

A SPECIAL SPONSORED SECTION OF INNOVATIONS IN AMERICAN GOVERNMENT

The Innovations in American Government Awards

INTRODUCING THE 2008 WINNERS

ACQUISITION FUND

DIVISION OF YOUTH SERVICES

GETTING READY: KEEPING COMMUNITIES SAFE

GLOBAL MARITIME DOMAIN AWARENESS

INTELLIGENCE COMMUNITY CIVILIAN JOINT DUTY PROGRAM

LEARN AND EARN

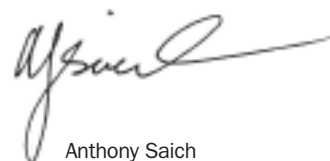
2008

FOR OVER 20 YEARS, the Innovations in American Government Awards Program has celebrated the most creative and successful public initiatives across the United States. These award-winning programs have become national models, replicated by agencies at all levels of government.

Transferring knowledge and sharing best practices are key to responding efficiently and effectively to today's daunting challenges. No one, no matter how determined, will be able to solve the mortgage crisis, foster energy independence, or revitalize our economy, alone. Solutions require the collective talents of public sector leaders. Nowhere is collaboration more essential now than on our national stage, where the next president faces the challenge of uniting the country.

Notably, all six of this year's Innovations Awards winners have adopted a collaborative approach to problem solving, and have built comprehensive solutions on this solid foundation. Two of them, both federal programs, tackle barriers to information sharing, one within the intelligence community, and the other on the high seas. The other winning programs work in teams to support and rehabilitate offenders, help students pursue higher education, and ensure affordable housing, respectively. The achievements of each of these initiatives provide solid evidence that partnership and cooperation are the crucial ingredients for success across all policy areas.

Please join us in recognizing these distinguished programs and the devoted public servants behind them, whose dedication and ability to dream made them a reality. Work like theirs inspires and reassures us that we are ready to take on any challenge, in this year, and for years to come.



Anthony Saich
Director, Ash Institute for Democratic
Governance and Innovation



Stephen Goldsmith
Director, Innovations in American
Government Awards

The Innovations Award Winners

- ACQUISITION FUND** 4
CITY OF NEW YORK, NEW YORK—A \$230 MILLION PARTNERSHIP FINANCES THE PURCHASE OF LAND AND BUILDINGS FOR AFFORDABLE HOUSING, ALLOWING DEVELOPMENT OF MODERATELY PRICED DWELLINGS IN ONE OF THE WORLD'S MOST COMPETITIVE MARKETS.
- DIVISION OF YOUTH SERVICES** 5
STATE OF MISSOURI—COUNTERING THE "GET-TOUGH" APPROACH TO JUVENILE JUSTICE WITH SMALL, SUPPORTIVE TREATMENT CENTERS, MISSOURI HAS, SINCE 1970, TRANSFORMED GENERATIONS OF JUVENILE DELINQUENTS INTO PRODUCTIVE, LAW-ABIDING CITIZENS.
- GETTING READY: KEEPING COMMUNITIES SAFE** 6
STATE OF ARIZONA—TAKING REHABILITATION SERIOUSLY, ARIZONA'S DEPARTMENT OF CORRECTIONS BEGINS PREPARING INMATES, FROM DAY ONE OF THEIR INCARCERATION, FOR THE DAY OF THEIR RELEASE AND RE-ENTRY. THIS APPROACH TRANSFORMS PRISON, AS WELL AS PRISONER.
- GLOBAL MARITIME DOMAIN AWARENESS** 7
UNITED STATES DEPARTMENT OF TRANSPORTATION—USING EXISTING TECHNOLOGY THE U.S. DEPARTMENT OF TRANSPORTATION'S VOLPE RESEARCH CENTER DEVELOPED A GLOBAL TRACKING SYSTEM FOR SHIPS THAT ENHANCES SAFETY AND SECURITY.
- INTELLIGENCE COMMUNITY CIVILIAN JOINT DUTY PROGRAM** 8
OFFICE OF THE DIRECTOR OF NATIONAL INTELLIGENCE—TO REPLACE RIVALRY WITH COLLABORATION, THE INTELLIGENCE COMMUNITY NOW REQUIRES OFFICIALS ON THE RISE TO SPEND TIME SERVING IN AT LEAST ONE INTELLIGENCE AGENCY OTHER THAN THEIR OWN.
- LEARN AND EARN** 9
STATE OF NORTH CAROLINA—THE LEARN AND EARN INITIATIVE ALLOWS HIGH SCHOOL STUDENTS TO GAIN JOB SKILLS, JUMPSTART THEIR COLLEGE EDUCATION, AND EARN A FOUR-YEAR DEGREE DEBT-FREE.
- CELEBRATING TWENTY YEARS OF INNOVATION IN GOVERNMENT** 10

