A Center Brief . . .

*New Initiatives: Considerations Related to Planning, Implementing, Sustaining, and Going-to-Scale**

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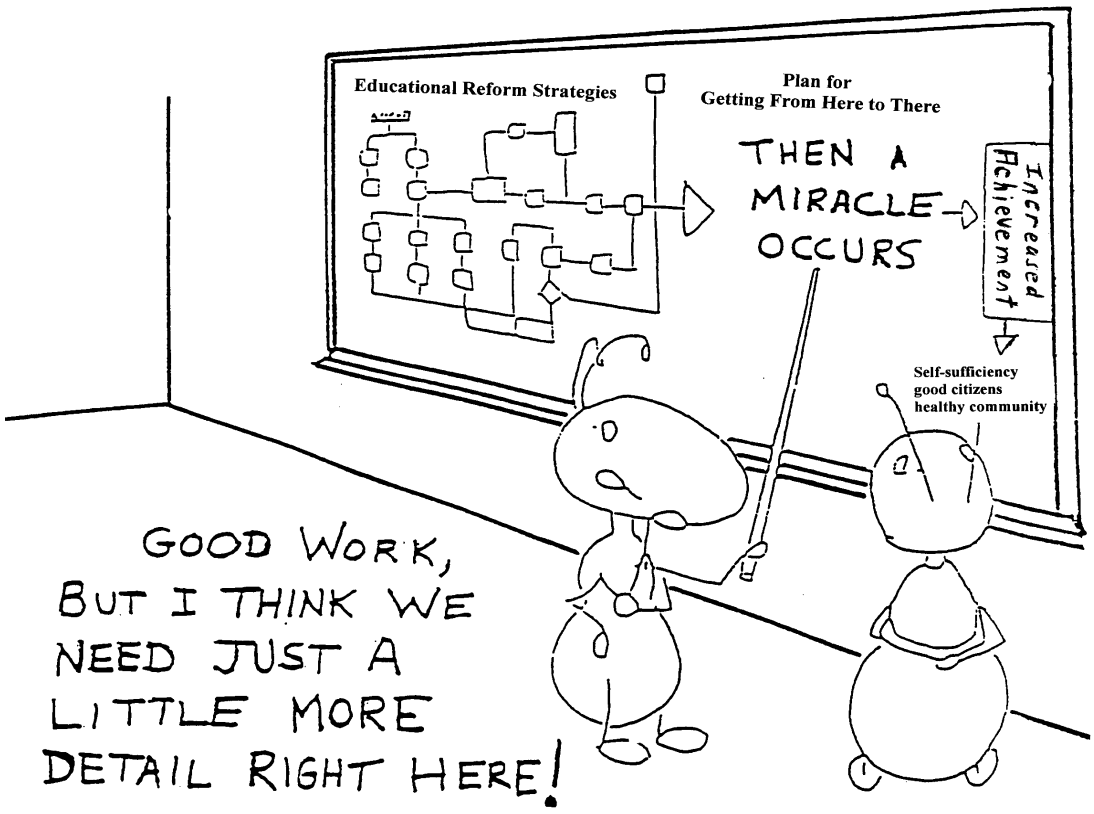

Educational Reform Strategies
Plan for
Getting From Here to There
THEN A MIRACLE OCCURS
Increased Achievement
Self-sufficiency
good citizens
healthy community
GOOD WORK, BUT I THINK WE NEED JUST A LITTLE MORE DETAIL RIGHT HERE!

Preface

Properly conceived and implemented new initiatives are essential to improving schools and communities. Such new initiatives usually are pursued as projects, pilots, or demonstrations, with temporary funding and staffing. When the funding ends, more often than not much of what has been developed disappears. Sometimes this is appropriate (e.g., when what was developed turns out not to be effective or important). At other times, the loss represents a set back for all stakeholders.

Optimally, plans should be made at the onset with respect to sustaining valuable functions developed during the special funding period, and sustainability should be a focus from day one of implementation. With most such work, however, the pressure of just becoming operational often means that sustainability is not a major focus until well into the second year of a three year funding period. Moreover, most staff have not be prepared to pursue their work in ways that maximize sustainability and scale-up.

This brief is designed to provide a quick overview of basic ideas, phases, stages, and steps related to the planning, implementation, maintenance, and scale-up of valuable new initiatives. There is a particular emphasis on sustainability.

The Center has several more detailed guides and reports that expand on these matters. For example, see *Sustaining School and Community Efforts to Enhance Outcomes for Children and Youth: A Guidebook and Tool Kit*. Available online at:

http://smhp.psych.ucla.edu/pdfdocs/sustaining.pdf

Howard Adelman & Linda Taylor
Co-Directors

We are confronted with
insurmountable opportunities.
Pogo

The history of schools is strewn with valuable practices that were not sustained, never mind replicated. Naturally, financial considerations played a role, but a widespread "project mentality" also is culpable. This mind set leads to thinking about the work as time-limited and contributes to marginalizing its status and exacerbates trends toward fragmented approaches. It also works against the type of systemic changes that sustain and expand innovations.

Optimally, sustainability should be a focus from the day a project is implemented.

Contents

Ulitmately, only three things matter about educational reform. Does it have depth: does it improve important rather than superficial aspects of students' learning and development? Does it have length: can it be sustained over long periods of time instead of fizzling out after the first flush of innovation? Does it have breadth: can the reform be extended beyond a few schools, networks or showcase initiatives to transform education across entire systems or nations?

Andy Hargreaves & Dean Fink

New Initiatives: Considerations Related to Planning, Implementing, Sustaining, and Going-to-Scale

If we want to bring . . . quality, equity, and new life to our system – we must trust in a vision and a process of change.
Dwight Allen

The difficult work of implementing and sustaining any major innovation involves a host of complementary activity. This is particularly so with respect to developing and maintaining school-community collaboration.

Increasingly, it is becoming evident that schools and communities (including institutions of higher education) should work closely together in order to generate the systemic changes necessary for meeting their mutual goals. While informal linkages are relatively simple to acquire, establishing major systemic reforms involves complicated long-term connections, especially when the goal is to strengthen youth, their families, and the community. Achieving such goals requires vision, cohesive policy, leadership, and an appreciation of the processes involved in planning, implementing, sustaining, and going-to-scale.

This document offers a brief discussion about these matters to increase awareness of what is involved.

Introduction

With a view to sustaining valued functions, most demonstration projects and initiatives can be a catalyst for systemic change. More to the point, it is frequently the case that such projects *must* produce systemic changes or much of what they have developed is unlikely to be sustained. Federally-funded projects, such as those established through the Safe Schools/Healthy Students initiative, illustrate both the need and opportunity for being a catalytic force. These projects are funded with the aim of coalescing school and community collaboration for violence prevention. As the first cohort of projects entered their third and final year of federal support, the scramble began to find another grant to sustain threatened functions. Much earlier, a few projects realized that sustainability should not be thought about in terms of hopefully finding more grant money. Rather, they understood the necessity of taking steps each year to move policy in ways that would sustain valued functions that had been established through the project's work. Moreover, they understood the importance of embedding such functions in a broader context to enhance their status in the eyes of policy makers.

Those projects that pursued the categorical agenda of improving violence prevention mainly took the tack of adding on some services and programs. Although local policy makers tend to be pleased that such projects bring in added resources, they also view the work in terms of the limited categorical emphasis and seldom integrate the project's services and programs into school improvement planning. This contributes to the fragmentation and marginalization that characterizes school and community efforts to address the many barriers to learning and teaching and works against sustaining the innovations when the project ends.

Projects as Catalysts for Systemic Change

To counter the tendency for project functions to be viewed as having limited value, staff must strive to reframe the work and find their way to key decision making tables. This encompasses placing the activity into a broader context in terms of intervention focus, for example, reframing the activity so that it is seen as an integral part of a comprehensive, multifaceted, and cohesive approach to enhancing the school's ability to meet its mission. It calls for negotiating to be fully included in prevailing decision making, capacity building, and operational infrastructures in order to effect decisions and work toward reversing existing fragmentation and marginalization. It involves engaging decision makers in discussion of the feasibility of replicating the work on a large scale, combined with that of others, to enhance intervention effectiveness for many, not just a few, students and families. By working in this way, project staff position themselves to be a catalytic force.

Escaping Project Mentality

For projects to play a catalytic role for systemic change, staff must be mobilized to do so. And, this requires overcoming the phenomenon that has been dubbed "project mentality."
Project Mentality is a Barrier.

A common tendency is for those involved in a project to think about (a) their work as simply a specially funded project and (b) their jobs as providing project-based discrete services. It also is common for policy makers and those interacting with project staff to assume the work being done will end when the grant runs out. It is not surprising, then, that everyone sees the new activity mainly in narrow and time-limited terms. This mind set contributes to fragmented approaches and marginalized status and, thus, works against developing comprehensive, multifaceted, and integrated programs for enhancing long-term positive results for school and community. It also works against capitalizing on the opportunity to be a catalyst for the type of systemic changes that sustain and expand innovations.

Moreover, as the funding cycle nears its end, a number of very human concerns make it difficult for staff to focus on systemic change as the key to sustaining valued functions. These concerns include fear of program elimination and job loss and belief that extramural funding is the only hope. These concerns push project staff to pursue a limited strategy for sustainability – seeking additional, dedicated funding to continue as a categorical project, rather than focusing on systemic changes that can incorporate valuable innovations.

Strategies for Overcoming Project Mentality

Overcoming project thinking begins with redefining the work. Rather than allowing it to be seen as a 1, 2, or 3 year project, it should be reconceived as an ongoing initiative. After receiving a grant, we recommend never again referring to the work as a "project." Next, it is wise to establish a potent steering body (not a figure-head advisory board). Such a body should consist of influential champions for the initiative and other individuals who are highly committed to steering the staff in ways that not only achieve immediate objectives, but can catalyze systemic changes.

