages. Our staff was able to see Models for Change unfold, and observe the many ways that our state advisory group and MacArthur Foundation worked together. Juvenile Law Center's ability to observe the SAG and MacArthur in action was helped by my membership on the SAG during the time of Models for Change. I was able to keep both funding partners in view. When it was appropriate, I helped facilitate their interaction and decisions about funding. However, the main story was the enthusiasm and selfless cooperation of the state and local leaders and Foundation staff highlighted in this monograph. They took risks, sharing a tolerance for failure in service of success. The result was one of the most successful collaborations I have ever experienced.

Robert G. Schwartz  
Executive Director, Juvenile Law Center  
Philadelphia, April 2013





# Introduction: Setting the Stage

At the heart of the Models for Change story in Pennsylvania is the partnership between the John D. and Catherine T. MacArthur Foundation and the Juvenile Justice and Delinquency Prevention Committee (JJJPC), Pennsylvania's state advisory group (SAG). The JJJPC distributes federal Juvenile Justice and Delinquency Prevention Act funds and helps shape state juvenile justice policy. Aligning many of its goals with those of the Foundation, JJJPC matched MacArthur Foundation's nearly \$11 million contribution by providing more than \$10 million of its own for Models for Change-related issues. This public-private partnership began with a common interest in aftercare, mental health services, and disproportionate minority contact. It flourished because of the savvy collaboration of JJJPC with Foundation staff and leadership.

This monograph highlights some of the ways that Pennsylvania's SAG combined people, vision and dollars with those of Models for Change. It shows how the Foundation identified and collaborated with a key state agency to improve Pennsylvania's juvenile justice system. The JJJPC and Models for Change supported many separate lanes on the highway of reform, but some of those lanes merged to create a smoother, faster pathway to common goals.

## Models for Change

Models for Change is a national initiative funded by the John D. and Catherine T. MacArthur Foundation to accelerate reform of juvenile justice systems across the country. Through Models for Change, the Foundation has sought to promote juvenile justice systems that are fair, effective, rational and developmentally appropriate. Focused on efforts in select states, the initiative has aimed to create replicable models for reform that effectively and appropriately hold young people accountable for their actions, provide for their rehabilitation, protect them from harm, increase their life chances, and manage the risk they pose to themselves and to public safety.

Beginning with Pennsylvania in 2004, MacArthur Foundation funded four Core States to implement Models for Change. Pennsylvania, Illinois, Louisiana and Washington were

selected for their leadership and commitment to change, geographic diversity, differing needs and opportunities, and likelihood to influence reforms in other jurisdictions. By the end of the decade, the Foundation had added three “action networks.” The networks provided peer-to-peer support in an issue-focused forum for the development and exchange of ideas and strategies across the four core states and a dozen additional states. They shared practical information and expertise in support of reform.

## **The JJDPC: Pennsylvania’s State Advisory Group (SAG)**

The federal Juvenile Justice and Delinquency Prevention Act of 1974 (JJDPA) requires every state and territory that receives funds under the Act to create an “advisory group.” Federal law says that the advisory group “shall consist of not less than 15 and not more than 33 members appointed by the chief executive officer of the State.” Its members must “have training, experience, or special knowledge concerning the prevention and treatment of juvenile delinquency, the administration of juvenile justice, or the reduction of juvenile delinquency . . .” JJDPA prescribes additional membership requirements for state advisory groups, and makes the existence of such groups a prerequisite for the receipt of JJDPA funds.

Pennsylvania’s SAG, JJDPC, is unusual in that it is one of several committees of the Pennsylvania Commission on Crime and Delinquency (PCCD). As a committee of PCCD, JJDPC technically serves in an advisory capacity. PCCD itself has Pennsylvania’s statutory authority to receive and disburse funds under the JJDPA.

JJDPC’s “advisory” role cloaks its enormous influence. JJDPC is influential in steering state policy, and, perhaps due to its structure within the Commission, JJDPC’s “advice” extends to how millions of dollars in federal and state funds should be spent. These funds include JJDPA formula grant funds that are available to every state that complies with JJDPA’s core mandates. They also include dollars from an array of federal funding streams, such as Justice Assistance Grant funding, and state funding streams, such as state violence prevention funds. JJDPC has effective control over dollars that PCCD places at its disposal. Since the creation of the PCCD in the late 1970s, it has never rejected a JJDPC funding recommendation.

JJDPC meets quarterly to distribute juvenile justice funds and for members to share the latest information, build strategic alliances, and forge the relationships that advance policy and program reforms. JJDPC’s sub-committees convene between the quarterly meetings. PCCD staff members provide the SAG enormous support due to their expertise in juvenile

justice, grant management, mixing and matching dollars from various funding streams to get the best value for the dollar, and program support and evaluation.

## **Sustaining Strategic Reform of the Juvenile Justice System**

JJDPC has benefited from a stable membership of Pennsylvania juvenile justice leaders. Psychologist Dr. Ronald Sharp served as chair throughout the implementation of Models for Change. His experience as Director of Treatment Services at Alternative Rehabilitation Communities (ARC), one of the Commonwealth's leading providers of services to delinquent youth, was invaluable. As a leader of JJDPC since the 1990s, Sharp has stressed the importance of sustained attention to committee priorities. This approach resulted, for example, in JJDPC investing for years in reducing disproportionate minority contact; in addressing the needs of youth with mental health problems; and in meeting the need of females in the juvenile justice system.

This leadership style, coupled with a stable membership base, allowed JJDPC members to develop a history of working together on sustaining system reforms. One recent example was its effort to define, fund and implement the goals of Balanced and Restorative Justice (BARJ).

In 1995, Pennsylvania had changed the purposes of its Juvenile Act. That was a time when many states were competing with each other to treat children more like adults, or to make their juvenile justice systems more punitive. Pennsylvania lawmakers forged a path between rehabilitation, which had been the heart of the juvenile justice system for nearly a century, and retribution, which was the new fashion of the day.

The new law maintained a commitment to rehabilitation, supervision and treatment, but it also required juvenile courts to pay "...balanced attention to the protection of the community, the imposition of accountability for offenses committed and the development of competencies to enable children to become responsible and productive members of the community." The principles of the amended juvenile code were known as BARJ.

The JJDPC invested in BARJ implementation from 1996, when the new law became effective, until 2002. JJDPC's BARJ subcommittee developed a video to train county officials about BARJ, and it published additional training materials. Counties, with Allegheny County leading the way, developed "case closing measures" to quantify progress in meeting BARJ's big three goals of community protection, victim restoration, and youth competency development. Success with BARJ created a platform and demonstrated a clear commitment to reform that would later prove attractive to the MacArthur Foundation.

# MacArthur Taps Pennsylvania

In 2002, after investing heavily in adolescent development research and grants to national juvenile justice organizations, the MacArthur Foundation wanted to realign its funding priorities toward state-focused reform.

Working with a group of national juvenile justice experts, Laurie Garduque, then the Foundation's Program Director for Research, began to identify state candidates for investment. The Foundation's goal was to accelerate the pace of reform towards a more fair, effective, rational and developmentally appropriate juvenile justice system.

Garduque and this group of experts ranked states, based on the quality of their juvenile justice system, leadership, capacity to be a financial partner, and readiness for reform. When visiting Pennsylvania in 2002 to evaluate the state's potential for this new approach, Garduque met with Ron Sharp and other JJDPC leaders. They quickly found common ground, and a partnership seemed promising.

By early 2003, the Foundation had decided to invest in Pennsylvania as its first Models for Change Core State.

## Aligning Models for Change with JJDPC's Juvenile Justice Plan

The Pennsylvania General Assembly passed a law in 1999 requiring the state advisory group "to prepare and at least once every two years update a comprehensive juvenile justice plan on behalf of the Commonwealth based on an analysis of the Commonwealth's needs and problems, including juvenile delinquency prevention."

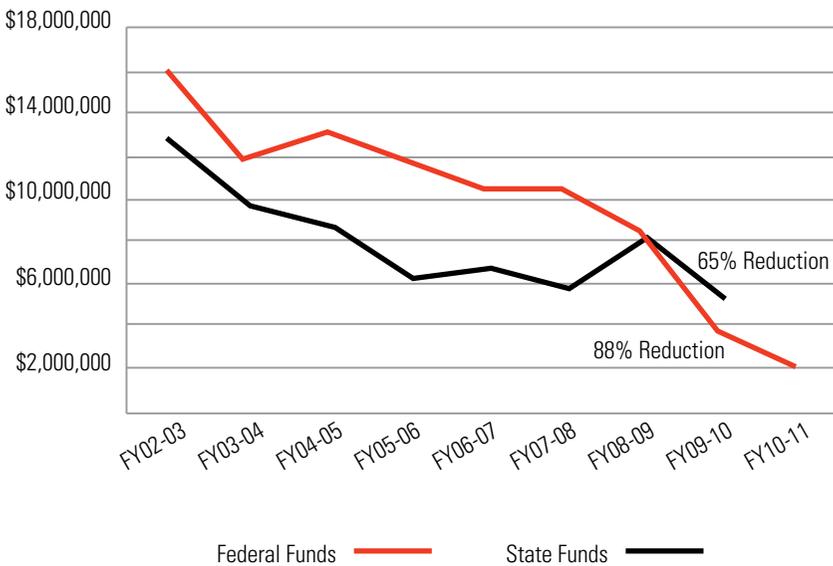
When Garduque visited Harrisburg three years later, a JJDPC sub-committee was already working on its next comprehensive juvenile justice plan. The planning group had identified several "critical issues," including improving aftercare, ensuring the delivery of education and behavioral health services, and improving outcome and performance measures. As it turned out, these issues were similar to those identified by other Pennsylvania leaders with whom Garduque met that summer. They also overlapped with issues suggested by her group of advisors.

JJDPC's enthusiasm for these issues was particularly important. Its members included many key stakeholders—such as Jim Rieland, of Allegheny County, who then led the Pennsylvania Council of Chief Juvenile Probation Officers; Patricia Torbet, a senior researcher with the National Center for Juvenile Justice, who was also a national expert; Jim Anderson, who

directed the Juvenile Court Judges' Commission; and John Delaney, of the Philadelphia District Attorney's Office. Juvenile Law Center's executive director, Bob Schwartz, had been a JJDPC member since 1991. JJDPC also had dollars to spend.

Those dollars would diminish—by the end of the decade, JJDPC would have each year just under \$6 million in federal funds and just under \$2 million in state funds to distribute—but JJDPC was very well-positioned at the time of Laurie Garduque's 2002 visit. In FY2003, JJDPC had dominion over \$16 million in federal funds, and over \$16 million in state funds. Ron Sharp quickly saw that a JJDPC-MacArthur partnership could provide the kind of sustained attention to JJDPC's signature issues that he had long been proposing.

### Decline of Federal & State Funds During Models for Change in PA



## Developing the Partnership

MacArthur's partnership with JJDPC would unfold in different ways around different issues. There were consistent threads, however, that held all of the work together. The most consistent were the Foundation's respect for Pennsylvania's history and issues, and JJDPC's enthusiasm for advancing its priorities through Models for Change.

MacArthur prepared to launch Models for Change in Pennsylvania in May of 2004. To formally introduce the initiative, the Foundation invited Pennsylvania's key juvenile justice

leaders to a mid-May luncheon in the state capitol, Harrisburg. Foundation Vice-President Julia Stasch wrote a personal letter of invitation, saying:

*. . . We have come to recognize Pennsylvania's commitment to excellence and aspirations for improvement in its juvenile justice system. We are eager to learn from and work with you and your fellow colleagues and citizens and to leverage your progress in key areas through coordination of resources nationally and locally. . . .*

*With all this in mind, we are inviting a small group of community leaders, state and local officials and stakeholders in Pennsylvania's juvenile justice system to this meeting.*

*The purpose of this meeting is twofold: 1) to communicate the plans for participation in the progress that Pennsylvania is making in the juvenile justice arena, and 2) to avail ourselves of your expertise and knowledge in the field with regard to certain aspects of the plan. . . .*

About 30 people attended the gathering at the Harrisburg Hilton. The meeting conveyed MacArthur's appreciation of Pennsylvania's juvenile justice system, and how the Foundation intended to invest in it. It also placed JJDC members—many of whom wore other hats—in the same room as important members of the Governor's cabinet: Department of Public Welfare Secretary Estelle Richman and the Governor's Policy Secretary, Donna Cooper. Richman's department oversaw juvenile justice and child welfare in the state and operated the state's system of secure youth development centers. Cooper had an abiding interest in education and its importance to delinquency prevention.