THE FINALISTS

- ACCESS PLUS**—COMMONWEALTH OF PENNSYLVANIA
- FRESH FOOD FINANCING INITIATIVE**—COMMONWEALTH OF PENNSYLVANIA
- KNOWLEDGE MANAGEMENT**—COMMONWEALTH OF VIRGINIA
- MASSDOCS**—COMMONWEALTH OF MASSACHUSETTS
- PROJECT ZERO**—CITY OF NEW YORK, NEW YORK
- SOLID WASTE AND ENERGY MANAGEMENT**—YUKON RIVER TRIBES
- TEACHER RESIDENCY**—BOSTON PUBLIC SCHOOL DISTRICT, MASSACHUSETTS
- WELCOME BACK CENTER**—STATE OF CALIFORNIA
- YOUTH LEADERSHIP ADVISORY TEAM**—STATE OF MAINE

INFORMATION ABOUT THE FINALISTS MAY BE FOUND AT WWW.INNOVATIONS.HARVARD.EDU

THE WINNERS

Acquisition Fund

CITY OF NEW YORK, NEW YORK

Financing Urban Diversity

IT WAS GAME TWO of the 1977 World Series between the New York Yankees and the Los Angeles Dodgers, when ABC cut away from the game to a shot of burning buildings. “There it is, ladies and gentlemen,” sportscaster Howard Cosell solemnly intoned, “The Bronx is burning.”



A generation later, the view from Yankee Stadium was quite different. Property in neighborhoods considered hopeless was being snapped up for high-end development. Affordable housing was being pushed to the city’s fringes and beyond.

Recognizing that a vital, vibrant city depends on diversity, Mayor Michael Bloomberg implemented a ten-year initiative to create and preserve 165,000 units of affordable housing for 500,000 New Yorkers, the largest municipal affordable housing plan in the nation’s history. That became the operating imperative for city housing officials, who had watched with dismay as affordable housing developers struggled to compete on the open market.

City officials, community groups, and con-

cerned foundations realized that those interested in providing affordable housing needed a way to quickly access the capital required to compete in the red-hot real estate market.

In the fall of 2006, New York City launched the Acquisition Fund, a public-private partnership that finances the purchase of land and buildings for affordable housing. Through the Acquisition Fund, the city leveraged an \$8-million investment of public funds, with \$33 million from six foundations, which in turn leveraged nearly \$200 million in revolving credit from a syndicate of 16 banks. While the loans are funded by the banks, foundations, and the city, applications are processed by five “Community Development Financial Institutions,” which can turn around loans in a few days, fast enough to compete with high-end developers.

The rate of loans has accelerated as word of the Fund has spread; it is now well on its way toward achieving its goal of 30,000 units of preserved and new housing in the next 10 years. Since August 2006, the Fund has approved and financed nearly 1,600 units and \$64 million in loans, with another nine projects and nearly 600 units in the pipeline.

One early success story is Geel Community Services, a “special needs” housing and services provider in the Bronx, just the kind of organization that would probably have been kicked out of its leased building when the structure recently went up for sale. Instead, the group, with backing from the Acquisition Fund, was able to quickly create a loan package that not only allowed it to buy the building, but to improve and expand it.

■ For information: Elizabeth Greenstein, New York City Department of Housing Preservation and Development, 212-863-8002; greenste@hpd.nyc.gov

LARRY RACIOPPO/HPD

Division of Youth Services

STATE OF MISSOURI

Really Rehabilitating Juveniles

IN THE MID-1990s stories of “super-predator” youth drove state juvenile justice systems in an increasingly punitive direction. Boot camps became the rage, along with efforts to charge juveniles as adults. Barbed wire, guards, and isolation cells were the treatment of choice.

That was the norm almost everywhere except Missouri, where officials believed that a system based on control, punishment, and isolation produces young people likely to be re-arrested and incarcerated.