Early in the first year, the plan detailed in the project proposal should be morphed into a strategic plan for the ongoing initiative. This evolved plan should cover at least two years of activity beyond the funding period and should delineate, for each year, plans related to sustainability. As early as feasible, the steering body should push for adoption by policy makers of the full strategic plan.

An ongoing strategic concern involves enhancing staff motivation and capability to play a catalytic role. The complexity of building their capacity requires guidance and support from professionals with mastery level competence for creating a climate for change, facilitating change processes, and establishing an institutional culture of continuous learning.

I. Toward Understanding Sustainability as a Systemic Change Process

There is growing interest in understanding how to sustain effective innovations and some research related to evaluating sustainability (e.g., Woodbridge & Huang, 2000; Century & Levy, 2002; Trickett, 2002). Our approach to sustainability has evolved over many years, first in connection with trying to sustain demonstration programs, then as part of efforts to replicate innovations on a large-scale (see Adelman & Taylor, 1997a; Taylor, Nelson, & Adelman, 1999). Confronted with the problems and processes of scale-up, we generated a broad working framework of major considerations relevant to planning, implementing, and sustaining innovative approaches and going-to-scale. (Note: The process of large-scale replication often is called diffusion, replication, roll out, going-to-scale, or scale-up; we use the terms interchangeably here.)

A dictionary definition indicates that *to sustain* is

to keep in existence; to maintain;

to nurture; to keep from failing; to endure

Another way to view sustainability is in terms of institutionalizing system changes. As Robert Kramer states:

> *Institutionalization is the active process of establishing your initiative – not merely continuing your program, but developing relationships, practices, and procedures that become a lasting part of the community.*

Few will argue with the notion that something of value should be sustained if it is feasible to do so. Thus, the keys to sustainability are clarifying value and demonstrating feasibility. Both these matters are touched upon on the following pages.

"The Board meeting is called to order: the problem for today is whether to hire 3 security guards or 2 teachers."

A. Sustainability of What? Making a Strong Argument

One of the most pressing concerns to the staff of a specially funded project is sustaining their jobs when the project ends. The desire for maintaining one's job is more than understandable. The problem is that this is the weakest argument for sustainability that can be offered to decision makers, especially when budgets are tight. Policy makers are constantly confronted with requests to maintain and add more personnel. Their decisions are supposed to be based on evidence of need and institutional priorities. For this reason, requests that simply advocate for sustaining *all* facets of a complex and expensive project also are weak. Decision makers want to know which facets are really necessary to achieve outcomes and which are nice but unessential accessories.

Two Alternative Ways of Thinking about Sustaining Programs

(1) Give us more money so we can carry on the work.

(2) We need to make systemic changes because if we don't we will lose some valued functions.

With respect to alternative 1, the focus often is on writing for grants, providing services that tap into third party payers (e.g., Medicaid), fund raising campaigns, or convincing school and/or agency decision makers to allocate money to cover personnel. More often than not, these efforts do not provide the needed resources. Thus, as the end grows near, there is a growing realization and a sinking feeling that much of the activity and most of the staff cannot be maintained.

With respect to alternative 2, it is recognized from the onset that sustainability of valued functions requires making and institutionalizing systemic changes. This involves (a) creating readiness for such changes and (b) playing an active role in guiding implementation of the changes.

While these alternatives are not mutually exclusive, it is wise to begin with the second. That is, it is best to think in terms of the probability that more money will not be available when current funding runs out. This means moving away from a project mentality and then connecting the activity to critical system needs and using resources to leverage systemic changes. In schools these days, connecting with system needs means fully integrating the work into the accountability demands of the *No Child Left Behind Act.* Leveraging includes using allocated funds as a catalyst and also cultivating champions (including key district and school leaders).

Strong arguments for sustaining school-based innovations are framed within a "big picture" context of school and community efforts to strengthen students, families, schools, and/or neighborhoods. Compelling arguments (a) focus on *specific functions* that are essential to achieving highly valued outcomes and that will be lost when a project ends, (b) connect those functions with the overall vision and mission of the institutions asked to sustain them, and (c) clarify cost-effective strategies for maintaining the functions.

For example, in our work developing innovations to better meet the needs of students experiencing learning, behavior, and emotional problems, we always stress how often the educational mission is thwarted because of many factors that interfere with youngsters' learning and performance. We also emphasize that, if schools are to ensure that *all* students succeed, designs for school improvement must reflect the full implications of educating *all* students. Clearly, *all* includes more than students who are motivationally ready and able to profit from "high standards" demands and expectations. Thus, the focus on all must also include the many who aren't benefitting from instructional reforms because of a host of barriers interfering with their development and learning, including *external* risk factors arising from neighborhood, family, school, and peer determinants and *internal* conditions such as those related to biological and psychological dysfunctioning. We remind policy makers that ensuring all students have an equal opportunity to succeed at school is the reason schools invest in education support programs and services and that given how substantial the investment is, greater attention must be paid to rethinking learning supports. From this perspective, we offer the umbrella of a comprehensive, multifaceted enabling or learning support component to coalesce the full range of functions that can address such barriers. The emphasis on addressing barriers to student learning allows us to present and underscore why new approaches are needed; in particular, we stress the need to fill basic gaps in the ability of schools to engage and re-engage students in effective classroom learning. Finally, we discuss cost-effectiveness by focusing on reducing fragmentation and enhancing resource use via systemic changes related to restructuring how existing student supports are conceived and implemented (Adelman, 1996; Adelman & Taylor, 1997b; Adelman, Taylor, & Schneider,1999; Center for Mental Health in Schools, 1999). The following sections amplify on the above points.

Presenting a *strong* argument that there is something of value to sustain begins with understanding what is likely to be a *weak* argument.

Weak arguments. One of the most pressing concerns to the staff of a specially funded project is sustaining their jobs when the project ends. The desire for maintaining one's job is more than understandable. The problem is that this is the weakest case that can be made for sustaining a program. Also weak is any argument that advocates for sustaining *all* facets of a complex and expensive program. Decision makers want to know which facets are really necessary to achieve outcomes and which are nice but unessential accessories.

- **Strong arguments** focus on *specific functions* that are essential to achieving highly valued outcomes and that will be lost when a project ends.

- **Strong arguments** connect the functions to be sustained with the overall vision and mission of the institutions that are being asked to sustain them and clarify cost-effective strategies for doing so.

- **Strong arguments** are framed within a "big picture" context of school and community efforts to (a) address barriers to development and learning and (b) promote healthy development.*

*See the Center document: *Sustaining School and Community Efforts to Enhance Outcomes for Children and Youth: A Guidebook and Tool Kit.* Available online at:http://smhp.psych.ucla.edu/pdfdocs/sustaining.pdf

Part II of that document offers some tools for use in clarifying the current status of the local "big picture" context. *The tools reflect the growing understanding that schools and communities (including institutions of higher education) must work closely together in order to meet their overlapping goals.* Parts II, IV, & V focus on strong arguments.

In Parts IV and V, the discussion stresses that, while informal school and community linkages are relatively simple to acquire, establishing major long-term connections is complicated, especially when the goal is to strengthen youth, their families, and the community. Achieving such goals requires vision, cohesive policy, leadership, and a relentless commitment to sustaining key functions and structural mechanisms.

B. What's involved in sustaining valued functions?

Sustainability involves a host of complementary activities. The figure on the following page can be used as a framework for understanding major matters for consideration in planning, implementing, sustaining, and going-to-scale. It also can be used as a template for establishing benchmarks for purposes of formative evaluation (see Appendix C). As the figure illustrates, changes may encompass introducing one or more interventions, developing a demonstration at a specific site, or replicating a prototype on a large-scale.

Whatever the nature and scope of focus, all the *key facets* outlined in the figure come into play.

Each cell in the matrix warrants extensive discussion. Here, we must limit ourselves to highlighting the host of interacting concerns and activities involved in sustaining valued initiatives.

(1) With respect to sustainability, the *nature and scope of focus* raises such questions as: What specific functions will be implemented and sustained? Will one or more sites/organizations be involved? Is the intent to make system-wide changes?

(2) With respect to *key facets,* whatever the nature and scope of the work, efforts for sustainability begin with articulation of a clear, shared vision for the initiative, ensuring there is a major policy commitment from all participating partners, negotiating partnership agreements, and designating leadership. This is followed by processes for enhancing/developing an infrastructure based on a clear articulation of essential functions, including mechanisms for governance and priority setting, steering, operations, resource mapping and coordination. Pursuing the work requires strong facilitation related to all mechanisms, redeploying resources and establishing new ones, building capacity (especially personnel development and strategies for addressing personnel and other stakeholder mobility), and establishing standards, evaluation processes, and accountability procedures. And, throughout, there must be an ongoing focus on social marketing.

(3) When sustainability is approached as systemic change, the process must address each of the major phases of systemic change. These include (a) creating readiness with respect to the climate/culture for change by enhancing both the motivation and capability of a critical mass of stakeholder, (b) initially implementing changes by phasing them in with well-designed guidance and support, (c) maintaining and sustaining changes through practices that ensure institutionalization, and (d) ensuring appropriate evolution by enabling stakeholders to become a community of learners and facilitating periodic creative renewal activity.