Julia Stasch, Laurie Garduque, and Rebecca Levine appeared for the Foundation. Eight Foundation grantees—technical assistance providers who would soon be designated members of a National Resource Bank—also attended. JJDC accounted for a large share of the remaining attendees. Both Ron Sharp and vice chair, Jim Anderson, director of the Juvenile Court Judges' Commission, were there.

MacArthur leadership conveyed that JJDC would be an important partner in Models for Change. The Foundation would convene a similar Harrisburg meeting for state leadership a year later, reinforcing its message of collaboration.

Indeed, in the years after the May 2004 luncheon, Garduque found many ways to show that she valued JJDC's role. She took pride in mastering the Pennsylvania alphabet: JJDC,

PCCD, JCJC, NCJJ, DPW, OCYF, and many more. At meetings with JJDPC leadership, these initial-plagued names would roll from her tongue as though she was a native.

In 2003, MacArthur designated Juvenile Law Center to be the “lead entity” for the Models for Change work in Pennsylvania. Garduque also endorsed Juvenile Law Center’s work plan that called for grants to some of the organizations represented on the JJDPC. Governors had appointed these leaders to JJDPC because they were knowledgeable and influential and their organizations were making a difference. Foundation grants to organizations like Juvenile Court Judges’ Commission and the National Center for Juvenile Justice signaled that MacArthur understood their value to progressive reform in Pennsylvania. Those leaders could now begin to envision how JJDPC’s partnership could leverage the Foundation’s support.

Garduque demonstrated her hands-on commitment to the success of Models for Change in Pennsylvania with an annual trip to the JJDPC August meetings at the Allenberry Resort in Boiling Springs. It was a difficult trip from Chicago to Allenberry, but Garduque often rode with Ron Sharp from Harrisburg, offering an opportunity for them to get acquainted and reinforce their growing professional relationship.

While JJDPC was generally supportive of the Foundation’s direction, there were healthy debates early on in the pursuit of common ground. For example, an early negotiation centered on reconciling the Foundation’s national data collection needs with JJDPC’s interest in data that closely tracked Pennsylvania’s BARJ and other goals of the state’s juvenile justice system.

JJDPC leaders took a proactive role in promoting the work of the MacArthur-JJDPC partnership, and frequently gave credit to the Foundation, both in funding announcements and in bi-annual plans to the Governor. JJDPC also published an information-packed research, policy and practice newsletter, *Pennsylvania Progress* that it sent to all Pennsylvania juvenile justice stakeholders, service providers, legislators, judges, and attorneys in the field. *Pennsylvania Progress* described programs funded by JJDPC and regularly highlighted Models for Change activities that were part of JJDPC’s partnership with the MacArthur Foundation.

There were also indirect ways that JJDPC leadership demonstrated the value of the collaboration. The Juvenile Court Judges’ Commission (JCJC) would periodically include Garduque on the annual statewide juvenile justice conference program, offering a statewide audience for her insights on how the Foundation and JJDPC worked together. By the end

of Models for Change, JCJC was featuring numerous MacArthur-JJDPC collaborations at workshops at the annual conference.

JJDPC leaders were savvy. They recognized early on how valuable it would be to have a partnership with MacArthur. JJDPC staff and members were happy to share credit for reforms, while advancing JJDPC's agenda. Their flexibility and generosity made the Foundation welcome in the state. In turn, the Foundation routinely gave credit to the JJDPC whenever it could, and was pleased to have a reliable partner from the very beginning of Models for Change. MacArthur realized that JJDPC would also be a partner that could promote sustainability of Models for Change reforms.

Through this process, JJDPC's director Mike Pennington became a strong supporter of Models for Change and found ways to use the many funding streams at JJDPC's disposal to advance their shared priorities. The result was more than ten million dollars in collaborative funding.



# Pennsylvania's Juvenile Justice System

Pennsylvania has a decentralized, state-administered, county-run juvenile justice system. Pennsylvania's Department of Public Welfare's (DPW) Office of Children, Youth & Families (OCYF) regulates the child welfare and juvenile justice systems through a common set of regulations. OCYF through its Bureau of Juvenile Justice Services operates secure youth development centers and non-secure youth forestry camps, and regulates and licenses all private juvenile justice service providers. DPW, through OCYF, also provides a share of funding for all services ordered by the court except for juvenile probation, mental health, and education services.

In each of Pennsylvania's 67 counties, county children and youth agencies contract with private service providers and pay the county share of all services ordered by the juvenile court. Court intake, probation supervision, and aftercare supervision are also organized at the county level under the administrative authority of the juvenile court judge.

Because Pennsylvania has a decentralized system, local juvenile court judges have complete authority to decide where juveniles will be committed and for how long. The juvenile court also has the authority to order a wide range of services, including any service that is available to a dependent child. Even after they leave any court-ordered placement, youth remain subject to local court control and probation department supervision.

Pennsylvania juvenile courts have jurisdiction in delinquency matters for youth whose offenses occurred from age 10 to 17 (up until the 18<sup>th</sup> birthday). Judges have the authority to keep adjudicated juveniles in the juvenile justice system until their 21<sup>st</sup> birthday. Dispositions are indeterminate. The juvenile court controls the decision to release a youth from placement and to close the youth's case and end the court's jurisdiction. Typically, intake probation officers review allegations, conduct intake conferences, and make determinations about diversion or how to proceed with cases, notifying the DA of this determination. In a growing number of counties, the DA participates in the intake decision-making process, particularly where allegations of serious crime are involved.

## Taking Advantage of Pennsylvania's Progressive Fiscal Structure

Pennsylvania uses reimbursements to counties to create incentives that drive planning for how juvenile justice services are provided at the county level.

### Act 148

Pennsylvania's juvenile justice system was once governed by the same incentives seen in other states: even though youth were arrested locally and could be managed with local or community resources, it often cost counties less to send delinquent children to distant institutions managed and paid for by the state. This financial architecture meant that counties had little incentive to develop local programs or services for troubled youth, and consequently there were fewer local treatment options than were needed. *Act 148 of 1976* reversed this incentive. Under *Act 148*, counties pay a larger part of the cost of confining a child in a state institution than previously, encouraging them to develop local programs and services to keep troubled youth at home.

While *Act 148* does not mandate the services that counties must provide, it creates an incentive structure that drives county planning in a clear direction. DPW reimburses counties for most of the costs of community-based services for children, while they are required to pay 40% of the cost of confining a child at a state facility. *Act 148* provides reimbursement of 80% of the cost of services designed to keep children at home (after-school programs, evening reporting centers, outpatient counseling, case management services). It also reimburses 80% of the cost of group homes and other types of non-secure residential or treatment programs that allow children to attend public schools and hold jobs in their communities.

*Act 148* discourages the most restrictive placements. It sets the lowest reimbursement rates for secure detention in local facilities (50%) and secure residential or institutional commitments (60%). Thus, the cost of the most restrictive placement is the most onerous for the county because the per diem is high and the state share is low.

### Needs Based Budgeting

*Act 148* was amended in the early 1990s to create a system of Needs Based Planning and Budgeting. With participation and "sign off" by the juvenile court, each county's child welfare agency develops a plan that shows the predicted service needs for court-involved youth and the cost of those services. The joint planning between the court and county children and youth agency varies in quality across counties. In Philadelphia County,

for instance, a stakeholder planning group has occasionally been formed to review the service mix and make adjustments before submitting the plan to the state. DPW tallies the approved costs for all 67 counties and submits an aggregate budget allocation request to the legislature that includes the state share of county services.

The Needs Based Budgeting process requires DPW to consider whether the county's plan and budget is reasonable in relation to past costs, projected cost increases, number of children in the county, number of children served, service level trends, and estimates of other sources of revenue. New initiatives and services must be reasonable, and the county must identify cost savings or reduced rates of increase within its major service categories, and indicate whether a new service is less expensive or more effective than the currently available service.

Although MacArthur was reluctant to fund new programs through Models for Change, JJDPC was in a financial position to spur new initiatives. Thus, while Models for Change helped promote interest in new policies and practices, JJDPC could not only assist in policy formation and consensus building, it could provide seed money for experimental efforts which, if successful, could be sustained by being folded into counties' Needs Based Budgets. This was an important component of the success of Models for Change. The two entities had complementary funding niches. MacArthur addressed policy and practice issues and provided technical assistance. JJDPC could offer seed money for promising programs and fund the diffusion of successful models.





# The Partnership Targets Reform

The Models for Change collaboration was an experiment in how collective funding, leadership and consensus building could spark both local change and state policy reform. JJDPC and the Foundation assessed opportunities for change, made adjustments over time, and built support for changes in policy and practice at the local and state levels.

After consulting with state leaders and national experts, MacArthur in 2003 decided to focus on three objectives, known as Targeted Areas of Improvement (TAI). These TAIs were Aftercare; Mental Health and Juvenile Justice (MH-JJ); and Disproportionate Minority Contact (DMC).

The Foundation's investment in Pennsylvania was less about creating structures and more about finding dynamic local opportunities for change. This led to investing in a "bottom up" approach. In the first year, JJDPC funded four counties to work on aftercare. Models for Change funded an additional aftercare county and six additional counties -three to work on MH-JJ and three focusing on DMC. While most counties were addressing one TAI, Allegheny County addressed all three TAIs and Philadelphia addressed MH-JJ and DMC. Thus, eight counties advanced 11 local initiatives.

At the same time, the Foundation and JJDPC collaborated on a "top down" approach aimed at creating greater clarity around statewide policies. This clear vision was needed to drive county reforms and increase the likelihood that county efforts would go to scale. The "top down" work led to the creation of four joint policy statements—Aftercare, Mental Health and Juvenile Justice, Diversion, and Family Involvement—that are discussed below.

## Aftercare

Most Pennsylvania counties had for years struggled to improve reintegration of youth who were leaving residential placements. Some youth had no place to live. Some were barred from neighborhood schools. Many lacked employable skills. Every residential program seemed to have its own approach to re-entry, and most of those approaches were deficient.

By the time Models for Change began in Pennsylvania, there was already ferment in the counties and in Harrisburg to improve re-entry of juvenile offenders. Philadelphia was developing a Reintegration Collaborative that would provide support to juvenile probation officers who provided aftercare services. Governor Ed Rendell's policy office, led by Donna Cooper, was focusing on aftercare. JJDPC had included aftercare as a "critical issue" in its plan to the Governor. All that was needed was a vision and some funding.

The vision came first. Donna Cooper and her policy staff, discussing the draft JJDPC state juvenile justice plan to the Governor, suggested that Juvenile Law Center should lead the alignment of aftercare work. JLC executive director Robert Schwartz was well positioned to orchestrate the effort as a member of JJDPC, and director of Models for Change in Pennsylvania due to JLC's "lead entity" status. In December of 2003, Schwartz had already convened a preliminary aftercare discussion in Harrisburg. The meeting included representatives of the Governor's policy office, JJDPC's Mike Pennington, Jim Anderson of JCJC, and others. Donna Cooper's representatives reported on her enthusiasm for creating and implementing an aftercare model.

In early January 2004, Governor Rendell wrote to Sharp, thanking him and the JJDPC for its comprehensive juvenile justice plan. The Governor also addressed the critical issues that JJDPC had identified, saying about aftercare, "Based on the grant award from the MacArthur Foundation to the Juvenile Law Center to examine aftercare services, I would like for the JJDPC and our other Commonwealth agencies to partner with the Juvenile Law Center to develop a common vision for aftercare services."

Work on the vision began the following month at a meeting of juvenile justice leaders at DPW to develop a vision and funding plan. Pennington and Sharp represented the JJDPC. DPW was heavily represented, and there were participants from the Pennsylvania Department of Education, Juvenile Court Judges' Commission, and National Center for Juvenile Justice. Also attending was Ned Loughran, of the Council of Juvenile Correctional Administrators and a member of the Foundation's "National Resource Bank" of technical assistance providers. (This aftercare policy group would later be joined by Jim Rieland representing the Pennsylvania Council of Chief Juvenile Probation Officers.)

The meeting continued the brainstorming that had begun in December. By its end, the state's juvenile justice leaders had begun to focus and agreed that every youth in placement should have a smooth and successful re-entry. That meant that every youth needed a high quality aftercare plan that was not only timely, but was also fully implemented.