The better way to increase public safety, concluded Missouri juvenile justice officials, was to address the core issues underlying delinquent behavior, emphasizing a “least restrictive environment.” Missouri sought to give young people in trouble what they often lacked: the structure, understanding, support, and help necessary to become healthy, contributing adults. Since the early 1970s, this approach has characterized the Missouri Division of Youth Services (DYS). The state closed all of its large, institutional “training centers” and replaced them with small residential treatment centers with family and dorm-like settings complemented by day treatment centers in the community. Young people wear regular clothes, and go about their day in a structured setting of activities aimed at helping them figure out how to get their lives back on track.

Stays at the residential facilities are opened for most, allowing the time necessary for the counseling, education, and work experience young people need to make it on the outside. DYS Director Tim Decker says the system is always looking for smarter ways to help young people become law-abiding and productive citizens, an overall strategy that is paying off in single-digit recidivism rates.

Although the Missouri system is now a nationally recognized model, it may be a politi-



cally tough sell in other states, requiring far-reaching systemic changes. Missouri’s DYS has been well served by a high-level, bipartisan advisory board of judges, former state legislators, civic leaders, and citizens, who have been successful at getting the appropriate resources to maintain a consistent philosophy of treatment and rehabilitation.

But the strongest arguments for staying the course are the program’s ground-level results. “I recognized that I had been headed down the wrong path,” says Terrence Barkley, a 17-year old from Kansas City. While with DYS, Barkley says, “I felt supported and encouraged, and having my family involved meant I’d be supported on the outside.” Barkley just recently graduated from high school at a DYS facility and is now a freshman in college. He hopes to work in the Missouri juvenile justice system when he graduates.

■ For information: Tim Decker, Missouri Department of Social Services, 573-751-3324; tim.decker@dss.mo.gov

DAN WHITE

Getting Ready: Keeping Communities Safe

STATE OF ARIZONA

The Best Way to Escape from Prison

OVER TWO MILLION adult inmates are locked up today in the United States. Some day virtually all of them will be released. Arizona's Department of Corrections (DOC) is now working to prepare inmates for their eventual release beginning the day they enter prison.

This was not the case in 2003, when Ari-



zona's prison system, like so many, relied primarily on control and punishment, reinforcing the gulf between and among inmates, and between inmates and corrections officers. Chronically high levels of violence and recidivism were powerful indicators of the need for systemic change.

Recognizing this, Arizona's new Governor, Janet Napolitano appointed Dora Schriro as the DOC's new director. Working with staff and, most notably, inmates, Schriro launched the "Getting Ready" pre-release preparation initiative. The correctional system was re-engineered to operate on a daily basis like the communities to which the inmates plan to return, allowing them to gain and practice the skills they need to succeed.

Getting Ready starts with a full assessment of new arrivals to fashion comprehensive "correction plans" that inmates need to complete. Inmates are required to get involved in education and work. Depending on how conscientiously inmates attend to work and school, they can move up through three tiers of status, with each advance signaling more privileges. As inmates get closer to release, their corrections plans become "transition-specific plans," during which they spend a full year on discharge planning.

While the mechanics of the program are clearly getting results, it is the philosophy behind Getting Ready that has had the most powerful impact. In a significant departure from the past, the prison system has given inmates unprecedented say in how the program operates, and how they function within it. One example: inmates get themselves up in the morning, and essentially make their own decisions about how to structure their days.

The sense of purpose that imbues the program, along with the unprecedented level of inmate responsibility, has inspired impressive gains. Institutional violence, inmate lawsuits, and recidivism are down. GED certificates, job training and treatment completions, and restitution payments are up. Corrections officers report higher job satisfaction, and turnover is no longer a problem.

Perhaps best of all, though, is simply the more positive atmosphere that prevails throughout the system. "It's a shared endeavor," says Schriro, "and that gives it a strength that steel bars and rubber bullets just won't get you."

■ For information: Dr. Dora Schriro, Arizona Department of Corrections, 602-542-5225; directorsoffice@azcorrections.gov

WERNER SEGARRA

Global Maritime Domain Awareness

UNITED STATES DEPARTMENT OF TRANSPORTATION

Tracking Ocean Traffic, Securing the Seas

A FISHING TRAWLER steams at full speed between Liberia and Greece, never stopping to fish. U.S. Navy officials alert Greek authorities, who intercept the ship and find not fish, but illegal aliens and drugs.