Figure 1. New Initiatives:
Considerations Related to Planning, Implementing, Sustaining, and Going-to-Scale

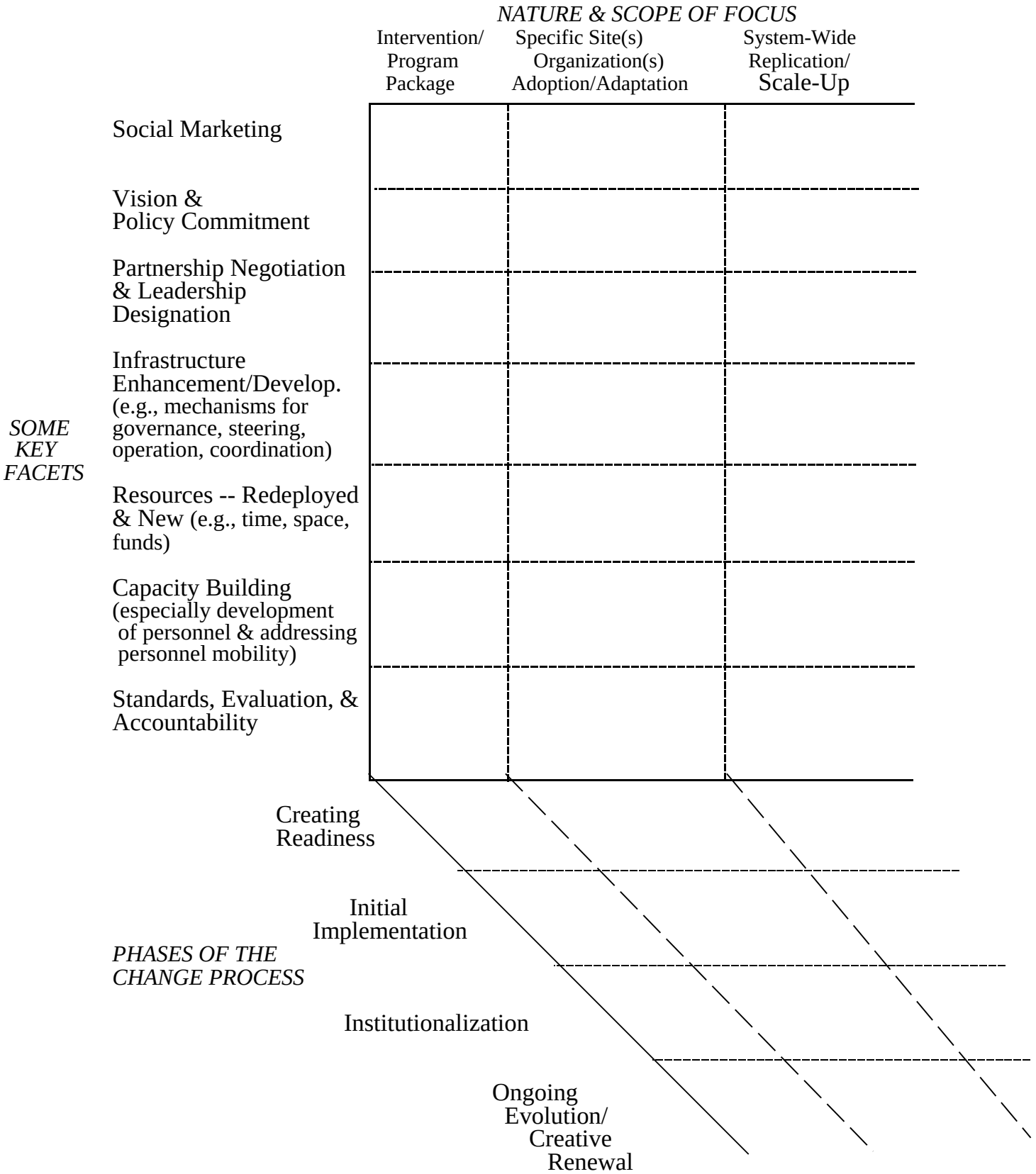


Exhibit 1

Summary of Some Specific Concerns Related to Sustainability Planning and Implementation

(1) Nature and scope of focus

- What specific functions are to be sustained (e.g., specific interventions or program packages)
- Will one or more sites/organizations be involved?
- Is the intent to make system-wide changes?

(2) Key facets related to undertaking any area of focus

- Ongoing social marketing
- Articulation of a clear, shared vision for the work
- Ensuring there is a major policy commitment from all participating partners
- Negotiating partnership agreements
- Designating leadership
- Enhancing/developing an infrastructure based on a clear articulation of essential functions (e.g., mechanisms for governance and priority setting, steering, operations, resource mapping and coordination; strong facilitation related to all mechanisms)
- Redeploying resources and establishing new ones
- Building capacity (especially personnel development and strategies for addressing personnel and other stakeholder mobility)
- Establishing standards, evaluation processes, and accountability procedures

(3) Phases related to making systemic changes

- Creating readiness (motivation and capability – enhancing the climate/culture for change)
- Initial implementation (phasing-in the new with well-designed guidance and support)
- Institutionalization (maintaining and sustaining the new)
- Ongoing evolution and creative renewal

In discussing approaches for sustaining “community schools,” the Coalition for Community Schools (2000) offers a range of “principles.” In particular, the Coalition highlights the importance of policies and practices that

- use school-community teams at the site level to integrate resources and strategies
- honor and encourage existing school-community governance arrangements
- support local decision making
- improve coordination of funding streams
- build infrastructure
- negotiate joint-use agreements
- strengthen pre-service and in-service development
- support inter-professional initiatives
- create and sustain capacity-building organizations

C. Guidelines, Stages, and Steps

As indicated in Figure 1, the phases of the change process are a major dimension of the framework. Although these phases are rather self-evident, the intervention steps related to sustaining valued functions are less so. As a guide for those working on sustainability and system change, we have drawn on a what we have learned from the literature and our own work to delineate 16 key steps related to the first two phases of the change process (i.e., creating readiness and initial implementation). These are organized into four "stages." The stages are conceived in terms of the need to intervene in ways that 1) develop a strong argument for sustaining functions, 2) mobilize interest, consensus, and support among key stakeholders, 3) clarify feasibility, and 4) proceed with specific systemic changes to sustain innovations. These stages and steps are offered below as guides for specific action planning.

Below, we highlight 16 steps (organized into four "stages"). *Part II offers concrete examples and some specific tools and aids related to each* step.

Remember: The following formulation of stages and steps is designed to *guide* thinking about sustainability and systemic change. It is not meant as a rigid format for the work. An overriding concern in pursuing each step is to do so in ways that enhance stakeholders' readiness, especially motivational readiness. A particularly persistent problem in this respect is the fact that stakeholders come and go. There are administrative and staff changes; some families and students leave; newcomers arrive; outreach brings in new participants. The constant challenge is to maintain the vision and commitment and to develop strategies to bring new stakeholders on board and up-to-speed. Addressing this problem requires recycling through capacity building activity in ways that promote the motivation and capability of new participants.

When a broad range of stakeholders are motivated to work together to sustain progress, they come up with more creative and effective strategies than any manual can prescribe. Thus, while concepts and procedures are invaluable guides, building a cadre of stakeholders who are motivationally ready and able to proceed is the first and foremost consideration. The necessary motivation comes from the desire to achieve better outcomes; it comes from hope and optimism about a vision for what is possible; it comes from the realization that working together is essential in accomplishing the vision; it comes from the realization that system changes are essential to working together effectively. And, maintaining motivation for working together comes from valuing each partner's assets and contributions.

First, a few guidelines for pursuing sustainability as systemic change:

- To counter marginalization, translate interventions into functions that are essential to the institution's mission and accountability measures and frame them in terms of a comprehensive approach.

- To avoid fragmentation and counterproductive competition among staff, design and implement new and expanded school-based activities in ways that integrate them fully with existing school programs, services, and personnel.

- Use acquisition of extra-mural funding to leverage commitments for the type of systemic changes that will be essential to sustaining and scaling-up valued functions. (In doing so, establish clear priorities, and revisit memoranda of understanding – MOUs – to leverage stronger commitments.)

- Focus first on the redeployment of current resources so that recommendations for systemic change are based on existing resources as much as is feasible. (This requires mapping and analyzing the available resource base.) Requests for additional resources are made only after it is evident that major gaps cannot be filled using existing resources more efficiently.

- Design and establish an infrastructure that not only can carry out program functions, but also connects with decision making bodies and is capable of facilitating systemic change. For example, someone must be responsible for facilitating the creation of motivational readiness for any specific systemic change.

- Use effectiveness data and information on cost-effectiveness in advocating for sustaining specific activities and approaches.

- Identify a critical mass of "champions" to advocate and expedite and establish them as an active steering body.

- Throughout, pursue social marketing and formative and benchmark evaluation.

Stage A: Preparing the Argument for Sustaining Valued Functions

The process of preparing a strong argument for sustainability begins by ensuring that advocates for sustaining a project's functions understand the larger context in which such functions play a role (see Part II). Of particular importance is awareness of prevailing and pending policies, institutional priorities, and their current status and how existing resources might be redeployed to sustain valued functions that otherwise will be lost. With this in mind, there are five steps to pursue in readying the argument:

1. Developing an understanding of the local "big picture" context for all relevant interventions. This involves, for example, amassing information that clarifies the school and community vision, mission statements, current policies, and major agenda priorities.

2. Developing an understanding of the *current status* of efforts to accomplish goals related to the school and community vision, for example, clarifying the degree to which current priorities are well-founded and the rate of progress toward addressing major problems and promoting healthy development.

3. Delineating the functions, tasks, and accomplishments the project initiative has contributed with respect to the larger agenda and where the functions fit in terms of current policy and program priorities.

4. Clarifying what functions will be lost if the school(s) and community do not determine ways to sustain them. The emphasis here is on articulating the implications of the loss in terms of negative impact on achieving the larger agenda.

5. Articulating cost-effective strategies for sustaining functions, for example, focusing on how functions can be integrated with existing activity and supported with existing resources, how some existing resources can be redeployed to sustain the functions, how current efforts can be used to leverage new funds.

Stage B: Mobilizing Interest, Consensus, and Support among Key Stakeholders

In presenting the argument for sustainability, it is important to have a critical mass of influential and well-informed stakeholders who will be potent advocates for the initiative. The steps involved in developing this cadre of supporters include:

6. Identifying champions and other individuals who are committed to sustaining the functions and clarifying the mechanism(s) for bringing supporters together to steer and work for sustainability.

7. Planning and implementing a “social marketing” strategy to mobilize a critical mass of stakeholder support.

8. Planning and implementing strategies to obtain the support of key policy makers, such as administrators and school boards.