The leadership group recognized the importance of structural reforms and education advocacy. Participants also concurred that the Juvenile Court Judges' Commission should have an aftercare specialist. DPW agreed to include supportive services for aftercare in the Needs Based Budget guidelines it would send to counties the following April. The JJDC agreed to delay an aftercare funding announcement so that it could coordinate its efforts with Models for Change.

The group also recognized that as the JJDC and MacArthur targeted counties for reform, they should be willing to experiment in response to local circumstances and inclinations. JJDC and other stakeholders realized that experimentation couldn't occur in a vacuum. It must be structured by a vision of aftercare for the entire state.

From those seeds grew a policy statement and a host of initiatives that were initially funded by MacArthur and JJDC, and later, through DPW's Needs Based Budget process.

### **Joint Policy Statement on Aftercare**

The leadership group began working on a policy statement that could be endorsed by leaders in Harrisburg, county administrators, and stakeholders at the county level. The policy statement that emerged by year's end established a vision of aftercare and a set of goals to implement the vision.

The "vision" component of the Joint Policy Statement noted:

*Aftercare is a key goal of the juvenile justice plan presented to Governor Rendell in 2003 by the Juvenile Justice and Delinquency Prevention Committee of PCCD. The plan recognized that aftercare is crucial if youths are to benefit from residential treatment programs and successfully return home; and that it is also a key element in promoting public safety.*

The Joint Policy Statement also spoke of a model system in which county children and youth agencies, juvenile probation departments, schools, and service providers worked together. It included a set of bullet points suggesting how that should happen. Following review by JJDC members, Juvenile Law Center sent the Statement to the leaders of the relevant state agencies for their endorsement.

The Joint Policy Statement on Aftercare became effective on January 1, 2005. In addition to the chair of PCCD, signatories included the Secretaries of the Departments of Public Welfare and Education, the chair of the Juvenile Court Judges' Commission, and the president of the Pennsylvania Council of Chief Juvenile Probation Officers.

The Joint Policy Statement on Aftercare became a prototype for organizing the work of Models for Change in Pennsylvania. Over the next several years, JJDPC was involved in creation of joint position statements on mental health and juvenile justice; family involvement; and diversion. As the JJDPC collaborated with Models for Change, the policy statements not only provided a context and rationale for JJDPC funding, but a framework for organizing and directing reforms.

The Joint Policy Statement on Aftercare triggered a host of grants from MacArthur and the JJDPC, as Models for Change pursued the bottom-up and top-down approach to comprehensive aftercare reform. In a decentralized system like Pennsylvania it was very important to work in individual counties, each of which had significant autonomy, as well as with the state agencies and associations responsible for change statewide. This strategy is reflected in the Foundation and JJDPC's grants, which went to:

- Five Model Counties (JJDPC and MacArthur)
- Juvenile Court Judges' Commission (JJDPC and MacArthur)
- Pennsylvania Council of Chief Juvenile Probation Officers (JJDPC)
- Department of Public Welfare (JJDPC and MacArthur)
- National Center for Juvenile Justice (JJDPC and MacArthur)
- Education Law Center-PA (MacArthur)
- Defender Association of Philadelphia (JJDPC and MacArthur)

The grants to the counties created room for experimentation with re-entry models. The grant to JCJC enabled the Commission to provide technical assistance to county juvenile probation departments and to work with Education Law Center to address education re-entry. The grant to the Chiefs' Council, as the probation association was called, bolstered support to county juvenile probation departments.

JCJC and the Chiefs' Council would also review practice in all 67 counties to bring them in line with the intentions of the Joint Policy Statement. DPW's grant provided for a staff person to collaborate closely with the Chiefs' Council and JCJC around the implementation of aftercare principles laid out in the Joint Policy Statement; it would also allow the Youth Development Centers—the public, secure training schools for youth in Pennsylvania—to develop a curriculum on developmental issues that would teach and enable staff to be better partners in the process of youth re-entry. Education Law Center would develop an education tool kit and train juvenile probation officers, who would become education advocates. National Center for Juvenile Justice would assist in data collection and documentation

## Funding Five Aftercare Counties

In August 2004, the JJDPDC issued a request for proposals to county children and youth agencies and juvenile probation departments. The RFP announced “the availability of \$1.8 million over three years in federal Drug Control and System Improvement (DCSI) grant funds to support the development of model aftercare approaches, which will inform the development of statewide training on the model approaches. . .”

The leadership team’s work of the prior year was well represented in the RFP language:

*In its 2003 Juvenile Justice and Delinquency Prevention Plan to the Governor, PCCD’s Juvenile Justice and Delinquency Prevention Committee (JJDPDC) identified quality aftercare as a core part of an enhanced juvenile justice system. The Governor accepted that view, and asked the JJDPDC to coordinate planning for an aftercare initiative with the purpose of promoting high-quality aftercare in counties across the Commonwealth. The resultant aftercare workgroup, comprised of state and local juvenile justice system stakeholders, has identified a broad strategy for improving aftercare. It is that strategy which forms the basis for this solicitation.*

JJDPDC used the RFP to further reinforce the connection with Models for Change by requiring that,

*... pilot sites must agree to work with the Juvenile Court Judges’ Commission (JCJC)—as well as the National Center for Juvenile Justice (NCJJ)—and other MacArthur Foundation-funded technical assistance providers—who will assist pilot sites in their efforts to develop, implement and measure the impact of their aftercare initiatives and to address other relevant areas, such as improving access to educational services and indigent defense after disposition.*

JJDPDC would award grants to four geographically diverse counties of varying sizes—Allegheny (Pittsburgh), Cambria, Lycoming, and York—with each county experimenting with different models. Allegheny, for example, chose to hire three education advocates to assist juvenile probation officers in getting youth back to school. Cambria partnered with Goodwill Industries to create a job-training program for youth returning from placement.

JJDPDC also announced that federal Safe and Drug Free Schools Act dollars that it controlled would be allocated to DPW to assist Youth Development Centers with aftercare planning.

Meanwhile, MacArthur supported Philadelphia County with grants to:

- The Department of Human Services (DHS) to support a comprehensive reintegration initiative. DHS was putting millions into the initiative, which would hire community workers in support of juvenile probation officers. MacArthur funded a coordinator position and supported data collection.
- Philadelphia Family Court to support a system of graduated sanctions that would reduce the necessity of returning youth to placement for technical probation violations. (Technical violations are not new crimes, but such conduct as missing curfew or school, or failing to attend a mandated treatment program.)

These five counties—four funded by JJDPC; one funded by MacArthur-- would become the nucleus of the “all-sites” group that would meet three to four times a year with others who were heavily invested in the aftercare reform effort. NCJJ’s Pat Torbet facilitated the “all-sites” meetings, which were most often held in Pittsburgh. Regular participants included JCJC, the Chiefs’ Council, NCJJ, Department of Public Welfare, Department of Education, Juvenile Law Center, Education Law Center, and others. Both JJDPC and MacArthur supported the “all sites” group. JJDPC provided funds for participants’ travel and MacArthur paid for meals and covered costs for some of the participants who were in MacArthur-funded positions.

### **Promoting Change by Funding Leadership**

Pennsylvania’s juvenile justice system depends on strong juvenile courts. This requires a strong judiciary and a powerful cadre of juvenile probation officers, who function both as case managers and as the eyes and ears of the juvenile court. Because Pennsylvania has no “youth authority” to which courts commit youth, the role of the court and probation is particularly important for aftercare. Probation officers must ensure that residential services meet courts’ expectations, and that services anticipate a youth’s release. Probation officers make regular reports to juvenile courts about a youth’s progress, both in placement and thereafter. Juvenile courts in Pennsylvania conduct review hearings at least every six months from the time of disposition until a case is closed to monitor a youth’s progress.

To give “sustained attention” to aftercare, the MacArthur Foundation and the JJDPC made grants to the entities that were best positioned to a) support the work of judges and juvenile probation officers, and b) fund aftercare services.

The concept that emerged from the state-level leadership teams was a MacArthur-JJDPC-funded three-member team of aftercare specialists to work with counties on

implementation of aftercare reform. The aftercare team members would also serve as liaisons to state leaders and working groups. MacArthur provided a three-year grant to Juvenile Court Judges' Commission to support an aftercare specialist; JJDPC provided funding to support aftercare specialists at the Chiefs' Council and DPW.

Because DPW was slow to hire an aftercare specialist, JCJC's and the Chiefs' Council's aftercare specialists from the start formed a tight team. They split responsibility for:

- Disseminating information to promote the diffusion of aftercare;
- Presenting workshops;
- Organizing annual aftercare forums (which were co-funded by MacArthur and JJDPC);
- Collaborating on a statewide baseline assessment of aftercare in all Pennsylvania counties;
- Working with Education Law Center on training of juvenile probation officers on education re-entry advocacy; and
- Reporting to and educating their constituencies.

When the DPW aftercare specialist arrived, she contributed to the initiative by introducing theories of aftercare and training to the state-run system and helping to ensure that aftercare programs and practices were supported, and allowable, through Pennsylvania's Needs Based Budget process.

### **Funding Indigent Defense**

The Joint Policy Statement called for defense attorneys to be more involved in aftercare and re-entry. The Foundation helped launch that effort by providing funding through a grant to the Defender Association of Philadelphia (Defender Association) for public defenders to do more-informed and more-engaged re-entry advocacy. The result was at first informal, as staff at the Defender Association created a state-wide listserv, developed training programs, and consulted in the four JJDPC-funded aftercare counties. JJDPC had begun funding the Defender Association in 2005 to conduct training programs about new rules of juvenile court procedure that the Pennsylvania Supreme Court promulgated that year. MacArthur and JJDPC's combined funds enabled defender leadership in the state—led by Bob Listenbee, the chief of the Defender Association's juvenile unit—to create the Juvenile Defenders Association of Pennsylvania (JDAP).

Improved indigent defense in the state maintained high visibility when Pennsylvania, as a core Models for Change state, participated in the Juvenile Indigent Defense Action Network (JIDAN). Led by the National Juvenile Defender Center, JIDAN was launched by MacArthur

in 2008 to engage leadership in targeted strategies to improve juvenile indigent defense policy and practice. The four core Models for Change sites were joined by four other states, all of whom focused on highly structured “strategic innovations.”

While JIDAN was developing, a “kids for cash” scandal erupted in Luzerne County, Pennsylvania. Over a five-year period, two county judges had accepted bribes of nearly three million dollars in return for keeping a private for-profit detention center filled. More than half of the youth who appeared in Luzerne County juvenile court waived their right to counsel; sixty percent of those who waived their right to counsel were placed. Defense counsel who observed the scandal were silent; others failed to do their job. JJDPCC helped invest in responses to the Luzerne County scandal, one of which was improving indigent defense. This became another road on which the JJDPCC and Models for Change lanes merged to accelerate the pace of reform.

The JJDPCC lane included support for a Model Juvenile Units initiative. JJDPCC issued a request for proposals that led, in the spring of 2011, to JJDPCC approving almost \$250,000 in Justice Assistance Grant money for enhanced indigent juvenile defense in Luzerne and Dauphin Counties. The plan was for these counties to become models that could be replicated across the Commonwealth.

### **Education and Aftercare**

While the Foundation and the JJDPCC recognized the importance of connecting youth to schools when youth returned to their communities from placement, few people were working on re-entry and education. Seeing this as an area that would be both limited and that would provide opportunities, MacArthur supported education re-entry with a grant to Education Law Center-PA (ELC).

The ELC-juvenile probation collaboration was enormously successful. Juvenile probation officers in the state had difficulty getting 500 school districts to accept youth returning from placement. Many schools and school districts created a gauntlet of legal barriers that, upon close examination, proved to be in conflict with the law. ELC attorneys, through numerous training sessions, and case-specific technical assistance by phone and e-mail, taught Pennsylvania juvenile probation officers how to respond to school districts’ legal barriers. ELC published tool kits for probation officers—which gave them essential information about enrollment for basic and special education students. By the end of Models for Change, the information in the tool kit was available as an on-line training.

Training for probation officers had an immediate impact. Probation officers became education advocates. They were much more successful with school enrollment when youth left placement. Observant probation officers began to realize, however, that getting youth back into school was necessary, but not sufficient, to promote success.