Before November 2005, that ship likely would have made it to its destination and unloaded its illegal cargo. That's because, until recently, information on which ships were plying coastal waters and where they were going was almost impossible to come by, short of actual visual contact. If officials had the information at all, it was often uselessly outdated. It was a situation at sea that Navy officials described as akin to "driving at night with your headlights off."

But in the fall of 2005, a new map lit up on international computer screens, allowing real-time tracking of virtually every vessel over 100,000 tons traveling in coastal waters. Not only that but the name of the ship, its country of origin, and other key information has also become available with a few clicks of a computer mouse.

Known as the "Maritime Safety and Security Information System" (MSSIS), the project is based on a simple, existing maritime capability: all ships over 100,000 tons are required to carry "Automatic Identification System" transponders, ship-to-ship transmitters designed to reduce collisions.

Using inexpensive, off-the-shelf receivers along with existing software, officials in the U.S. Department of Transportation's Volpe Center, which researches and develops promising new transportation technologies, were able to build a global tracking system for a mere \$1.2 million, and to have it up and running in months.

Besides the ability to use existing and easy-to-adapt technology, the other key to the system's success has been an unpre-



cedented level of international cooperation underpinning the effort. The whole system relies on a voluntary opt-in on the part of countries involved in shipping that, in return, are provided with the tools and technical assistance needed to use the system themselves. To date, more than 50 countries have joined the network, spanning the globe—and alphabet—from Albania to Yemen.

Supporters of MSSIS aren't just excited about the safety and security benefits of the system. They point out that it will quickly become an important part of overall shipping traffic management, allowing for more orderly and efficient flow of ships and cargo in and out of international ports—an approach to shipping that also has huge and important implications across transportation modes, from rail to road.

■ For information: David A. Phinney, United States Department of Transportation, 617-494-2149; phinney@volpe.dot.gov

HENRY WYCHORSKI

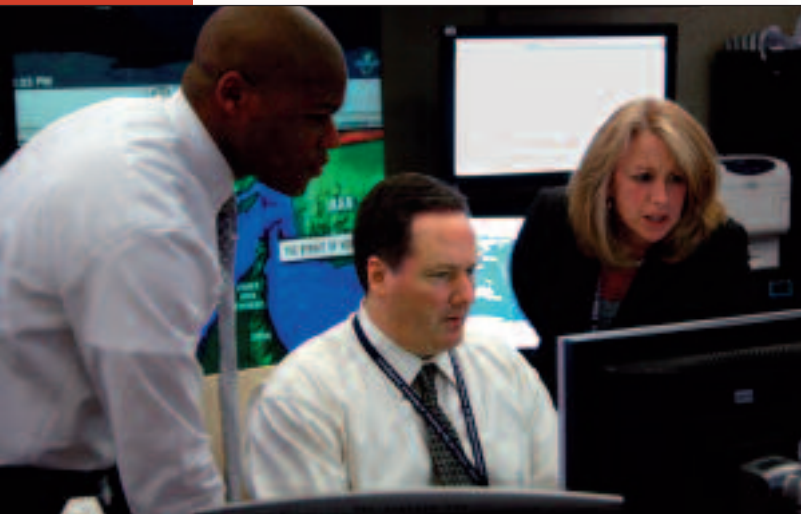
Intelligence Community Civilian Joint Duty Program

OFFICE OF THE DIRECTOR OF NATIONAL INTELLIGENCE

Cross-Training and Silo-Busting

MUCH AS DIRECTOR of National Intelligence J.M. McConnell isn't shy about exposing weakness in the American intelligence community after 9/11, he has been no less forceful in pushing for sweeping reforms that he hopes will prevent future disasters.

Director McConnell's efforts aim to elimi-



nate the barriers that prevent communication and information sharing among the 16 agencies that comprise the intelligence community, a factor that was cited in the *Final Report of the National Commission on Terrorist Attacks upon the United States* as contributing to the failure to uncover the 9/11 plot.

The vehicle for this change is the Intelligence Community Civilian Joint Duty Program, authorized by Congress in 2004 as part of the Intelligence Reform and Terrorism Prevention Act.