Stage C: Clarifying Feasibility

The preceding steps all contribute to creating initial readiness for making decisions to sustain valued functions. Next steps encompass formulating plans that clarify specific ways the functions can become part of the larger school and community agenda. This raises considerations related to infrastructure and daily operations and the full range of systemic change concerns. These are addressed by:

9. Clarifying how the functions can be institutionalized through existing, modified, or new *infrastructure* and *operational* mechanisms, for example, mechanisms for leadership, administration, capacity building, resource deployment, and integration of efforts.

10. Clarifying how necessary changes can be accomplished, for example, mechanisms for steering change, external and internal change agents, and underwriting for the change process.

11. Formulating a longer-range strategic plan for maintaining momentum, progress, quality improvement, and creative renewal.

By this point in the process, the following matters should have been clarified:
(a) what valued functions could be lost, (b) why they should be saved, and (c) who can help champion a campaign for saving them. In addition, strong motivational readiness for the necessary systemic changes should have been established. Done effectively, the process will have engendered strong motivational readiness for the necessary systemic changes.

Stage D: Proceeding with Specific Systemic Changes

At this juncture, it is time to initiate the implementation process for the necessary systemic changes. Because substantive change requires stakeholder readiness, it is essential to determine if the preceding steps accomplished the task. If not, it becomes necessary to revisit some of the earlier steps. Then, it is a matter of carrying out the plans made during Stage C with full appreciation of the complex dynamics that arise whenever complex systems undergo change. Specific steps encompass:

12. Assessing, and if necessary enhancing, readiness to proceed with systemic changes needed to sustain valued functions..

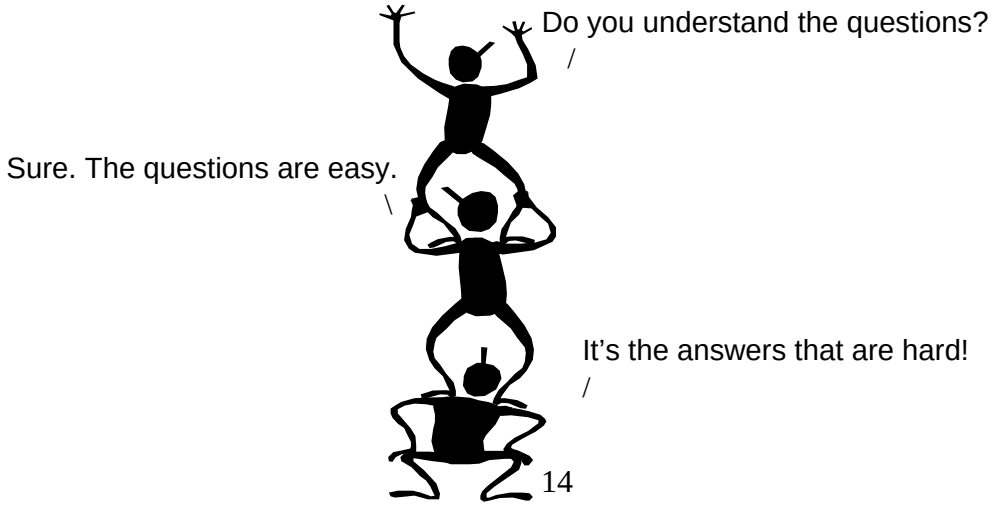
13. Establishing an infrastructure and action plan for carrying out the changes.

14. Anticipating barriers and how to handle them.

15. Negotiating initial agreements, such as a memorandum of understanding.

16. Maintaining high levels of commitment to accomplishing necessary systemic changes, for example, ensuring each task/objective is attainable, ensuring effective task facilitation and follow-through, negotiating long-term agreements and policy, celebrating each success, and facilitating renewal.

Clearly, the many steps and tasks described above call for a high degree of commitment and relentlessness of effort. Major systemic changes are not easily accomplished. Awareness of the myriad political and bureaucratic difficulties involved in making major institutional changes, especially with limited financial resources, leads to the caution that the type of approach described above is not a straight-forward sequential process. Rather, the work proceeds and changes emerge in overlapping and spiraling ways.



In discussing how the integrity of initiatives gets lost, Denise Gottfredson (2001) states:

> "...a greater degree of implementation integrity can be expected with explicit, user-friendly innovations for which a great deal of training is offered and when (staff) perceive that the innovation meets a need and have participated in the planning for the innovation. If the program is complex, more effort must be expended to increase clarity and perceived need. Greater integrity can be expected in schools that have highly skilled (staff) who communicate well and have high sense of self-efficacy, cultural norms that do not reject the innovation, strong district- and school-level leadership, staff stability, central office support, and a climate supporting change (e.g., problem-solving focus, high staff morale and commitment to change, no history of failed implementation, and a relatively low level of turbulence). Finally, local adaptation is likely to occur, especially with more complex programs. This adaptation process, although necessary has the potential to alter the program drastically."

Gottfredson goes on to stress that school innovations are implemented in "the contexts of local school districts, state education agencies, and federal government policies, practices, and funding streams, and are influenced by local politics and community pressures." And, because of various inequities, she sees urban, inner-city settings as special cases with additional concerns to be addressed.

II. Going to Scale

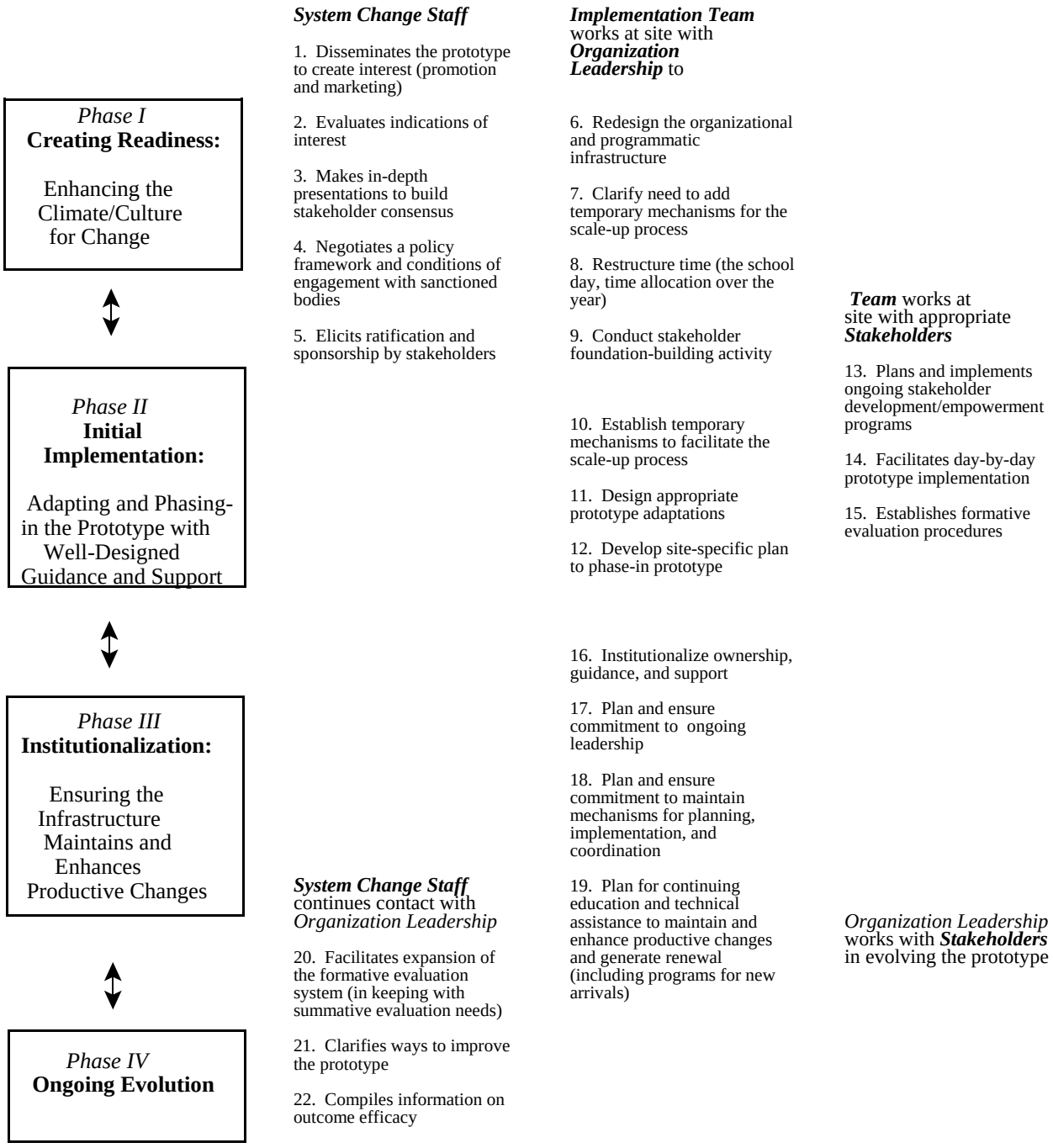
Efforts to create systemic changes require much more than implementing demonstrations at a few sites. Improved approaches are only as good as the ability of a school district and community to develop and institutionalize them on a large scale. This process often is called diffusion, replication, roll out, or scale-up.

For the most part, education and community researchers and reformers have paid little attention to the complexities of large-scale diffusion. This is evident from the fact that the nation's research agenda does not include major initiatives to delineate and test models for widespread replication of education reforms (see Replication and Program Services, 1993; Taylor, Nelson, & Adelman, 1999; Vander Ark, 2002). Furthermore, leadership training has given short shrift to the topic of scale-up. Thus, it is not surprising that the pendulum swings that characterize shifts in the debate over how best to teach reading are not accompanied with the resources necessary to accomplish prescribed changes throughout a school-district in an effective manner. Common deficiencies include inadequate strategies for creating motivational readiness among a critical mass of stakeholders, especially principals and teachers, assignment of change agents with relatively little specific training in facilitating large-scale systemic change, and scheduling unrealistically short time frames for building capacity to accomplish desired institutional changes. As Tom Vander Ark, executive director of education for the Bill and Melinda Gates Foundation notes: "Effective practices typically evolve over a long period of high-functioning, fully engaged systems."