Each year, on a Friday morning in November after Pennsylvania's statewide juvenile justice conference, Juvenile Law Center led a gathering of about a hundred leaders and stakeholders who were involved in Models for Change. Jim Rieland, the chief juvenile probation officer from Allegheny County, and Jim Sharp, the chief from Philadelphia, attended the Friday morning session in early November 2006.

Rieland, raising a theme that had emerged at the "all sites" meetings of aftercare counties, stood and spoke of the mixed success of school re-entry. "Probation officers have gotten kids back into school," he said. "The problem is that they're not staying in school. Many schools are refusing to give our youth credit for courses they took in placement. The kids are discouraged, and end up dropping out." Rieland added that career and technical education—what was once called "vocational education"—was also inadequate for youth in placement. If youth didn't return to school, they weren't prepared for the job market.

Jim Sharp echoed Ireland's comments. The two chiefs observed that over one-third of all youth sent to delinquent residential placement in Pennsylvania came from either Allegheny or Philadelphia Counties. They envisioned using the leverage of their county contracts with service providers to get providers to change their curricula. The idea was to transform basic and career and technical education in facilities and to link that education to services that were available in youths' communities.

The idea came together over the next year. Candace Putter, who had been active in Philadelphia's reintegration effort, stepped up to develop what would become the Pennsylvania Academic and Career/Technical Training Project (PACTT).

By the time of the 2007 statewide conference, there was interest in supporting PACTT from MacArthur, the Stoneleigh Foundation in Philadelphia, and the JJDPC. Funding began to flow from all three sources in 2008, with the JJDPC making a long-term commitment. PACTT dramatically transformed education in Pennsylvania's residential facilities. It added scores of programs in facilities that lead to kids receiving industry-recognized certifications for career and technical programs tailored to real jobs in their home communities. Residential facilities were doing industry-aligned skills training in high employment tracks such as computer literacy, culinary arts, indoor/outdoor maintenance, construction, and auto mechanics.

Before Models for Change, these facilities offered a mere handful of out-of-date programs. By March 2012, PACTT's 26 affiliated residential facilities offered 73 high quality career and technical education programs.

## Mental Health/Juvenile Justice Coordination

In developing Models for Change, MacArthur, JJDPC, and Juvenile Law Center quickly saw the need for enhanced coordination between the mental health and juvenile justice systems. Pennsylvania's first Models for Change work plan observed that in model systems,

*... county agencies and public schools would provide services to youth who misbehave as a result of mental health problems; unless the offenses were serious, they would not refer youth to the juvenile justice system. Parents would not feel compelled to have their children arrested so that they could obtain mental health services. Communities would have community-based services that meet the needs of youth with mental health problems. If such youth were arrested, the juvenile justice system would be able to avail itself of mental health services in the community or in placement. Juvenile probation officers and juvenile court judges would be knowledgeable about adolescent development and about adolescent mental health and would have available high quality assessments and access to appropriate services. Youths' privacy rights would be maintained, while agencies would be able to collect and share information appropriately. When youth leave placement, they would have quick access to services to continue the treatment they received while in care.*

There were many components to implementing this vision. Two National Resource Bank members—the National Center for Mental Health and Juvenile Justice (NCMHJJ), a joint initiative of Policy Research Associates (PRA); and the Council of Juvenile Correctional Administrators (CJCA)—led the work in this area for the Foundation. CJCA had had experience with sites elsewhere in the country that used a Comprehensive Systems Change Initiative (CSCI) to change local practice. MacArthur funded CSCI replication efforts in three Pennsylvania counties.

Simultaneously, Pennsylvania leaders recognized the value of the “top down” vision that had been so valuable in aftercare. Stakeholders, led by JCJC's deputy director, Keith Snyder, created a model that would work for Pennsylvania.

## Mental Health/Juvenile Justice Joint Policy Statement

The working group that Snyder convened met quarterly for five years. (Subcommittees met more frequently by conference call or in-person.) A member of the National Resource Bank worked with Snyder and the committee to establish procedures for operating. The membership of the committee was diverse and intended to represent practitioners and policymakers from a variety of system perspectives. Members included representatives from the Department of Public Welfare's Office of Mental Health and Substance Abuse Services (OMHSAS) and the Office of Children, Youth and Families (OCYF)—although within DPW these departments had not often talked to each other about the issues of delinquent youth. Also attending were the association of county mental health/mental retardation programs; the association of juvenile detention centers; representatives from the drug and alcohol provider community; chiefs and deputy chiefs of probation who represented both their own counties and the state association; and a leading family advocate who was based at the Mental Health Association in Pennsylvania. MacArthur funding soon paid for Alan Tezak, a Pennsylvania-based juvenile justice expert with wide experience, to staff the group. John Tuell, a technical assistance provider from MacArthur's National Resource Bank, facilitated a "retreat" for the working group in November 2005.

The first priority was to create a vision document and framework for reform efforts akin to the Aftercare Joint Policy Statement. A subcommittee was tasked with this responsibility. It used as a foundation for the policy statement numerous principles that were set forth in a *Blueprint for Change: A Comprehensive Model for the Identification and Treatment of Youth with Mental Health Needs in Contact with the Juvenile Justice System* by the NCMHJJ. The *Blueprint* set forth principles that would shape, among a range of issues: diversion, service delivery, parent participation, and funding.

The "vision" component of the Joint Policy Statement included a cross-system collaboration to prevent unnecessary involvement of youth with mental health needs or co-occurring substance abuse disorders in the juvenile justice system; allowed for early identification of youth with mental health needs and co-occurring disorders who were in the juvenile justice system; and development of effective, evidence-based services in the least restrictive settings.

"Our goal," the Joint Policy Statement declared, "is to support every Pennsylvania county in developing . . . a comprehensive system that features the key components of identification, diversion, short term interventions and crisis management, evidence-based treatment . . . . Such a system will integrate families into the planning for and delivery of services, and ensure that youth's legal rights are protected at all stages."

The Joint Policy Statement was substantially completed in early 2006. Snyder and Tezak asked members of the committee to take responsibility for signatures from their respective entities, including the JJDPC. The statement that was published in September 2006 had seven signatures, including the Secretaries of the Departments of Public Welfare and Education and the chair of PCCD. Significantly, Wendy Luckenbill, the family advocate, also signed, on behalf of the Mental Health Association in Pennsylvania.

The Joint Policy Statement included 24 goals, covering a) screening and assessment, b) continuum of services, including diversion, evidence-based treatment, and short-term interventions/shelter-care, c) family involvement, d) funding, and e) legal protections. Over the next five years, JJDPC and MacArthur Foundation phased in funding for many of the goals. There was joint funding of screening and assessment and diversion; JJDPC took the lead on expanding the use and availability of evidence-based programs; MacArthur stepped up to support family involvement.

### **Screening and Assessment**

Both the Foundation and the JJDPC invested in mental health screening and assessment. Pennsylvania detention centers had begun using a mental health screen in 2000. This was the Massachusetts Youth Screening Instrument (MAYSI-2). It proved to be so popular that juvenile probation officers sought to use the MAYSI-2 at intake. MacArthur had supported the development of the screen by Tom Grisso of the National Youth Screening and Assessment Project (NYSAP). JJDPC funded a pilot project to expand the use of MAYSI-2 to intake probation. This pilot was overseen by Alan Tezak and supported by NYSAP, the MacArthur funded technical assistance provider. The pilot expanded MAYSI-2's reach to one third of Pennsylvania's county juvenile probation departments.

Pennsylvania had struggled for many years to find an assessment tool that all 67 counties would use. By the end of Models for Change, MacArthur had provided funds for the research and technical assistance that allowed Pennsylvania to introduce the Youth Level of Service (YLS) assessment tool for disposition planning. JJDPC provided the funding to take the YLS to scale. The YLS enables juvenile probation officers to assess youths' risk, needs and strengths, and to develop an individualized case management plan.

### **Diversion**

MacArthur and JJDPC reached the height of collaboration through support of efforts to divert youth from the juvenile justice system. There was already a Diversion Sub-Committee of the Models for Change Mental Health and Juvenile Justice State Team, which in 2010 published

*Guide to Developing Pre-Adjudication Diversion Policy and Practice in Pennsylvania.* JJDPc followed by establishing its own Diversion Subcommittee. It was co-chaired by Philadelphia Deputy District Attorney George Mosee and Juvenile Law Center's Associate Director, Lourdes Rosado. This subcommittee worked to implement the 2010 diversion publication.

The *Diversion Guide*, as it came to be called, was the product of years of effort. It established agreed-upon definitions, provided the statutory basis for diversion, addressed the prevention of net widening, and created a blueprint for effective models. The *Diversion Guide* focused on three diversion domains: diversion by law enforcement, diversion of youth charged with school-based offenses, and diversion of youth by probation at intake.

The work began with attention to diversion by law enforcement. In 2008, MacArthur's Mental Health Action Network, led by the NCMHJJ, worked to create an eight-hour youth-focused supplement to the standard adult Crisis Intervention Team (CIT) training. Allegheny County was Pennsylvania's pilot site. CIT would train officers on how to interact with a youth with a serious mental health crisis and encourages the county to create processes that encourage officers to take these cases to a hospital or mental health facility rather than to jail.

MacArthur Foundation funded two more diversion pilot counties in early 2009. It supported Lehigh County's effort to divert school referrals, and Chester County's focus on diversion by juvenile probation.

The work in Allegheny, Lehigh and Chester Counties was so promising that the JJDPc in 2011 allocated \$1.5 million to support diversion projects in 13 additional counties. In its funding announcement, JJDPc repeatedly invoked the work of Models for Change, the Joint Policy Statement and the *Diversion Guide*. The announcement required pre-adjudication diversion proposals to be consistent with the *Diversion Guide*. JJDPc made clear its goals for its diversion initiative:

*The goal of this funding announcement is to develop and implement a formal protocol to 1) support the development of approaches and practices that will divert appropriate youth from an adjudication of delinquency or conviction for a summary offense; or 2) enhance the quality of existing pre-adjudication diversion policies and practices and ensure pre-adjudication diversion programming is fully incorporated into an overall plan. Applicants should take steps to ensure that their proposed project maintains existing family and school supports and will keep youth involved with their schools and communities.*

JJDPC was explicit about the initiative's objectives, which included:

- Advancing the use of pre-adjudication diversion practices in appropriate cases.
- Creating clear agency, organization, and/or county policies regarding pre-adjudication diversion to incorporate the concept of graduated responses.
- Incorporating Balanced and Restorative Justice Principles into existing and newly created pre-adjudication diversion programs.
- Preventing youth who commit minor offenses (misdemeanors, non-violent offenses, and summary offenses) from penetration into the Juvenile Justice System.
- Identifying and referring youth with behavioral health needs to appropriate services or treatment.

JJDPC in 2011 awarded 13 grants to counties from every corner of the Commonwealth. The \$1.5 million in grant money came from Federal Formula Grant Title II funds. These dollars built explicitly upon the years of work of the Mental Health/Juvenile Justice Workgroup. At a time of dwindling state resources, the initiative was a proclamation of stakeholder—and JJDPC—commitment to the Juvenile Justice System Enhancement Strategy (JJSES) that would become one of Models for Change's legacies.

### **Family Involvement**

Models for Change promoted work in Family Involvement. Clay Yeager, with Foundation support, conducted an array of stakeholder focus groups to identify what was important about family engagement. Yeager and Wendy Luckenbill wrote the 2009 publication, *Family Involvement in Pennsylvania's Juvenile Justice System*. That monograph led the Pennsylvania Council of Chief Juvenile Probation Officers to create a subcommittee for Family Involvement, and to identify family involvement as a focus area of BARJ Implementation in their 2<sup>nd</sup>10-year strategic plan.

### **Models for Change as a Springboard for JJDPC Action**

The Mental Health/Juvenile Justice State Team was a vehicle for Models for Change, but MacArthur wasn't in a position to provide deep funding for each of the 24 activities set forth in the Joint Policy Statement. The Statement was written to allow the Foundation and JJDPC to fund separate, complementary components.