Elegantly simple, the 2004 law predicates promotion to high rank on intelligence professionals spending some of their career serving outside their home agencies. The idea is to encourage the best and brightest to circulate

among agencies—including those that may even be considered rivals—as a means by which to break down the “stovepipe” culture historically characteristic of the intelligence community. That the agreement establishing the program—which brings together the State, Defense, Treasury, Energy, Justice, and Homeland Security Departments, as well as the CIA and others—is even called a “treaty” attests to the territorial mindset that Director McConnell and his staff seek to transform.

While ultimate results are necessarily long-term and opaque—due to the classified nature of the overall mission—interim indicators are promising. More than 1,000 intelligence professionals are now circulating into new agencies. And while breaking down bureaucratic resistance to the practice has at times felt “like herding crickets,” says McConnell, overall response has been enthusiastic, particularly among younger intelligence officers.

Another reason to be optimistic: the famously fragmented and rivalry riven U.S. armed services moved convincingly toward integrated operations after a similar initiative was implemented at the behest of Congress. The Goldwater-Nichols Department of Defense Reorganization Act of 1986 required officers in the U.S. military aspiring to flag rank to spend time in another branch of the armed services.

“While it's too early to predict success,” says McConnell, “with this precondition for promotion, we're sending a powerful message about cooperation that employees have embraced.”

■ For information: Ronald P. Sanders, Office of the Director of National Intelligence, 703-275-3390; ronaldsz@dni.gov

OFFICE OF THE DIRECTOR OF NATIONAL INTELLIGENCE

Learn and Earn

STATE OF NORTH CAROLINA

Affordable, Attainable College Degrees

ASSESSING NORTH CAROLINA'S future workforce needs, a state study commission calculated a startling number: To remain economically competitive, the state workforce needs 400,000 new workers in the next six years. But not just any 400,000 will do; this group will need bachelor's degrees.

In response, in 2004, Governor Mike Easley launched Learn and Earn, a program founded on the well-established fact that the higher the education level, the more successful students will be not only in their careers, but in their lives.

Learn and Earn has three components, the most ambitious of which are the state's efforts to locate high schools on college and university campuses, where high school students not only can build up college course credits, but are surrounded by a more serious academic atmosphere. Students enrolled in Learn and Earn can graduate from high school with an associate's degree or with two years worth of transferable college credits, tuition free.

The second component is Learn and Earn Online, which allows all students across the state, no matter the geographic location, to take college and university courses online. The third is a state-funded tuition program, which, in conjunction with federal grants, allows students to graduate from state universities with bachelor's degrees debt-free.

Although the program just graduated its first class, the early numbers are promising. In 2006-2007, rates of grade promotion and graduation for Learn and Earn participants were higher than the statewide average, with nearly half the Learn and Earn high schools seeing 100 percent promotion rates. Not incidentally, teachers at Learn and Earn schools report significantly higher job satisfaction rates than average, as well.

KAREN TAM



Nor have the promotion rates been skewed by “creaming.” The program purposely targets kids at risk, those for whom English is a second language and those who would be first-generation college students.

While the original Learn and Earn effort was launched with a strong financial boost from the Bill and Melinda Gates Foundation, the state legislature has stepped up powerfully on the funding side, with nearly \$142 million committed for 2008–2009 to fund 70 Learn and Earn high schools; 20,000 Learn and Earn Online slots; and 25,000 scholarships.

According to James Blackwell, a member of the first graduating class, that investment is paying off. A first-generation college student, Blackwell says that the program has given kids like him “the confidence to know we can pay for, get into, and compete in four-year colleges.”

■ For information: Ann McArthur, Office of the Governor of North Carolina, 919-715-0965; ann.mcarthur@ncmail.com

CELEBRATING TWENTY YEARS OF INNOVATION IN GOVERNMENT



Last year, the Innovations in American Government Program conferred awards to its 20th class of winners. This occasion proved an opportune time to look to the future of governing and innovation. Capitalizing on this unique opportunity, the Ash Institute for Democratic Governance and Innovation conducted a series of celebratory activities, including:

- Commissioning a survey to track the progress of Innovations honorees from 1986 through 2007 and publishing a report highlighting their accomplishments.

The Ash Institute was pleased to discover that the vast majority of award-winning programs are thriving and continue to receive national recognition, media coverage, and academic attention. Innovations winners were also found to play a catalytic role, campaigning for policy and legislative improvements.