For many years, our work revolved mainly around developing demonstration programs. Major examples include the *Early Assistance for Students and Families* project (funded by the U.S. Department of Education), the restructuring of education support services in a large school district, and the development of the *Urban Learning Centers'* model for comprehensive school reform (supported by the New American Schools Development Corporation, NASDC). More recently, we have moved into the world of replicating new approaches on a large-scale. Confronted with the problems and processes of scale-up, we analyzed a broad range of psychological and organizational literature and delineated the following working framework for scale-up (Adelman & Taylor, 1997).

Figure 2 lists specific scale-up oriented tasks related to the four phases of systemic change. (For more on each phase and a discussion of some major lessons learned from our recent efforts, see Adelman and Taylor, 1997 and Taylor, Nelson, & Adelman, 1999.) Each task requires careful planning based on sound intervention fundamentals. At the onset, we should stress that initiating and guiding prototype replication requires a scale-up *mechanism*. One way to conceive such a mechanism is in terms of a scale-up *project*. Such a project provides a necessary organizational base and skilled personnel for disseminating a prototype, negotiating decisions about replication, and dispensing the expertise to facilitate scale-up.

Figure 2. Prototype implementation and scale-up: Phases and major tasks.



Adapted from: H.S. Adelman & L. Taylor (1997). Toward a scale-up model for replicating new approaches to schooling. *Journal of Educational and Psychological Consultation, 8,* 197-230.

Think about the best model around for how schools can improve the way they address barriers to student learning. Assuming the model has demonstrated cost-effectiveness and that a school-district wants to adopt/adapt it, the first problem becomes that of how to replicate it, and the next problem becomes that of how to do so at every school. Or, in common parlance, the question is: *How do we get from here to there?*.

Whether the focus is on establishing a prototype at one site or replicating it at many, the systemic changes can be conceived in terms of four overlapping phases: (1) *creating readiness* – by enhancing a climate/culture for change, (2) *initial implementation* – whereby change is carried out in stages using a well-designed guidance and support infrastructure, (3) *institutionalization* – accomplished by ensuring there is an infrastructure to maintain and enhance productive changes, and (4) *ongoing evolution* – through use of mechanisms to improve quality and provide continuing support.

As indicated in the following figure, a change *mechanism* is needed. One way to conceive such a mechanism is in terms of a *system implementation staff*. Such staff provides a necessary organizational base and skilled personnel for disseminating a prototype, negotiating decisions about replication, and dispensing the expertise to facilitate implementation of a prototype and eventual scale-up. They can dispense expertise by sending out a *team* consisting of personnel who, for designated periods of time, travel to the location in which the prototype is to be implemented/replicated. A core team of perhaps two-to-four staff works closely with a site throughout the process. The team is augmented whenever a specialist is needed to assist in replicating a specific element of the prototype design. Implementation and scaling-up of a comprehensive prototype almost always requires *phased-in* change and the addition of *temporary infrastructure mechanisms* to facilitate changes.

Figures 1 and 2 briefly highlight key facets and specific tasks related to the four phases of prototype implementation and eventual scale-up. Note in particular the importance of

- ongoing social marketing
- articulation of a clear, shared vision for the work
- ensuring there is a major policy commitment from all participating partners
- negotiating partnership agreements
- designating leadership
- enhancing/developing an infrastructure based on a clear articulation of essential functions (e.g., mechanisms for governance and priority setting, steering, operations, resource mapping and coordination; strong facilitation related to all mechanisms)
- redeploying resources and establishing new ones
- building capacity (especially personnel development and strategies for addressing personnel and other stakeholder mobility)
- establishing standards, evaluation processes, and accountability procedures.

Systematic efforts to scale-up can dispense expertise by sending out a scale-up *team* consisting of project staff who, for designated periods of time, travel to replication sites. A core team of perhaps two-to-four staff works closely with a site throughout the replication process. The team is augmented whenever a specialist is needed to assist with a specific element, such as new curricula, use of advanced technology, or restructuring of education support programs. Scaling-up a comprehensive prototype almost always requires *phased-in* change and the addition of *temporary infrastructure mechanisms* to facilitate changes.

Below are a few points about *underwriting* the change process.

A basic funding principle is that no single source of or approach to financing is sufficient to underwrite major systemic changes.

Opportunities to Enhance Funding

- reforms that enable redeployment of existing funds away from redundant and/or ineffective programs
- reforms that allow flexible use of categorical funds (e.g., waivers, pooling of funds)
- health and human service reforms (e.g., related to Medicaid, TANF, S-CHIP) that open the door to leveraging new sources of MH funding
- accessing tobacco settlement revenue initiatives
- collaborating to combine resources in ways that enhance efficiency without a loss (and possibly with an increase) in effectiveness (e.g., interagency collaboration, public-private partnerships, blended funding)
- policies that allow for capturing and reinvesting funds saved through programs that appropriately reduce costs (e.g., as the result of fewer referrals for costly services)
- targeting gaps and leveraging collaboration (perhaps using a broker) to increase extramural support while avoiding pernicious funding
- developing mechanisms to enhance resources through use of trainees, work-study programs, and volunteers (including professionals offering pro bono assistance).

For More Information

The Internet provides ready access to info on funding and financing.

Regarding funding, see:

>*School Health Program Finance Project Database* – http://www2.cdc.gov/nccdphp/shpfp/index.asp
>*School Health Finance Project of the National Conference of State Legislators* – http://ncsl.org/programs/health/pp/schlfund.htm
>*Snapshot from SAMHSA* – http://www.samhsa.gov
>*The Catalog of Federal Domestic Assistance* – http://www.gsa.gov/
>*The Federal Register* – http://www.access.gpo.gov/GPOAccess
>*GrantsWeb*–http://www.research.sunysb.edu/research/kirby.html
>*The Foundation Center* – http://fdncenter.org
>*Surfin' for Funds* – guide to internet financing info http://smhp.psych.ucla.edu/ (search *Quick Find*)

Regarding financing issues and strategies, see:

>*The Finance Project* – http://www.financeproject.org
>*Center for Study of Social Policy* – http://www.cssp.org
>*Center on Budget and Policy Priorities* – http:www.cbpp.org
>*Fiscal Policy Studies Institute* – http://www.resultsaccountability.com

To foster service coordination, there are several ways to use existing dollars provided to a district by the federal government. For example, some districts use funds from Title I of the No Child Left Behind Act based on a provision that encourages steps to foster service coordination for students and families. A similar provision exists in the 1997 reauthorization of the Individuals with Disabilities Education Act. Other possible sources are Community MH Services block grant, funds related to after school programs, state-funded initiatives for school-linked services, etc.

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Awareness of the myriad political and bureaucratic difficulties involved in making major institutional changes, especially with limited financial resources, leads to the caution that the type of approach described above is not a straight-forward sequential process. Rather, the process proceeds and changes emerge in overlapping and spiraling ways. Nevertheless, it helps to have the type of step-by-step overview that has been just outlined.

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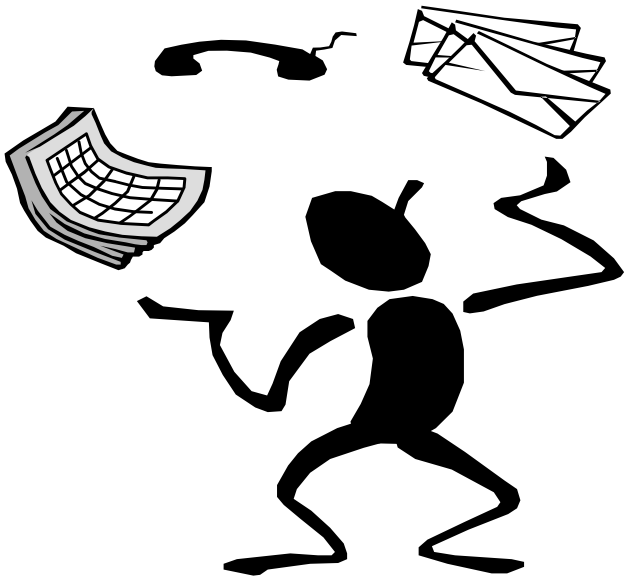

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Some Helpful Websites to search related to Sustainability:

The Community Toolbox – http://ctb.ku.edu/about/
The Financing Project – http://www.financeproject.org/ (several documents on topic)
Northwest Regional Educational Laboratory – http://www.nwrel.org
Annie E Casey Foundation – http://www.aecf.org (e.g., see documents such as "Rebuilding Communities" for discussions of sustainability)
Calif. Center for Health Improvement – http://www.healthpolicycoach.org

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*All resources cited from the Center for Mental Health in Schools at UCLA are available online and can be downloaded from http://smhp.psych.ucla.edu

In addition to those cited above, the following may be of interest:

>*Addressing Barriers to Student Learning & Promoting Healthy Development: A Usable Research-Base*
>*Enhancing Classroom Approaches for Addressing Barriers to Learning: Classroom-Focused Enabling*
>*Evaluation and Accountability: Getting Credit for All You Do*
>*Expanding Educational Reform to Address Barriers to Learning: Restructuring Student Support Services and Enhancing School-Community Partnerships*
>*Financial Strategies to Aid in Addressing Barriers to Learning*
>*Financing Mental Health for Children & Adolescents (Brief and Fact Sheet)*
>*Framing New Directions for School Counselors, Psychologists, & Social Workers*
>*Integrating Mental Health in Schools: Schools, School-Based Centers, and Community Programs Working Together*
>*New Directions in Enhancing Educational Results: Policymakers' Guide to Restructuring Student Support Resources to Address Barriers to Learning*
>*New Initiatives: Considerations Related to Planning, Implementing, Sustaining, and Going-to-Scale*
>*Organization Facilitators: A Change Agent for Systemic School and ommunity Changes*
>*Resource-Oriented Teams: Key Infrastructure Mechanisms for Enhancing Education Supports*
>*Restructuring Boards of Education to Enhance Schools' Effectiveness in Addressing Barriers to Student Learning*
>*Sampling of Outcome Findings from Interventions Relevant to Addressing Barriers to Learning*
>*School-Community Partnerships: A Guide*
>*Working Together: From School-Based Collaborative Teams to School-Community-Higher Education Connections*

Appendices

A. Readiness for Systemic Change

B. Social Marketing, Data, and Systemic Change

C. Formative and Summative Evaluation of Efforts to Sustain Functions

Appendix A

Readiness for Systemic Change

Substantive change is most likely when high levels of positive energy among stakeholders can be mobilized and appropriately directed over extended periods of time. That is, one of the first concerns related to systemic change is how to mobilize and direct the energy of a critical mass of participants to ensure readiness and commitment. This calls for proceeding in ways that establish and maintain an effective match with the motivation and capabilities of involved parties.