For example, in the division of dollars, Mike Pennington found a way for JJDPC to provide millions of dollars to advance evidence-based practices. JJDPC did this in two ways. First, it funded Penn State's Evidence-based Prevention and Intervention Support Center (EPISCenter) to shape a strategy guided by science to impact delinquency, violence, and

substance use and promote positive youth development. EPISCenter contributed to an enormous increase in state funding for evidence-based programs such as Multi-Systemic Therapy and other programs included in the Blueprints for Violence Prevention. JJDPC's interest—as well as powerful evidence that using evidence-based programs was the right and cost-effective approach—led the Department of Public Welfare to add funding to the mix. Richard Gold, DPW's Deputy Secretary for Children, Youth and Families, enthusiastically made \$15 million available for evidence-based programs. These were start-up dollars, which would create services whose costs would be covered through Medicaid or by state-county cost sharing through Needs Based Budgeting.

Second, JJDPC funded the National Center for Juvenile Justice to create a Quality Improvement Initiative (QII) that would provide training and technical assistance to support better data collection and program improvement for programs that appeared promising. The theory was that this initiative would enable homegrown programs to align with best-practice standards and be in a better position to demonstrate success.

## **Disproportionate Minority Contact**

MacArthur Foundation established early in Models for Change that Disproportionate Minority Contact (DMC) would be a Targeted Area of Improvement in each core state. The Foundation believed that through improved data and intentional and targeted interventions, Models for Change states could promote fair and unbiased juvenile justice systems that treat youth equally regardless of their race or ethnicity.

Pennsylvania was ripe for the partnership. JJDPC had begun addressing DMC even before state attention to race and ethnicity became a federal requirement. In 1992, the federal Juvenile Justice and Delinquency Prevention Act (JJJPA) was amended to include addressing Disproportionate Minority Confinement as a core requirement for federal funding. (Congress amended JJJPA ten years later, changing "Confinement" in DMC to "Contact.") The 2002 law required states to examine potential disproportionate representation at all decision points within the juvenile justice continuum and implement data-based prevention and system improvement efforts to reduce identified disproportionality.

From the beginning, the JJDPC had a DMC subcommittee that had wide system participation and a long and strong history in the state before Models for Change arrived. In the early 1990s, JJDPC's DMC subcommittee was investing \$500,000 a year in Federal Formula Grant Title II funds. A decade later, because of funding cuts, it was investing half

that amount. The arrival of a funding partner was welcome. Dan Elby, the chair, and his DMC subcommittee became an important partner in shaping Models for Change's work in Pennsylvania.

Two challenges immediately confronted the MacArthur-JJDPC collaboration.

The first challenge was to decide where to work. Pennsylvania is a mostly Caucasian state, with large numbers of African-American youth in Philadelphia, and smaller numbers in counties such as Allegheny and Dauphin. There was a growing Hispanic population in a corridor that ran from York County to the northeast corner of the Commonwealth.

The second challenge was to find a way for Models for Change to serve as a catalyst, without undermining a Pennsylvania DMC effort that had a durable, proud history.

Both challenges were addressed by the wise approach taken by the Foundation's DMC team in the state, and by Dan Elby's thoughtful openness to the collaboration. Similarly, Mark Soler, who was then at the Youth Law Center, led MacArthur's DMC efforts in Pennsylvania and from the beginning acknowledged the valuable work that the DMC subcommittee had done for so many years. Soler, who separated from YLC to create the DC-based Center for Children's Law and Policy (CCLP), would assign Mark Schindler and then Dana Shoenberg to Pennsylvania. All CCLP staff worked closely with Elby, JJDPC staff; Soler regularly attended quarterly DMC subcommittee meetings.

Elby, Soler and their teams used data to decide where Models for Change should focus. The National Center for Juvenile Justice ran Relative Rate Index (RRI) data for Pennsylvania counties. Use of the RRI is an important first step to comparing, at different stages of the juvenile justice process, the rate at which minority youth are treated, as compared with white youth. RRI might compare arrest rates, or rates of detention, adjudication, or transfer to criminal court. Of the 17 Pennsylvania counties that had significant racial and ethnic minorities, three emerged through RRI analysis as ripe for attention: Berks County, with its fast-growing Hispanic population; Allegheny County; and Philadelphia County.

Two of the JJDPC-Models for Change collaborations that emerged from those counties highlight how good people, making thoughtful use of data, can tackle a thorny issue like DMC. These are the introduction of an Evening Reporting Center in Berks County, and its spread to other Pennsylvania counties; and the growth of youth-police forums as a model for attacking DMC.

## Evening Reporting Centers

The DMC subcommittee approved Models for Change work in Berks County, which had an overflowing juvenile detention center and high, disproportionate rates of Hispanic youth entering the juvenile justice system. The Berks County effort featured: the leadership of Judge Arthur Grim, who convened a community stakeholder group; translation of court documents and provision of interpreters; and rigorous data analysis. One component, however, drew the support of both the MacArthur Foundation and JJDPC. That was the evening reporting center (ERC).

Chief Juvenile Probation Officer Bob Williams saw the ERC as a key alternative to the county's juvenile detention center. Williams, and a Berks County team led by his deputies Jeff Gregro and Laurie Hague, used MacArthur funds to take tours of day, evening, neighborhood and community reporting centers in Chicago, Baltimore, and Pittsburgh. Gathering what they learned from those visits, the Berks County team developed a model to fit the county's needs. They located Berks County's ERC in a neighborhood where many of the youth in the juvenile justice system lived. ERC staff members provided transportation, linked youth with mentors, and offered education while youth await trial.

Because Models for Change focused on reforming systems rather than developing new programs, the Foundation's policies frowned on program funding. MacArthur made an exception in the case of the Berks County ERC for two reasons. First, Models for Change DMC work was data driven, and data showed that an ERC would be effective. Second, Pennsylvania's Needs Based Budget process meant that the Foundation would only have to provide start-up funding. Williams and other Berks County officials made a commitment to put the ERC into the county's Needs Based Budget request to the state, thus ensuring sustainability.

The ERC succeeded beyond expectations. Serving about 10 youth each night, the ERC contributed to a large reduction in Berks County's use of secure detention. DPW approved Berks' inclusion of the ERC in its Needs Based Budget, so its continuation was assured. ERC youth showed up for trial and were crime free. MacArthur's investment in the vision of county leadership, and in the ERC itself, paid dividends.

Mike Pennington and his staff noticed. In 2011, JJDPC approved grants to five new sites for evening reporting centers. This became an example of the state advisory group using its funds to "diffuse" a project begun by Models for Change. The five new ERCs, if successful, would be folded into their county Needs Based Budget. The MacArthur-JJDPC collaboration around ERCs supported start-up, diffusion and sustainability.

## Youth — Law Enforcement Curriculum

The state advisory group's DMC subcommittee conducted forums in Pennsylvania at which youth and police had the opportunity to talk to and learn from each other. Forum planners envisioned that dialogue between youth and police would change attitudes and behavior.

In 2003, the DMC sub-committee created and supported a Philadelphia Working Group (PWG) to go deeper on DMC issues in the city. The PWG met regularly, and was comprised of a range of city law enforcement and service agencies, community organizations like Congreso de Latinos Unidos, as well as the Defender Association and District Attorney's Office. Indeed, between 15 and 20 agencies met regularly to strengthen the PWG, which in 2005 adopted a policy goal:

*We aim to identify and develop concrete, viable and measurable strategies that will improve the relationship between ethnic minority youth and members of law enforcement. We believe that improving this relationship will lead to less volatile interaction and the cultivation of a spirit of mutual cooperation that will benefit minority youth, law enforcement and our entire community.*

To advance this goal, the PWG developed several city-wide Youth/Law Enforcement Forums that included minority law enforcement officers and youth from across Philadelphia. It also began holding forums in high schools.

The need for a more formal curriculum became apparent, and CCLP's Mark Soler secured MacArthur support for curriculum development. The PWG soon developed and introduced the Youth/Law Enforcement Curriculum for training recruits at the Philadelphia Police Academy. Enrolled at the Academy were not only recruits for the city's police department, but also recruits for the school district police and transit police, as well as several suburban Philadelphia counties.

Both MacArthur and JJDPC's DMC sub-committee provided funds for the curriculum. MacArthur also funded an evaluation component. By the end of 2011, the one-day youth-law enforcement training had become a regular part of the Philadelphia Police Academy training.

As with the other Models for Change TAIs, MacArthur provided dollars to accelerate the pace of reform. JJDPC provided funds to sustain reforms. In 2011, JJDPC awarded Dan Elby's agency slightly more than \$55,000 in Federal Formula Grant Title II funds. These dollars were turned into mini-grants of up to \$6,000 each to communities doing annual Law

## MacArthur-JJDCP Funding Partnership 2004-2010

Area of Work/Project	MacArthur	JJDCP (funding stream)	Other
<b>Aftercare Pilot Counties</b>	<ul style="list-style-type: none"> <li>• 2 projects in one county</li> </ul>	<ul style="list-style-type: none"> <li>• 4 county pilots (DCSI)</li> </ul>	
<b>Leadership</b>	<ul style="list-style-type: none"> <li>• Defender Assc</li> <li>• JDAP</li> </ul>	<ul style="list-style-type: none"> <li>• Aftercare Specialist at Chiefs' Council &amp; DPW (SDFSCA)</li> </ul>	
<b>Indigent Defense</b>	<ul style="list-style-type: none"> <li>• JCJC</li> </ul>	<ul style="list-style-type: none"> <li>• Defender Assc (JAG)</li> <li>• JDAP (JAG)</li> <li>• Model Juvenile Units (JAG)</li> </ul>	
<b>Education &amp; Aftercare</b>	<ul style="list-style-type: none"> <li>• ELC</li> <li>• PACTT</li> </ul>	<ul style="list-style-type: none"> <li>• PACTT (JAG)</li> </ul>	<ul style="list-style-type: none"> <li>• PACTT (Stoneleigh Foundation)</li> </ul>
<b>Screening &amp; Assessment</b>	<ul style="list-style-type: none"> <li>• T.A. on implementation of MAYSI-2 in Probation</li> <li>• T.A. on implementation of YLS</li> <li>• Research on effectiveness of YLS in PA</li> </ul>	<ul style="list-style-type: none"> <li>• 24 county pilot of MAYSI in Probation</li> <li>• Implementation of YLS in County Probation Departments across PA (JAG)</li> </ul>	
<b>Diversion</b>	<ul style="list-style-type: none"> <li>• Development of Guidebook &amp; Principles</li> <li>• 2 pilot counties</li> </ul>	<ul style="list-style-type: none"> <li>• 13 pilot programs (Title II)</li> </ul>	
<b>Family Involvement</b>	<ul style="list-style-type: none"> <li>• Staffing</li> <li>• Focus groups and Monograph</li> <li>• JPO Curriculum Development</li> <li>• Family Resource Guide</li> <li>• Family Forums</li> </ul>	<ul style="list-style-type: none"> <li>• Training Support and Sustainability (JAG)</li> </ul>	
<b>MfC as Springboard (Evidence Based Practices)</b>	<ul style="list-style-type: none"> <li>• Ideas generated in Models for Change MH/JJ State Team</li> </ul>	<ul style="list-style-type: none"> <li>• EPIS &amp; QII (JAG; SVP)</li> </ul>	<ul style="list-style-type: none"> <li>• Expansion of EBP's in counties (DPW-NBB)</li> </ul>
<b>Evening Reporting Center (ERC)</b>	<ul style="list-style-type: none"> <li>• Start-up costs for Berks ERC</li> </ul>	<ul style="list-style-type: none"> <li>• Start-up costs for 5 new ERC's (ARRA &amp; JAG)</li> </ul>	<ul style="list-style-type: none"> <li>• Long-term program funding for all ERC's (DPW-NBB)</li> </ul>
<b>Youth-Law Enforcement Curriculum</b>	<ul style="list-style-type: none"> <li>• Curriculum development</li> <li>• Evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Curriculum development &amp; training (Title II; JABG)</li> </ul>	

### Legend:

- Drug Control and System Improvement Funds (DCSI)
- Federal Byrne Justice Assistant Grant (JAG)
- Safe & Drug Free Schools Act (SDFSCA)
- American Recovery & Reinvestment Act (ARRA)/Stimulus
- Title II of the Juvenile Justice and Delinquency Prevention Formula Grant, (Title II)
- Juvenile Accountability Block Grant (JABG)
- State Violence Prevention Funds (SVP)
- Department of Public Welfare, Needs Based Budget (DPW-NBB)

Enforcement-Minority Youth Forums. (Juvenile Accountability Block Grant funding, which also pass through JJDC for approval, supports the Defender Association's staffing of the Philadelphia Working Group; JABG funds have also supported the development and delivery of the curriculum.)