- Launching the 20th Anniversary Book Series on Innovation in Governance with the publication of *Innovations in Government: Research, Recognition, Replication*, copublished by the Brookings Institution Press and edited by Sanford Borins, a comprehensive approach to advancing the practice and study of innovation in government.

- Convening the *Frontiers of Innovation: Celebrating 20 Years of Innovation in Government* conference, which brought together a worldwide community of nearly 500 leaders and managers dedicated to effective governance and public service to discuss cutting-edge trends in government innovation.

While we celebrate the successes of our award winning programs of the past twenty years, we acknowledge that meeting the challenges of the 21st century will require even more innovation and creativity in the public sector. The Innovations in American Government Awards Program will continue to emphasize the importance of government innovation by celebrating and disseminating the vital work of our country's most ground-breaking leaders.

Innovations in American Government

A PROGRAM OF THE ASH INSTITUTE FOR DEMOCRATIC GOVERNANCE AND INNOVATION

2008

The Roy and Lila Ash Institute for Democratic Governance and Innovation at Harvard Kennedy School advances excellence in governance and strengthens democratic institutions worldwide. Through its research, publications, leadership training, global network, and awards program—developed in collaboration with a diverse, engaged community of scholars and practitioners—the Ash Institute fosters creative and effective government problem-solving and serves as a catalyst for addressing many of the most pressing needs of the world's citizens. Through its annual awards competition, the Innovations in American Government Awards, the Ash Institute not only encourages the replication of exemplary initiatives across jurisdictions, but also provides concrete evidence that government can address many of the most pressing public concerns and deserves greater public trust. The Ash Institute is funded through endowment grants from the Ford Foundation, the founder and long-time sponsor of the Innovations Awards, and Roy Ash, former US cabinet member and founder of the modern Office of Management and Budget.

The Annie E. Casey Foundation works to build better futures for disadvantaged children and their families in the United States. The primary mission of the Foundation is to foster public policies, human service reforms, and community supports that more effectively meet the needs of today's vulnerable children and families. In 2005, the Annie E. Casey Foundation entered into a partnership with the Ash Institute to offer a special Innovations Award in Children and Family System Reform.

ASH INSTITUTE FOR
DEMOCRATIC GOVERNANCE
AND INNOVATION

Anthony Saich
Director

Stephen Goldsmith
Daniel Paul Professor
of Government
Director, Innovations in
American Government Awards

Marty Mauzy
Executive Director

Christina Marchand
Associate Director
for Outreach

Kara O'Sullivan
Associate Director
for Evaluation

Emily Kaplan
Program Assistant

THE ANNIE E. CASEY
FOUNDATION

Douglas W. Nelson
President and CEO

Patrick McCarthy
Senior Vice President
System and Service Reform

Kathleen Feely
Managing Director of Casey
Strategic Consulting Group

NATIONAL SELECTION
COMMITTEE

David Gergen – *Chairman*
Professor of Public Service
John F. Kennedy School
of Government

The Honorable William Clinger
Former U.S. Representative
Pennsylvania

Edwin Dorn
Professor of Public Affairs
Lyndon B. Johnson School
of Public Affairs

Maria Echaveste
Co-founder
Nueva Vista Group

**The Honorable
Nancy L. Johnson**
Senior Public Policy Advisor
Baker, Donelson, Bearman,
Cadwell & Berkowitz, PC

The Honorable Ron Kirk
Former Mayor of Dallas

David Osborne
Managing Director
Public Strategies Group

Ellen Schall
Dean
Robert F. Wagner School
of Public Service

**The Honorable
Kathleen Kennedy Townsend**
Adjunct Professor
Georgetown University's
Public Policy Institute

Carl Weisbrod
President
Real Estate Division
Trinity Church

**The Honorable
Anthony A. Williams**
Chief Executive Officer
Primum Public Realty Trust



Apply for the 2009

Innovations in American Government Awards

www.innovationsaward.harvard.edu

Applications are due September 30, 2008

FOR MORE INFORMATION ABOUT THE
INNOVATIONS AWARDS AND THE ACTIVITIES
OF THE ASH INSTITUTE

Please visit www.ashinstitute.harvard.edu

Ash Institute for Democratic Governance and Innovation
Harvard Kennedy School
79 JFK Street
Cambridge, MA 02138

Phone: 617-495-0558
Fax: 617-496-4602
E-mail: innovations@harvard.edu