The initial focus is on communicating essential information to key stakeholders using strategies that help them understand that the benefits of change will outweigh the costs and are more worthwhile than competing directions for change.

The strategies used must be personalized and accessible to the subgroups of stakeholders (e.g., must be "enticing," emphasize that costs are reasonable, and engage them in processes that build consensus and commitment).

Benchmarks related to Creating Readiness for Systemic Change
Related to School/Community Approaches to Addressing Barriers to Learning,
Promoting Healthy Development, & Closing the Achievement Gap

Location:	Date Started	Date Completed	Current Status
I. Orienting Stakeholders			
A. Basic ideas and relevant research base are introduced to key stakeholders using "social marketing" strategies >school administrators >school staff >families in the community >business stakeholders _____ _____			
B. Opportunities for interchange are provided & additional in-depth presentations are made to build a critical mass of consensus for systemic changes			
C. Ongoing evaluation of interest is conducted until a critical mass of stakeholders indicate readiness to pursue a policy commitment			
D. Ratification and sponsorship are elicited from a critical mass of stakeholders			
II. Establishing Policy Commitment & Framework			
A. Establishment of a high level policy and assurance of leadership commitment			
A. Policy is translated into an inspiring vision, a framework, and a strategic plan that phases in changes using a realistic time line			
B. Policy is translated into appropriate resource allocations (leadership, staff, space, budget, time)			
D. Establishment of incentives for change (e.g., intrinsically valued outcomes, expectations for success, recognitions, rewards)			
E. Establishment of procedural options that reflect stakeholder strengths and from which those expected to implement change can select strategies they see as workable			
F. Establishment of an infrastructure and processes that facilitate change efforts			
G. Establishment of a change agent position			
H. Establishment of temporary infrastructure mechanisms for making systemic changes			
I. Initial capacity-building – developing essential skills among stakeholders to begin implementation			
J. Benchmarks are used to provide feedback on progress and to make necessary improvements in the process for creating readiness			

Appendix B

Social Marketing, Data, and Systemic Change

Social marketing is an important tool for fostering a critical mass of stakeholder support for efforts to change programs and systems. Particularly important to effective marketing of change is the inclusion of the evidence base for moving in new directions.

The handout included here can be used to provide a quick introduction as a basis for discussion by school-community partners about the importance of social marketing to sustainablity.

For an example of a research base that can be used to support comprehensive, multifaceted approaches to addressing barriers to student learning, see the UCLA Center Brief entitled: *Addressing barriers to student learning and promoting healthy development: A usable research base.* This summary of data can be extrapolated and combined with local data and anecdotes to support a variety of school-community endeavors. The brief can be downloaded from the Center's website: http://smhp.psych.ucla.edu – hard copies can be ordered at cost.

Appendix B

Social Marketing as a Spiraling Facet of Program and Systemic Change

Social marketing is a tool for accomplishing social change.

As such, it can be used in good or bad ways.

Social marketing draws on concepts developed for commercial marketing, but in the context of school and community change, we are not talking about selling products. We are trying to build a consensus for ideas and new approaches that can strengthen youngsters, families, and neighborhoods. Thus, we need to reframe the concept to fit our purposes.

Some Basic Marketing Concepts as Applied to Changing Schools and Communities

- the aim is to influence action by key stakeholders
- to achieve this aim, essential information must be communicated to key stakeholders and strategies must be used to help them understand that the benefits of change will outweigh the costs and are more worthwhile than competing directions for change
- the strategies used must be personalized and accessible to the subgroups of stakeholders (e.g., must be "enticing," emphasize that costs are reasonable, and engage them in processes that build consensus and commitment)

Because stakeholders and systems are continuously changing, social marketing is an ongoing process.

Social Marketing as an Aid in Creating Readiness for Change

From a teaching and learning perspective, the initial phases of social marketing are concerned with creating readiness for change. Substantive change is most likely when high levels of positive energy among stakeholders can be mobilized and appropriately directed over extended periods of time. That is, one of the first concerns related to systemic change is how to mobilize and direct the energy of a critical mass of participants to ensure readiness and commitment. This calls for proceeding in ways that establish and maintain an effective match with the motivation and capabilities of involved parties.

With respect to systemic change, the initial aims are to

- introduce basic ideas and the relevant research base to key stakeholders using "social marketing" strategies
- provide opportunities for interchange & additional in-depth presentations to build a critical mass of consensus for systemic changes
- conduct ongoing evaluation of interest until a critical mass of stakeholders indicate readiness to pursue a policy commitment
- obtain ratification and sponsorship by critical mass of stakeholders
- establish a high level policy and ensure leadership commitment
- translate policy into an inspiring vision, a framework, and a strategic plan that phases in changes using a realistic time line
- translate policy into appropriate resource allocations (leadership, staff, space, budget, time)
- establish incentives for change (e.g., intrinsically valued outcomes, expectations for success, recognitions, rewards)
- establish procedural options that reflect stakeholder strengths and from which those expected to implement change can select strategies they see as workable
- establish an infrastructure and processes that facilitate change efforts
- establish a change agent position
- establish temporary infrastructure mechanisms for making systemic changes
- build initial implementation capacity – develop essential skills among stakeholders
- use benchmarks to provide feedback on progress and to make necessary improvements in the process for creating readiness

Appendix C

Formative & Summative Evaluation of Efforts to Sustain Functions

As highlighted earlier, findings supporting the value of sustaining functions are invaluable in making the case for doing so. Such data come from intervention/program evaluation.

In this appendix, the emphasis is on a different evaluation focus – monitoring and determining the efficacy of the sustainability activity.

Essentially what is involved is:

- formulating an evaluation action plan
- adopting specific *benchmarks* for monitoring progress
- specifying and measuring *immediate indicators* that functions are sustained
- specifying and measuring *longer-term indicators* that functions are sustained

On the following pages is a brief introduction to the evaluation problem. This is followed by a *benchmark* tool that can be adapted for local use in monitoring progress. The benchmarks are organized in terms of the four stages of the sustainability process as discussed in this brief and in other Center documents. (Note: In several instances, specific steps that logically go together are combined.)

Immediate indicators that functions are sustained include data from several sources that show functions that were in danger of being lost (1) are being continued and (2) are being carried out in ways that maintain their potency.

Longer-term indicators that functions are sustained include data from several sources that show functions in danger of being lost are *institutionalized*. The focus here is on matters such as including the functions in policy statements, as regular items in the budget, as part of regular job descriptions for administrative and line staff, as part of the systems' accountability reviews, and so forth.

I. A Brief Overview of the Evaluation Problem

> Evaluation practiced at the highest level of the state-of-the-art is one means of speeding up the processes that contribute to human and social progress.
>
> Rossi, Freeman, & Wright[1]

Increased concern about evaluation in psychology and education has advanced the way evaluation is conceived.[2] Despite the breadth of this scholarly activity, widespread demands for accountability continue to narrow the way professionals, clients, policy makers, underwriters, and the general public think about evaluation. Social and political forces literally have shaped the whole enterprise of program evaluation.[3]

The prevailing cry is for specific evidence of efficacy—usually in terms of readily measured immediate benefits—and for cost containment. Although understandable in light of the unfulfilled promise of so many programs and the insatiable demands on limited public finances, such naive accountability demands ignore the complexities of intervention. The problem is well exemplified by the narrow focus found in reviews, analyses, and reanalyses of data on psychotherapy, behavior change, and early education programs.[4]

Besides responding to accountability pressures, two unfounded presumptions are at the core of most current evaluations in psychology and education. One premise is that an intervention in widespread use must be at a relatively evolved stage of development and thus warrants the cost of summative evaluation. The other supposition is that major conceptual and methodological problems associated with evaluating intervention efficacy are resolved. The truth, of course, is that interventions are frequently introduced prior to adequate development with a view to evolving them based on what is learned each day. Moreover, many well-institutionalized approaches remain relatively underfunded and underdeveloped. As to the process of evaluation, every review of the literature outlines comprehensive, unresolved concerns. Given this state of affairs, accountability demands are often unreasonable and chronically reflect a naive view of research and theory.

Overemphasis on immediate evaluation of the efficacy of underdeveloped interventions draws resources and attention away from the type of intensive research programs necessary for advancing intervention knowledge and practice. Cost-effective outcomes cannot be achieved in the absence of cost-effective development of interventions and related intervention research. *Premature* efforts to carry out comprehensive summative evaluations clearly are not cost-effective. Consequently, policies mandating naive accountability run the risk of generating evaluative practices that are neither cost-effective nor wise.[5]

The evaluation problem, then, involves more than determining the efficacy of current interventions and more than finding better ways to evaluate efficacy. Broadly stated, it encompasses concerns about how to expand the focus of evaluation not only to contribute to improving practice, but also to aid in evolving theory and basic knowledge about intervention.

On the following pages, our intent is to briefly highlight the concept of evaluation.