Once again, the creation of successful models soon led to diffusion across the Commonwealth.

# IV.

## Reflections on the JJDPC- MacArthur Partnership

- Based on discussion, consensus building and analysis of the goals for juvenile justice system improvement in the state, the JJDPC leaders and key stakeholders were open to a joint effort with a major private funder –MacArthur Foundation, through Models for Change – to create greater innovation and sustained attention to the issues that the JJDPC valued, and to meet the goals of the JJDPA and other federal programs.
- The Foundation recognized JJDPC’s leadership role, and it gained enormous synergy by aligning its Models for Change themes with those that the JJDPC had identified as important.
- The alignment of dollars and interests led to regular meetings of cross-system stakeholders from throughout the state; some of these stakeholders had rarely worked together; the collaboration thus built new leadership and new capacities.
- The JJDPC partnership with Models for Change demonstrates how valuable public-private partnerships can be, especially in terms of innovation and major policy shifts. This became true with the development of policy statements as well as programs, such as PACTT and EPISCenter/QII.
- It was important that the Foundation listened to JJDPC voices and supported a combined “top down” approach as well as the local investments in a county-based approach that was at the heart of the original Models for Change vision. It was equally important that the JJDPC was open to a partnership with a national foundation.
- The collaboration was successful in part because governors of both parties over many years had ensured that the JJDPC would be comprised of a multi-disciplinary cross-section of juvenile justice leadership. The JJDPC thus had talented, insightful and confident leaders who felt comfortable with experimentation, were willing to take risks, and who knew how to sustain success.
- Funders have different capacities and restrictions—the collaboration between MacArthur and the JJDPC meant that each could fund in its area of strength, and could help make up for the other’s funding restrictions.

- SAGs have various strengths, capacities and restrictions as well, so it becomes important for partnerships with Foundations to be built on shared principles that meet federal funding requirements to best serve youth at risk, their families and communities.
- Private funders bring unique qualities, experiences and priorities to public efforts that may result in greater emphasis on interdisciplinary work, system reform, evaluation, developmental science, discussion and analysis of the results of the work.
- At their best, foundations can be a catalyst for reforms that can be nurtured and sustained by SAGs.

# V.

## Conclusion: A Partnership Creates the Future

The SAG/Foundation partnership created between JJDPC and the MacArthur Foundation through the Models for Change initiative produced dramatic and lasting results for the youth of the Commonwealth of Pennsylvania. Many visionary leaders from an array of organizations and from all levels of local, county and state government contributed in countless ways to developing a fairer and more effective juvenile justice system for Pennsylvania.

The MacArthur Foundation, and in particular Laurie Garduque, deserve special recognition for supporting a uniquely Pennsylvania approach to addressing these challenges. Their commitment to the principles of Models for Change were strong, but their flexibility in the application of those principles made joint success possible.

While the challenges we faced are unique to our state, the approach and spirit of what was accomplished can be duplicated by any SAG and group of state leaders committed to progress. We hope that our work can inspire and inform others to create a rational, fair, effective and developmentally appropriate juvenile justice system for every state.



# Appendices

# Mental Health/Juvenile Justice Joint Policy Statement

## Commonwealth of Pennsylvania Mental Health / Juvenile Justice Joint Policy Statement

The Mental Health/Juvenile Justice (MH/JJ) Work Group of the Pennsylvania MacArthur Foundation Models for Change Initiative is comprised of representatives from the juvenile justice, mental health, child welfare, drug and alcohol, and education systems as well as families. Our vision is that by 2010 every county will have a comprehensive model system that: (1) prevents the unnecessary involvement of youth who are in need of mental health treatment, including those with co-occurring substance abuse disorders, in the juvenile justice system; (2) allows for the early identification of youth in the system with mental health needs and co-occurring disorders; and (3) provides for timely access by identified youth in the system to appropriate treatment within the least restrictive setting that is consistent with public safety needs. The MH/JJ Work Group's goal is to engender the systems change necessary to make this vision a reality, including minimizing barriers that impede county innovation.

This effort is prompted by the recognition that many youth in contact with the juvenile justice system have significant mental health and co-occurring substance abuse treatment needs. Youth with unidentified and untreated mental health and co-occurring substance abuse needs are unable to participate fully in their families, schools and communities, and are at high risk of becoming involved in offending behavior. Once in the juvenile justice system, untreated youth pose a safety risk to themselves and others. Moreover, they are hindered in their ability to participate in their own rehabilitation, be accountable for their actions, and develop competencies, in accordance with the principles of balanced and restorative justice (BARJ) as incorporated into Pennsylvania's Juvenile Act. In order to promote these purposes, the MH/JJ Work Group is committed to implementing policies that promote the early identification of youth with mental health and co-occurring substance abuse needs, appropriate diversion out of the juvenile justice system, and referral to effective, evidence-based treatment that involves the family in both the planning for and delivery of services. Concurrent with these efforts, the MH/JJ Work Group will work to ensure that safeguards are in place to avoid the misdiagnosis and/or overdiagnosis of youth in the juvenile justice system, as well as to protect youth's legal interests and rights.

The MH/JJ Work Group's commitment to cross-systems collaboration to achieve this vision is further premised on the understanding that no one system bears sole responsibility for these youth. Instead, these youth are the community's responsibility and all policy responses developed for them, on both the state and county level, should be collaborative in nature, reflecting the input and involvement of all child-serving systems as well as family members. This commitment is in line with the Pennsylvania Department of Public Welfare's requirement that counties annually submit Children's Integrated Services Plans.

### **The Fundamentals of a Comprehensive Model System**

Our goal is to support every Pennsylvania county in developing, through a collaborative effort among all child-serving systems and families, a comprehensive system that features the key components of identification, diversion, short term interventions and crisis management, evidence-based treatment and continuity of care/aftercare planning for youth with mental health needs and co-occurring substance abuse issues. Such a system will integrate families into the planning for and delivery of services, and ensure that youth's legal rights are protected at all stages.

### **Screening and Assessment**

1. Mental health and substance abuse screening is available as needed at key transition points in the juvenile justice system to identify conditions in need of immediate response.
2. Instruments used for screening and assessment are standardized, scientifically-sound, contain strong psychometric properties, and demonstrate reliability and validity for identifying the mental health and substance abuse treatment needs of youth in the juvenile justice system.
3. Safeguards ensure that screening and assessment is used to divert youth out of the juvenile justice system and into mental health and/or substance abuse treatment when appropriate, and information and/or statements obtained from youth are not used in a way that violates their rights against self-incrimination.
4. All youth identified as in need of immediate assistance receive emergency mental health services and substance abuse treatment.
5. All youth identified as in need of further evaluation receive a comprehensive assessment to determine their mental health and substance abuse treatment needs.
6. Youth are not subjected to unduly repetitive screening and assessment.
7. All personnel who administer screening and assessment instruments are appropriately trained and supervised.

### **Continuum of Services**

#### *Diversion*

8. Youth and their families have timely access to evidence-based treatment in their communities, such that youth do not have to enter the juvenile justice system solely in order to access services or as a result of mental illness and co-occurring substance abuse disorders.
9. Diversion mechanisms are in place at every key decision-making point within the juvenile justice continuum such that youth with mental health needs and co-occurring substance abuse disorders are diverted from the juvenile justice system whenever possible and when matters of public safety allow, including into the dependency system as appropriate.
10. Juvenile justice professionals, including judges, prosecutors, defense attorneys and probation officers, receive training on how youth with mental health and co-occurring substance abuse disorders can be diverted into treatment.
11. Youth who have been diverted out of the juvenile justice system are served through effective community-based services and programs.
12. Diversion programs are evaluated regularly to determine their ability to effectively and safely treat youth in the community.

### Short-Term Interventions and Crisis Management

13. Secure detention facilities and shelter care programs have services adequate to provide short-term interventions and crisis management to youth with mental health needs and co-occurring substance abuse disorders, in order to keep them safe and stable while awaiting a permanent placement.

### Evidence-Based Treatment

14. Assessment data is used to develop comprehensive treatment plans for adjudicated youth as part of their disposition.
15. Representatives from all relevant child serving systems (i.e., juvenile justice, child welfare, mental health, substance abuse, education, etc.) and families engage in the development and implementation of comprehensive treatment plans.
16. If diversion out of the juvenile justice system is not possible, youth are placed in the least restrictive setting possible with access to evidence-based, developmentally-appropriate treatment services. Such services are tailored to reflect the individual needs and variation of youth based on issues of gender, ethnicity, race, age, sexual orientation, socio-economic status, and faith.
17. Qualified mental health and substance abuse personnel are in place to provide treatment to youth in the juvenile justice system.
18. In-state capacity provides support for evidence-based treatment programs and their proliferation.
19. Mechanisms are in place to continually measure and evaluate the effectiveness of various treatment modalities, as well as the quality of service delivery.

### Continuity of care/aftercare

20. Representatives from all relevant child serving systems (i.e., juvenile justice, child welfare, mental health, substance abuse, education, etc.) and families are engaged in the development and implementation of comprehensive treatment plans to ensure continuity of care as youth move to new juvenile justice placements, appropriate aftercare when youth are released from placement to the community, and to aid in the youth's transition to adulthood.

### **Family Involvement**

21. Families engage with all relevant child-serving systems in the development and implementation of comprehensive treatment and aftercare plans for their children.
22. All services are child-centered, family focused, community-based, multi-system and collaborative, culturally competent and offered in the least restrictive/intrusive setting as possible, and these CASSP principles are followed in all treatment planning and implementation.

## Funding

23. Sustainable funding mechanisms are identified to support all services identified above as comprising the continuum of care, particularly for screening and assessment, evidence-based treatment practices, and cross-training of professionals from the various child-serving systems.

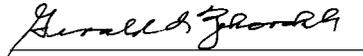
## Legal Protections

24. Policies control the use of pre-adjudicatory screening and/or assessment information, as well as information gathered during post-disposition treatment, to ensure that information is not shared or used inappropriately or in a way that jeopardizes the legal interests of the youth as defendants, including their constitutional right against self-incrimination.

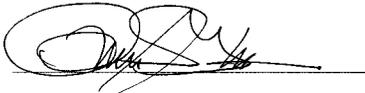
September 2006



Hon. Estelle B. Richman, Secretary  
Pa. Department of Public Welfare



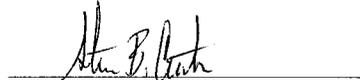
Dr. Gerald L. Zahorchak, Secretary  
Pa. Department of Education



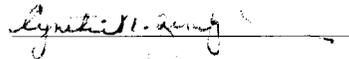
Hon. Arthur E. Grim, Chairman  
Pa. Juvenile Court Judges' Commission



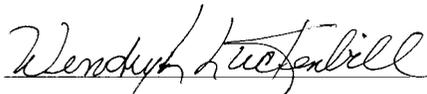
Hon. Walter M. Phillips, Jr., Chairman  
Pa. Commission on Crime and Delinquency



Steven B. Custer, President  
Pa. Council of Chief Juvenile  
Probation Officers



Cynthia Zembryki  
Mental Health/Mental Retardation Program  
Administrators Association of Pa.



Wendy Luckenbill, Children's Policy Coordinator  
Mental Health Association in Pa.

Note: This policy statement is based, in part, on many of the principles and recommendations found in *Blueprint for Change: A Comprehensive Model for the Identification and Treatment of Youth with Mental Health Needs in Contact with the Juvenile Justice System* (Draft January 2006) developed by the National Center for Mental Health and Juvenile Justice at Policy Research Associates, Inc. with support from The Office of Juvenile Justice and Delinquency Prevention. *BLUEPRINT FOR CHANGE* can be found at [www.ncmhjj.com](http://www.ncmhjj.com).

# Sample RFP: Aftercare Pilot Counties

**DATE:** August 19, 2004

**SUBJECT:** Availability of Funds to Develop Model Aftercare Approaches for Juvenile Offenders

**TO:** Juvenile Court Judges; Chief Juvenile Probation Officers; and County Commissioners

**FROM:** Charles C. Gray, Director  
Office of Juvenile Justice and Delinquency Prevention

The Pennsylvania Commission on Crime and Delinquency (PCCD) announces the availability of \$1.8 million over three years in federal Drug Control and System Improvement (DCSI) grant funds to support the development of model aftercare approaches, which will inform the development of statewide training on the model approaches. **Applications are being sought from counties that can provide documentation of their strong commitment to aftercare planning and offender reintegration and that are interested in serving as pilot counties under this funding initiative. Juvenile Courts/Juvenile Probation Departments will be the lead county agencies for this initiative but must be willing to partner with other county agencies/organizations in developing model aftercare approaches.** The enclosed guideline outlines the activities and funding requirements for this development and training initiative. Applicants must meet *all* requirements contained therein.

**PCCD has committed to a three-year (36-month) timeframe for this initiative and anticipates selecting three counties as pilot sites, each receiving up to \$200,000 per year.** *Successful applicants that are awarded funding under this announcement will receive three years of funding, contingent upon the availability of federal funds and satisfactory performance of each year's project activities.*

**Applications must be postmarked no later than September 27, 2004 or hand delivered to PCCD by close of business (5:00 p.m.) on September 27, 2004.** Successful applications will be acted upon at the December 2004 PCCD meeting in Harrisburg, Pennsylvania. Subgrants awarded at this meeting will have start dates of January 1, 2005. **Applications postmarked or hand delivered after close of business September 27, 2004 will be administratively rejected and will not be reviewed.**

This is one of several Funding Guideline Announcements being issued by PCCD in 2004. Current funding announcements can be found at PCCD's website ([www.pccd.state.pa.us](http://www.pccd.state.pa.us)).

Enclosure

**PENNSYLVANIA COMMISSION ON CRIME AND DELINQUENCY**  
**DEVELOPMENT OF COMPREHENSIVE MODEL AFTERCARE APPROACHES**

**Deadline for Submission of Applications: Postmarked by September 27, 2004  
or Hand Delivered by Close of Business (5:00 p.m.) on September 27, 2004**

**Preface:**

The Pennsylvania Commission on Crime and Delinquency (PCCD) is now accepting **subgrant applications** to support the implementation of model aftercare approaches in pilot sites, which will inform the development of statewide training on model approaches. **Counties will be selected on the basis of a competitive review of their proposals—which will be required to include information that documents a strong commitment to aftercare planning and offender reintegration.** Counties selected as pilot sites will receive funding to support planning, development, and demonstration of comprehensive aftercare approaches for juvenile offenders. Successful approaches will be the focus of statewide training to advance best practices for aftercare planning, supervision and services across the Commonwealth. Funds to support pilot sites and statewide training will be made available through the federal Drug Control and System Improvement (DCSI) Program.

**NOTE: Since these funds are restricted to the implementation of comprehensive aftercare approaches that will be used for statewide training, there is no match required under this funding announcement.**

**Background:**

In its 2003 Juvenile Justice and Delinquency Prevention Plan to the Governor, PCCD's Juvenile Justice and Delinquency Prevention Committee (JJJPC) identified quality aftercare as a core part of an enhanced juvenile justice system. The Governor accepted that view, and asked the JJJPC to coordinate planning for an aftercare initiative with the purpose of promoting high-quality aftercare in counties across the Commonwealth. The resultant aftercare workgroup, comprised of state and local juvenile justice system stakeholders, has identified a broad strategy for improving aftercare. It is that strategy which forms the basis for this solicitation.

In particular, the JJJPC intends to devote sustained attention to Pennsylvania's aftercare initiative by committing available resources for the next several years. The initiative will be supported through three funding streams:

- **Drug Control and System Improvement (DCSI) dollars, which form the basis for this solicitation**, will support pilot counties in their efforts to develop plans for enhancing existing aftercare supervision/services along the lines set forth by the aftercare workgroup, and for implementing that plan within the duration of a three-year grant to achieve the goal of developing models that can be used for training other Pennsylvania counties.
- Safe and Drug Free Schools and Communities Act dollars, which will support the Department of Public Welfare’s aftercare efforts in the YDC/YFC system and additional policy positions at the state level.
- John D. and Catherine T. MacArthur Foundation dollars, which will support technical assistance in the state, including helping pilot counties selected under this solicitation improve educational access for youth returning from placement and indigent juvenile defense after disposition. The Foundation is also funding the National Center for Juvenile Justice to help pilot counties develop, implement and measure their aftercare approaches.

The ultimate goal of Pennsylvania’s aftercare initiative is to ensure that by 2010 every Pennsylvania juvenile offender committed to an out-of-home placement has the benefit of effective aftercare planning, supervision and services designed to ensure a successful transition back to the community.

**Agencies Eligible for Participation:**

**Eligible applicants are restricted to county governments that can demonstrate a strong commitment to aftercare planning and offender reintegration—with county juvenile courts/juvenile probation departments serving as the lead agencies for this funding initiative.**

**Goals and Objectives:**

The goal of this announcement is to implement comprehensive approaches to aftercare in three jurisdictions that can be used as models for replication in other counties throughout the Commonwealth. Specific objectives of this initiative include the following:

- Establish three pilot sites that will develop and implement comprehensive plans to enhance aftercare planning, supervision, and services.
- Produce specific documentation on effective components and implementation strategies of model aftercare approaches developed under this initiative.
- Provide statewide training for juvenile probation officers and residential placement providers on these model aftercare approaches.

In order to achieve the first objective, the JJDC has stipulated that **pilot sites must agree to incorporate/address all of the basic elements of a comprehensive approach to aftercare outlined below**. Probation departments submitting applications must describe the degree to which their current aftercare planning, supervision and services meet the basic aftercare elements

noted below and must prepare a preliminary plan for how all of these basic elements will be put into operation at the local level.

In order to achieve the second objective, **pilot sites must agree to work with the Juvenile Court Judges' Commission (JCJC)—as well as the National Center for Juvenile Justice (NCJJ)—and other MacArthur Foundation-funded technical assistance providers—who will assist pilot sites in their efforts to develop, implement and measure the impact of their aftercare initiatives and to address other relevant areas, such as improving access to educational services and indigent defense after disposition.**

In order to achieve the third objective, the PCCD intends to make an award to an entity with expertise in developing training materials. **Applicants must agree to work with this training materials entity and must designate a staff person to serve as a member of a committee charged with identifying exemplary aftercare practices and methods for implementing these practices at the local level.**

Please note that priority will be given to applications that take full advantage of all existing funding streams for services to children and youth.

#### **BASIC ELEMENTS OF A COMPREHENSIVE APPROACH TO AFTERCARE PLANNING, SUPERVISION AND SERVICES**

**The basic elements of a comprehensive approach to aftercare include the following, all of which *must* be incorporated/addressed in comprehensive aftercare approaches developed by pilot sites funded under this initiative:**

- **Active court/probation oversight during the placement phase.** Juvenile courts and probation departments must take an active role as involved consumers of residential placement services. The courts retain ultimate responsibility for every juvenile placed in residential facilities, which requires that courts have a clear idea at all times of what services are being provided by the residential facility and why, as well as how those services fit with post-placement plans and expectations for the juvenile.
- **Frequent, regular probation visits to placement facilities.** Probation site visits to placement facilities are an essential element of quality aftercare. Site visits are necessary to ensure that the initial treatment plan developed for the juvenile is consistent with post-placement expectations and to monitor the juvenile's progress in meeting treatment goals as planned—as confirmed by regular contact with placement facility staff. Without regular, in-person visits to placement facilities, neither true oversight nor accurate monitoring is possible.
- **Early, integrated planning for re-entry.** Every juvenile in residential placement must have a probation-driven aftercare plan that reflects individualized post-release goals and strategies for achieving them. The plan must be drafted as early in the placement phase as possible, and in consultation with placement facility staff, so that treatment can be delivered with post-

placement goals in mind. The residential facility's treatment plan must be integrated with the aftercare plan, so that the treatment prepares the youth for life after confinement.

- **Transitioning groundwork.** Courts and probation departments are solely responsible for determining when juveniles are ready to return home—and when their homes and communities are ready to receive them. Meeting this responsibility requires active investigation, preparation, and testing.
- **Post-release monitoring.** Safe re-entry following release from residential placement calls for appropriate supervision, the intensity and duration of which should be based on an assessment of needs and risks. Accordingly, probation officers with aftercare responsibilities need to have more frequent contacts with their aftercare clients and thus should expect that they will need to devote more of their time to their aftercare clients.
- **Engagement and reintegration.** Juveniles released from residential placement facilities should be engaged immediately in structured activities designed to reintegrate them with the law-abiding community. Every effort should be made to connect juveniles with community resources and recruit community help in the reintegration process. For example, post-release community service obligations may be imposed as a means of facilitating connection between the juvenile and the community.
- **A continuum of services and supports.** All juveniles released from placement facilities should have access to needed services and support—such as, substance abuse monitoring and treatment, mental health counseling and therapy, educational support, and job training and/or employment counseling. Counties should have the capacity to provide these needed services/supports—either directly or by referral to appropriate county agencies and community organizations. Counties are encouraged to refer juveniles on aftercare caseloads to existing appropriate prevention programs, such as those model programs identified as *Blueprints for Violence Prevention* that are appropriate for a delinquent population, such as Functional Family Therapy, Multi-dimensional Treatment Foster Care, or Multi-Systemic Therapy. A summary of these *Blueprints* programs is available on the PCCD website ([www.pccd.state.pa.us](http://www.pccd.state.pa.us)) and can be accessed by clicking on FUNDING on the left hand side of the home page.
- **A system of graduated incentives and consequences.** A range of positive incentives to encourage compliance must be available as part of the aftercare plans for juveniles re-entering the community following release from placement. The strengths/skills of all juveniles committed to residential placement should be identified as early as possible during placement. Activities based on these strengths/skills should be used as incentives for successful re-entry into the community. Additionally, in order to respond consistently and effectively to violations of aftercare conditions, courts and probation departments need an array of sanctions other than re-institutionalization—including, in appropriate cases, short-term detention.

- **JCJC Aftercare Standards.** In addition to the above, any strategy for improving aftercare must further the principles set forth in the Aftercare Standards adopted by the JCJC. These standards are available on the JCJC website ([www.jcjc.state.pa.us](http://www.jcjc.state.pa.us)). **Applicants must prepare a preliminary plan for incorporating/addressing the aforementioned basic elements within a comprehensive approach for aftercare planning, supervision, and services that includes the provision for institutionalizing the following activities:**
- Preparation of a *single plan developed through collaboration between juvenile probation officers and residential treatment staff* that integrates treatment and aftercare activities within 30 days of placement.
- Establishment of a procedure for systematic oversight to ensure that placement facilities link their “supervision, care and rehabilitation” within the facility to the plan for aftercare supervision, services, and supports in the community.
- Refinement of the plan as the juvenile approaches release from the placement facility to include post-release provisions that identify services to be provided and planned conditions of supervision.
- Utilization of a standardized needs/risks assessment and reassessment protocol for determining the needs and risks of juveniles at various points in the system (e.g., at placement and prior to release from placement).
- Incorporation of balanced and restorative justice goals in the plan—with an emphasis on enhancing the juvenile’s identified strengths.
- Establishment of formal linkages with related county agencies—such as children and youth, drug and alcohol, mental health, schools, etc.—to ensure that services and supports addressing identified needs and risks are available and accessible to juveniles following release from placement facilities; special attention should be paid to developing appropriate use of services through the Department of Public Welfare’s Integrated Children’s Services Plan.