The Essence of Evaluation

Evaluation involves determining the worth or value of something.[6] In formal terms, we define comprehensive evaluation as a systematic process designed to describe and judge an intervention's antecedents, transactions, and overall impact and value for purposes of making decisions and advancing knowledge.[7]

Everyone evaluates interventions with which they come in contact. Whenever anyone decides that an intervention is or isn't a good one, an evaluation is made.[8] Interveners judge whether their own and others' programs are going well. Clients are quick to formulate likes or dislikes of interveners and their programs. Administrators know which programs they think are working and which aren't.

Some evaluative judgments simply reflect an individual's or group's informal observations. Other judgments are based on careful data gathering and analyses and use of appropriate sets of standards. Some evaluations only offer conclusions about the degree to which a program is effective. Most, however, also incorporate the conclusions of those judging the program in terms of whether they agree with what it is trying to do. Since what a program intends to do stems from its rationale, program evaluations inevitably influence views about the appropriateness of its underlying rationale.

Systematic evaluation planning requires decisions about (1) the focus of evaluation (e.g., person or environment, immediate objectives vs. long-range aims), (2) whose perspective (e.g., client, intervener, program underwriter) is to determine the evaluation focus, methods, and standards used, and (3) the best way to proceed in gathering, analyzing, and interpreting information (e.g., specific measures, design). In making such decisions, concerns arise because what can be evaluated currently is far less than what a program may intend to accomplish. Furthermore, inappropriate bias and vested interests shape evaluation planning and implementation, thereby influencing whether a program is seen as good or bad. And all aspects of evaluation have the potential to produce negative effects; for instance, evaluation can lead to invasion of privacy and an undermining of the ability of clients and interveners to self-evaluate, and over time, what is evaluated can reduce and reshape a program's intended aims.

Purposes. Intervention evaluation can aid efforts to (1) *make decisions* about whether to undertake, continue, modify, or stop an intervention for one or more clients and (2) *advance knowledge* about interventions in ways that can advance understanding of and improve practices (including utility), training, and theory. Evaluation is useful in relation to a great variety of interventions as an aid in assessing efficiency, effectiveness, and impact. As Rossi and Freeman state:

> The mass communication and advertising industries use fundamentally the same approaches in developing media programs and marketing products; commercial and industrial corporations evaluate the procedures they use in selecting and promoting employees and organizing their work forces; political candidates develop their campaigns by evaluating the voter appeal of different strategies; . . . administrators in both the public and private sectors are continually assessing clerical, fiscal, and interpersonal practices of their organizations. The distinction between these uses of evaluation lies primarily in the intent of the effort to be evaluated . . . to benefit the human condition . . . [or] for other purposes, such as increasing profits or amassing influence and power.[9]

Providing a broad categorical view of the areas in which evaluation is applied, Scriven outlines the "Big Six" plus others. The Big Six are listed as product, performance, personnel, program, proposal, and policy evaluations. To these, he adds two other applied fields. "The first is the evaluation of evaluations (meta-evaluation). . . . The second is a field comprising a set of fields: It might be called `intradisciplinary evaluation,' the evaluation of the data, sources, explanations, definitions, classifications, theories, designs, predictions, contributors, journals, and so on within a discipline." Scriven concludes: "In toto, intradisciplinary evaluation is by far the largest part

of evaluation, and having practitioners do it with reasonable skills is the price of admission to the company of disciplines. Other applied fields besides the Big Six range from literary criticism and real estate appraisal to quality control in industry."[10]

Stake's evaluation matrix is reproduced in Figure 2 as an example of a framework designed to outline the general nature of information for meeting many evaluation purposes.[11] As the framework suggests, evaluation encompasses the acts of *describing* and *judging* an intervention's (1) rationale, including assumptions and intentions, (2) standards for making judgments, (3) actual activity, including intended and unintended procedures and outcomes, and (4) costs—financial, negative effects, and so forth. To achieve the above ends in a comprehensive manner, both immediate and long-term information on an intervention must be gathered.[12]

Tasks For Planning. Awareness of tasks involved in planning an evaluation provides another perspective on the process. Such tasks reflect the necessity in evaluation planning of making decisions about the focus of the evaluation, its specific objectives, and appropriate methodology and measures.

Our formulation identifies the following seven key planning tasks:

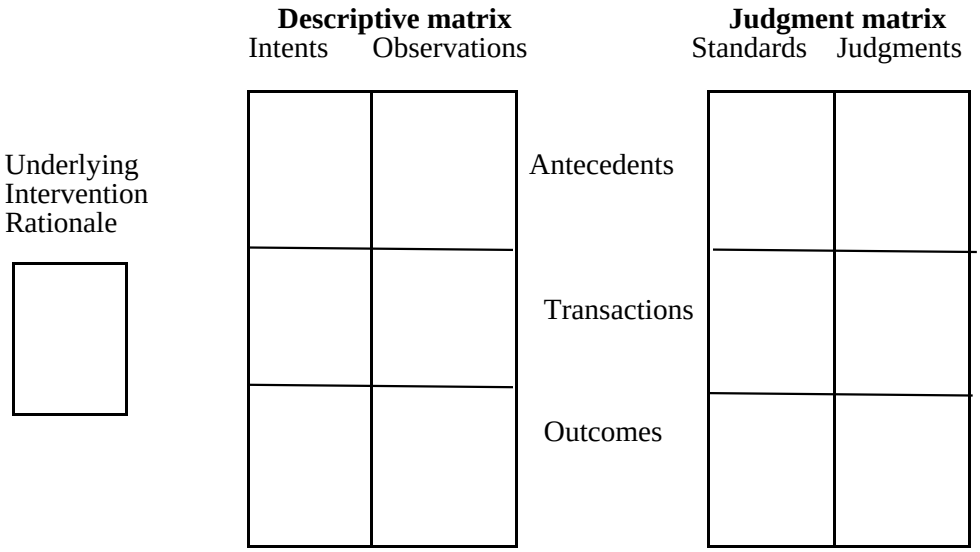
- *Clarifying the intended use of information.* Most important here is awareness of who wants the information and why they need it. Ultimately this translates into the question: What types of decisions are to be made? Also important is the matter of anticipating the use and political and motivational impact of evaluation processes and findings. This includes a significant appreciation of the often conflicting interests among the variety of interested parties (i.e., stakeholders).
- *Understanding the intervention's rationale.* In cases where evaluation includes judging the intervention rationale, pursuit of the above task (clarifying the intended use of evaluation information) will result in gathering information about the rationale. However, when the evaluation is designed with reference to a standardized set of objectives, clarification of the rationale becomes a separate task. In either case, an understanding of the intervention rationale can provide a separate basis for deciding about other intervention facets to evaluate.
- *Formulating evaluation questions.* Evaluative concerns are translated into a set of questions. For example: Were intended antecedent conditions present during the intervention? Which procedures were effective for which clients? Were there undesirable transactions? Were specific objectives achieved? Were long-range aims achieved? Did expected negative outcomes occur? Were there unexpected negative outcomes?

A. *Specifying information to be gathered.* Relevant descriptive information that can answer each major question is specified. The more things one is interested in evaluating, the more one has to settle for samples of information. Some of the information likely will be of a quantitative nature; some may be qualitative.[13]

- *Specifying procedures.* Decisions about information gathering are shaped first by what one wants to know and then are tempered by practical considerations. Problems related to gathering desired information become evident as one attempts to specify procedures. Limitations related to time, money, sample availability, valid measures, multivariate statistics, and personnel usually lead to major compromises in evaluation planning. For example, sometimes a good measuring instrument exists; sometimes only weak procedures are available; sometimes gathering desired information is not currently feasible. A special set of problems stems from the socio-political-economic concerns (e.g., threats to current status) and psychological reactance (e.g., fear-based resistance) that are common phenomena when evaluation is introduced.[14]

Figure 2

Layout of Statements and Data to Be Collected During Evaluation



Source: R. Stake (1967). The countenance of educational evaluation. *Teachers College Record, 68,* 523–40. Reprinted with permission.

- *Specifying a design.* An evaluation design is used so that information can be gathered and interpreted appropriately. When someone asks how good an intervention is, judgments are based on the available information and are relative to some standard of comparison. A sound design ensures that appropriate bits of information (e.g., data) are gathered, including information for use as standards for judgments. A sound evaluation design also includes provision for the gathering and use of information for revising interventions as the process proceeds.[15]

- *Designating time and place for collecting information.* Further practical considerations arise when evaluations are scheduled. The design sets the general parameters; the particulars are determined by practical factors such as resource availability.

One major evaluation concern not reflected above involves decisions about the role of various interested parties. For example, as suggested throughout, rationales may differ with respect to what should be evaluated. If so, whose rationale should prevail? Every facet of an evaluation is influenced by the answer to this question.

Another matter not specifically addressed above involves ethical concerns associated with evaluation. Naturally, these are similar to those discussed in relation to assessment in general. For instance, evaluators must be concerned with how to minimize possible bias and conflicts of interest, as well as negative consequences that can arise from evaluation itself.

Impact on Program Breadth. As the discussion to this point underscores, a common use of evaluation is to determine if one agrees with what the intervention is trying to accomplish and how well the intervention is accomplishing the full range of outcomes desired. The less a program is trying to achieve, the easier it is to determine these matters. It is hard to evaluate large-scale social programs, community agencies, and most school programs, for example, because they are trying to accomplish so many different goals.[16]

Ironically, the longer a program is subjected to external, formal evaluation, the less it may try to accomplish. At least this seems to be one negative effect of the big push toward behavioral and criterion-referenced outcomes as ways to improve accountability. That is, such approaches can cause a shift away from a program's long-range aims toward a limited set of immediately measurable objectives. This is a negative form of "teaching to the test" because, in the process, many important things are ignored simply because they will not be directly evaluated.[17] If one is not careful, the desire for information on effectiveness can redesign a program's underlying rationale in ways that inappropriately reduce its breadth of focus.