**Award Information:**

PCCD anticipates making *three awards under this announcement for up to \$200,000 per year (match-free) for three years*. **Successful county applicants that are awarded funding will receive three years of funding of up to \$200,000, contingent upon the availability of federal funds and satisfactory performance of each year’s project activities.**

Three counties that have already demonstrated a strong commitment to aftercare planning and offender reintegration will be selected as pilot counties for the purposes of this funding initiative. **The selection of these pilot counties will be made on the basis of a competitive review of a preliminary plan for developing and implementing a comprehensive approach to aftercare, which will include consideration of the following:**

- A description of how the county currently performs aftercare planning and supervision in terms of addressing or incorporating the basic aftercare elements referenced on the previous page—especially the elements of “court/probation oversight” and “frequent probation visits to placement facilities”—and including a recent history of effort in delivering high-quality aftercare that identifies any existing gaps in planning and supervision or services and supports. *Applicants must provide information on the number of juveniles currently in placement and on aftercare supervision; the number of Juvenile Probation Officers with placement/aftercare supervision caseloads and the size of current caseloads; the array of services provided by placement facilities in which county juvenile offenders are currently placed and the degree to which these services ‘fit’ with post-placement plans and expectations for these offenders; and the frequency of probation visits to placement facilities.*
- A preliminary plan for developing and implementing a comprehensive and collaborative approach to aftercare that incorporates/addresses the basic elements described above. *Applicants must include letters of support from other agencies that would be represented on a county aftercare workgroup and/or a list of all agencies that will be engaged in the effort.*
- A statement indicating the county’s willingness to accept technical assistance and other support from NCJJ, in collaboration with JCJC, and other MacArthur grantees in refining and implementing their plans.
- Designation of an individual to participate on a committee that will inform statewide training on model aftercare approaches developed under this announcement. *Applicants should provide the name/title, mailing address, telephone number, fax number and email address (if available) of the individual.*
- A statement indicating the county’s willingness to use the Case Closing Form developed as part of the Balanced and Restorative Justice Project, which will be augmented to capture measures specific to aftercare. *The current case closing form is available on the PCCD website ([www.pccd.state.pa.us](http://www.pccd.state.pa.us)) and can be accessed by clicking on FUNDING on the left hand side of the home page.*
- A statement indicating the county’s willingness to cooperate with NCJJ and JCJC in order to document and assess pilot planning and implementation activities and measure the performance of those activities.
- An anticipated plan for continuation of model approaches after termination of PCCD support, in order to ensure their future sustainability; this plan must contain a concrete statement of how any new services provided under the PCCD grant funding will be financed after termination of PCCD support.

**Required Activities:**

Activities to be completed over the course of three years include—but are not limited to—the following:

**Year One: Development and Initial Implementation**

- Assemble a local aftercare workgroup to oversee effort.
- Refine the preliminary plan for improving aftercare planning, supervision, and services in keeping with the comprehensive aftercare strategy outlined above (with JCJC, as well as NCJJ and other MacArthur Foundation grantees).
- Develop implementation strategy.
- Develop performance and intermediate outcome measurement plan (with assistance from NCJJ, in collaboration with JCJC, and other MacArthur Foundation grantees as appropriate).
- Begin implementation of aftercare plan.
- Participate with NCJJ in documenting planning and implementation phases.
- Begin to collect performance and intermediate outcome measures; e.g., keep track of number of juveniles in placement and on aftercare supervision; number of contacts/visits; completion of plans; and case closing information.
- Participate on training development committee.

**Year Two: Full Implementation**

- Fully implement plan.
- Review progress of plan implementation and NCJJ recommendations for mid-course corrections.
- Revise comprehensive strategy/plan and implement changes.
- Participate with NCJJ, in collaboration with JCJC, in efforts to assess performance (in terms of specific performance measures) and intermediate outcomes of pilot efforts.
- Continue to collect performance and intermediate outcome data.
- Participate on training development committee.

**Year Three: Refinement and Continuation**

- Review performance indicators of aftercare strategy and intermediate outcomes of closed aftercare cases.
- Refine strategy and make adjustments.
- Continue to collect performance and intermediate outcome data.
- Participate on training development committee.
- Plan for sustainability.

**Eligible Expenses:**

**Eligible project-related expenses, which must be fully described in the budget narrative and related to project activities, include—but are not limited to—the following:**

- Purchasing of assessment tool(s) for use in identifying strengths, needs and risks of juveniles released from placement facilities.
- Reimbursement for related expenses (e.g., mileage and meals) incurred during facility visits.
- Purchasing of equipment/supplies needed in order to carry out the required activities.
- Additional staff resources, to ensure that the county has sufficient capacity to develop a comprehensive aftercare services approach.

By federal regulation, funds may not be used for land acquisition, construction and/or renovation.

Any equipment purchases or personnel costs must be integral to the project.

Applicants must be able to certify that they are not supplanting existing equipment, personnel and/or program services.

***Also, all purchases or contracts exceeding \$10,000 must be competitively bid. Sole source purchases or contracts will not be allowed.***

Additionally, it should be noted that PCCD is not liable for any costs incurred prior to the issuance of a subgrant award.

**Anticipated Impacts:**

**Activities completed under this funding initiative *must* have the potential to result in the following anticipated impacts:**

- Identification and documentation of model aftercare approaches, such as the following practices being institutionalized:
  - Earlier and better coordinated planning.
  - Facility visitation policy.
  - Enhanced family contacts.
  - Enhanced aftercare services included in needs-based budget.
  - School liaison, support and advocacy.
  - Workplace liaison, support and advocacy.
  - Housing liaison, support and advocacy.
- Increase in knowledge regarding performance indicators and intermediate outcomes of comprehensive aftercare approaches, such as the following:
  - Timely development of plans.
  - Stepped-up family visitation.
  - Enhanced family participation in planning for reintegration.

- Reductions in length of placement stays.
  - Timely readmissions to school.
  - Timely engagement in follow-up treatment services.
  - Reductions in new adjudications for youth on aftercare supervision.
  - Better prepared youth.
- Expansion of knowledge base regarding model aftercare approaches via statewide training.
  - Replication of model approaches statewide.

**Performance Indicators and Intermediate Outcome Measures**

**Applicants must agree to work with NCJJ and JCJC in developing performance indicators and outcome measures.** NCJJ and JCJC will serve as resources to pilot counties in this area. NCJJ, in collaboration with JCJC, will:

- (1) work with each pilot county to finalize a comprehensive aftercare plan outlining specific goals, objectives, practices and outcomes—as well as an implementation and evaluation strategy;
- (2) provide descriptions of the planning and implementation efforts in each pilot county;
- (3) help pilot counties determine how their performance and intermediate outcomes could be measured and augment the case closing form to include aftercare measures; and
- (4) provide an assessment of the intermediate outcomes of pilot county efforts at 18 months and at the end of year three.

**Selected pilot counties will be required to collect and report performance and intermediate outcome data to NCJJ and submit quarterly progress reports to PCCD that—at a minimum—must include the following information:**

- Number of juveniles placed during the quarter.
- Number of juveniles released from placement and put on aftercare supervision during the quarter.
- Number of aftercare supervision cases closed during the quarter.

***NOTE: For future reference, the Subgrant Quarterly Progress Report (PCCD-202-5/01) is available on the PCCD website and can be accessed by clicking on FORMS on the left hand side of the home page and then on 'Grant Forms'.***

## **Scoring Criteria**

### **❖ Description of Current Situation (35 points)**

Applicants must clearly describe current policies and practices regarding aftercare planning, supervision, services and supports, in terms of the extent to which these policies and practices address or incorporate the basic aftercare elements specified earlier in this funding announcement—*especially the elements of “active court/probation oversight” and “frequent probation visits to placement facilities.”* Applicants must include a recent history of effort in delivering high-quality aftercare, noting any existing gaps in terms of the basic aftercare elements listed previously in this announcement. *This description must provide the following specific information:*

- *the number of youth in placement; the number of youth on aftercare supervision;*
- *the number of probation officers with placement/aftercare supervision caseloads and the size of those caseloads;*
- *the types of services provided by the placement facilities in which juvenile offenders from the applicant county are currently placed and the degree to which these services ‘fit’ with post-placement plans and expectations for juveniles from the applicant county currently in placement at these facilities; and*
- *the frequency of probation site visits to these placement facilities.*

### **❖ Project Narrative/Relationship of Project to Sustainability (45 points)**

Applicants must clearly describe a preliminary plan for developing and implementing a comprehensive and collaborative approach to aftercare that addresses or incorporates *all* of the basic elements referenced earlier in this announcement. *Applicants must provide a projected plan for continuation of the model aftercare approaches after termination of PCCD support.* Letters of commitment from other county agencies and organizations or a list of agencies (individuals) that will be engaged in a collaborative effort to develop model aftercare approaches *must* be included. *Applicants must also provide a statement that indicates their willingness to work with PCCD’s partners in this aftercare initiative—which include JCJC, NCJJ, the MacArthur Foundation, and the training entity selected by PCCD to assist with this initiative.*

### **❖ Budget Narrative (20 points)**

Applicants must provide a narrative description of each budget category that includes sufficient information and detail to explain how the estimated costs were determined. The budget narrative must describe the relationship between the budgeted costs and the proposed development and implementation of model aftercare approaches. *Applicants must submit individual budgets and budget narratives for EACH of the three 12-month periods of funding for which they are eligible under this initiative.*

### **Application Procedures:**

**Applications must be submitted on the PCCD subgrant application form (version 8/03),** which is available for downloading on the PCCD website ([www.pccd.state.pa.us](http://www.pccd.state.pa.us)) and can be accessed by clicking on the FORMS heading on the left hand side of the home page and then on ‘Grant Forms’. To be considered, the application must respond to *all* of the DCSI subgrant

application requirements as outlined in PCCD's *Applicant's Manual* (which is also available on the PCCD website under 'Grant Forms')—with the exception of the two charts noted in the box below, which are not required. In addition to the application, a one-page summary of the proposed effort must be submitted.

**NOTE: APPLICANTS SHOULD NOT INCLUDE THE FOLLOWING CHARTS IN THEIR APPLICATIONS: Chart I-A (Project Assessment Plan) and Chart I-B (Activity Plan And Schedule).**

**Mailing Information:**

Applications must be postmarked by September 27, 2004 or hand delivered by close of business (5:00 p.m.) on September 27, 2004 and either mailed or sent via express delivery services to:

Pennsylvania Commission on Crime and Delinquency  
Attention: Grants Management

Via U.S. Mail:

P.O. Box 1167  
Harrisburg, PA 17108-1167

Via Express Delivery Services:

3101 North Front Street  
Harrisburg, PA 17110 \*

\*Since staff is not available at this location on Saturday and Sunday, applications should not be sent by Express Mail or express delivery services on Friday. Use U.S. Mail when mailing over a weekend, as long as the document is postmarked by September 27, 2004 or hand delivered by close of business (5:00 p.m.) on September 27, 2004.

**Contact Person:**

For application materials or for further information concerning this announcement, please contact Mike Pennington at extension 3031, at either (717) 787-8559 or (800) 692-7292.

This funding guideline has been posted on the PCCD website ([www.pccd.state.pa.us](http://www.pccd.state.pa.us)).

The Pennsylvania Commission on Crime and Delinquency is an equal opportunity employer.

# Resources

## Publications and Products

- Models for Change  
[www.modelsforchange.net](http://www.modelsforchange.net)
- Joint Policy Statement on Aftercare  
[www.modelsforchange.net/publications/153](http://www.modelsforchange.net/publications/153)
- Joint Policy Statement on Mental Health/Juvenile Justice  
[www.modelsforchange.net/publications/142](http://www.modelsforchange.net/publications/142)
- Family Involvement in Pennsylvania’s Juvenile Justice System  
[www.modelsforchange.net/publications/238](http://www.modelsforchange.net/publications/238)
- Guide to Developing Pre-Adjudication Policy and Practice in Pennsylvania  
[www.modelsforchange.net/publications/309](http://www.modelsforchange.net/publications/309)

## Organizations

- John D. & Catherine T. MacArthur Foundation  
[www.macfound.org](http://www.macfound.org)
- Pennsylvania Commission on Crime and Delinquency  
[www.pccd.state.pa.us](http://www.pccd.state.pa.us)
- Juvenile Law Center  
[www.jlc.org](http://www.jlc.org)

# Acknowledgments

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PCCD's Juvenile Justice and Delinquency Prevention Committee is an unusual group. The chair, Dr. Ron Sharp, has created an ego-free zone in which the Commonwealth's leading juvenile justice stakeholders share information and help set direction for the Commonwealth. Ron from the beginning was an enthusiastic supporter of the JJDPC-MacArthur partnership. Mike Pennington was the JJDPC staff director who led the Committee and managed a solid, enthusiastic JJDPC staff. Together they made the SAG-Foundation partnership come alive. I am also grateful to Mike Pennington for reading an earlier draft of this manuscript.

The Pennsylvania collaboration described here could not have taken place without the leadership of Jim Anderson, Keith Snyder and Rick Steele, of the Juvenile Court Judges' Commission; and of a series of leaders of the Pennsylvania Council of Chief Juvenile Probation Officers that began with Allegheny County's Jim Rieland. The judges and the chiefs helped turn a large state into a village.

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I alone am responsible for any errors that vigilant readers might find.

Robert G. Schwartz

April 2013

**ModelsforChange**  
Systems Reform in Juvenile Justice

[www.modelsforchange.net](http://www.modelsforchange.net)

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[www.macfound.org](http://www.macfound.org)