Comprehensive evaluation should stress the full scope of desired intervention aims. That is, even when certain processes and outcomes are not easily measured, they still must be evaluated as well as is possible and kept in the forefront of discussions about a program's worth. For example: from a motivational perspective, a basic concern is whether a program enhances clients' interest, desire, and participation in improving their functioning. Because none of these outcomes is readily measured, the danger is that they will not be afforded the attention they warrant.

In sum, evaluations of whether an intervention is any good must first address the question: Is what it is trying to accomplish appropriate? The frame of reference for such evaluations may be the intervention rationale or what others think the program should be doing or both. After judging the appropriateness of what is wanted or expected, a program's intended breadth of focus should guide efforts to evaluate effectiveness. Because not everything is measurable in a technically sophisticated way, some things will be poorly measured or simply reviewed informally. Obviously, this is less than satisfactory. Still, from a rational perspective, continued emphasis on the entire gamut of what is intended is better than limiting evaluation to approaches that inappropriately narrow the breadth of focus for intervention.[18]

In this context, we are reminded of Yankelovich's commentary on measurement:

> The first step is to measure whatever can be easily measured. This is okay as far as it goes. The second step is to disregard that which can't be measured or give it an arbitrary quantitative value. This is artificial and misleading. The third step is to presume that what can't be measured easily isn't very important. This is blindness. The fourth step is to say what can't be measured really doesn't exist. This is suicide.[19]

NOTES

1. P.H. Rossi, H.E. Freeman, & S. Wright (1979). *Evaluation: A systematic approach* (3rd ed.). Beverly Hills, CA: Sage.

2. For a comparison of evaluation models, see D.L. Stufflebeam & W.J. Webster (1983). An analysis of alternative approaches to evaluation. In G.F. Madaus, M.S. Scriven, & D.L. Stufflebeam (Eds.), *Evaluation models*. Boston: Kluwer-Nijhoff; also see P.H. Rossi & H.E. Freeman (1989). *Evaluation: A systematic approach* (4th ed.). Newbury Park, CA: Sage. E.J. Posavac & R.G. Carey (1989). *Program evaluation: Methods and case studies* (3rd ed.). Englewood Cliffs, NJ: Prentice-Hall. For recent reviews of the topic, see W.R. Shadish, Jr., T.D. Cook, & L.C. Leviton (1991). *Foundations of program evaluation: Theories of practice*. Newbury Park, CA: Sage. L. Sechrest & A.J. Figueredo (1993). Program evaluation. *Annual Review of Psychology, 44*, 645–674. M. Scriven (1993). *Hard-won lessons in program evaluation.* San Francisco: Jossey-Bass.

3. Recent reviews stress that the evolution of program evaluation in general and evaluation theory specifically has been shaped to a significant degree by evaluation researchers who were unprepared for their confrontations with complex social and political realities—including those associated with the shift from an industrial to a postindustrial (cybernetic) era. The demand for greater external validity has forced program evaluators to move beyond the prevailing paradigms and methods guiding the social sciences. For the most part, this demand reflects the socio-political-economic nature of intervention and evaluation. That is, interventions compete for limited societal resources and evaluation feeds into political decision making about which interventions are funded and levels of support.

4. See L. Bond & B.E. Compas (Eds.) (1989). *Primary prevention and promotion in the schools*. Newbury Park: Sage, pp.106–45). A. Kazdin (1990). Psychotherapy for children and adolescents. *Annual Review of Psychology, 41*, 21–54. M.J. Lambert, D.A. Shapiro, & A.E. Bergin (1986). The effectiveness of psychotherapy. In S.L. Garfield & A.E. Bergin (Eds.), *Handbook of psychotherapy and behavior change* (3rd ed.). New York: Wiley. A. Mitchell, M. Seligson, & F. Marx (l989). *Early childhood programs and the public schools: Promise and practice*. Dover, MA: Auburn House. R.E. Slavin, N.L. Karweit, & N.A. Madden (1989). *Effective programs for students at risk*. Boston: Allyn & Bacon. J.R. Weisz, B. Weiss, & G.R. Donnenberg (1992). The lab versus the clinic: Effects of child and adolescent psychotherapy. *American Psychologist, 47*, 1578–1585.

5. Accountability pressures can lead to an overemphasis on immediate behavioral outcomes. Usually, decisions as to what and how to evaluate are made by those administering or funding an intervention. For example, with respect to specifying outcomes for evaluation, the primary focus in preparing IEPs for special education is on remedial outcomes. Furthermore, the prevailing emphasis is on specifying outcomes in terms of behavioral and criterion-referenced objectives. Similar trends are seen in psychology for interventions underwritten by third party payers. These trends no doubt are a major aid in efforts to evaluate whether outcomes are accomplished. However, the limited focus ignores the broader responsibility many interveners have for facilitating ongoing development and providing enrichment opportunities. A narrow focus on correcting problems also can be counterproductive to overcoming problems if the intervention involves little more than a set of laborious and deadening experiences. Moreover, many important facets of a program are not easily measured and thus may be given short shrift (e.g., self-concept, attitudes toward system improvement and problem solving). In general, the danger is that valuable intervention aims and goals are lost when *all* ends are specified in terms of highly concrete and easily measurable objectives. Not all complex long-range aims that an intervention should pursue can be stated as short-term or behavioral objectives. Indeed, only a relatively limited set of skills can be specified in highly concrete, behavioral terms—and even in these instances, it may not be desirable to do so for intervention purposes. In education, beside the fact that specifying everything in this way would result in far too many objectives to teach, the trend stresses *teaching* at the expense of *learning*. Moreover, attitudes, motivation, and creative functioning in the arts and sciences, for example, do not lend themselves to formulation in simple behavioral terms.

The dilemmas raised by accountability pressures are well illustrated in an article on mental health services for children: see J.D. Burchard & M. Schaefer (1992). Improving accountability in a service delivery system in children's mental health. *Clinical Psychology Review, 12*, 867–882.

6. We recognize the deficiencies of this simple definition. Still, it conveys the essence of the process. Reviewing the matter, Scriven states: "Evaluation is a process of determining certain evaluable properties of things, but there is more than one kind of such properties. Perhaps the most fundamental and important distinction among them is between merit or quality and worth or value." Using the example of a high school French teacher, he notes that the teacher may be the best in a school, but if enrollment patterns shift away from French, that teacher's worth or value to the school diminishes. The teacher's merit (i.e., quality in terms of professional standards) has not declined, but his or her benefit (vis à vis meeting the school's needs) has. M. Scriven (1993). *Hard-won lessons in program evaluation.* San Francisco: Jossey-Bass, p. 67.

7. Rossi and Freeman use the terms *evaluation* and *evaluation research* interchangeably. Their definition states: "Evaluation research is the systematic application of social research procedures for assessing the conceptualization, design, implementation, and utility of social intervention programs." See P.H. Rossi & H.E. Freeman (1989). *Evaluation: A systematic approach* (4th ed.). Newbury Park, CA: Sage, p. 18.

8. Conclusions of good or bad clearly are value judgments. Shadish and colleagues note that "Early evaluators mostly ignored the role of values in evaluation—whether in terms of justice, equality, liberty, human rights, or anything else. . . . such evaluators believed their activities could and should be value-free. But it proved to be impossible in the political world of social programming to evaluate without values becoming salient. Social programs are themselves not value-free." W.R. Shadish, Jr., T.D. Cook, & L.C. Leviton (1991). *Foundations of program evaluation: Theories of practice*. Newbury Park, CA: Sage, pp. 46–47.

9. Rossi & Freeman, *Evaluation*, p. 19.

10. Scriven, *Hard-won lessons in program evaluation*, p. 44.

11. R.E. Stake (1967). The countenance of educational evaluation. *Teachers College Record, 68*, 523–40. Among program evaluators, Robert Stake is one of the early and long-term contributors. See Shadish, Cook, & Leviton, *Foundations of program evaluation*, for a comprehensive overview of his ideas and contribution, as well as those of other influential leaders such as Michael Scriven, Donald Campbell, Carol Weiss, Joseph Wholey, Lee Cronbach, and Peter Rossi.

12. A relatively new form of evaluation practice is a process called "prospective evaluation," which has been developed by the Program Evaluation and Methodology Division (PEMD) of the U.S. General Accounting Office (GAO). The purpose of the process is to predict or forecast the impact of a proposed program or policy change (e.g., as an aid to legislators). The potential value of such forecasts is obvious; so are the problems associated with efforts to make accurate predictions. See General Accounting Office (1989). *Prospective evaluation methods: The prospective evaluation synthesis*. GAO/PEMD-89-10. Washington, DC: Author.

13. Among academics, there is a running argument about the relative merits of quantitative and qualitative evaluations. In response to the many who argue primarily for quantitative evaluation, Guba and Lincoln have argued strongly for qualitative evaluation. See E.G. Guba & Y.S. Lincoln (1989). *Fourth generation evaluation.* Newbury Park, CA: Sage.

Sechrest and Figueredo suggest that a compromise may be possible "in light of the realization that although rigorous theory testing is admittedly sterile and nonproductive without adequate theory development, creative theory construction is ultimately pointless without scientific verification." L. Sechrest & A.J. Figueredo (1993). Program evaluation. *Annual Review of Psychology, 44*, 645–74, p. 654.

14. Posavac and Carey enumerate and discuss how political and psychological factors can undermine evaluation efforts, and suggest ways to plan for dealing with them. See E.J. Posavac & R.G. Carey (1989). *Program evaluation: Methods and case studies* (3rd ed.). Englewood Cliffs, NJ: Prentice-Hall.

15. Tharp and Gallimore describe a fine example of program development based on a progressive series of formative and summative evaluations. Over a period of ten years, they made a succession of process and outcome evaluations using the quantitative data and qualitative information gathered on variables affecting the outcomes to improve the program. That is, data gathered at each stage of program development were used as feedback for revising the intervention. See R.G. Tharp & R. Gallimore (1979). The ecology of program research and evaluation: A model for evaluation succession. In L. Sechrest, S.G. West, M.A. Phillips, R. Redner, & W. Yeaton (Eds.), *Evaluation Studies Review Annual* (Vol. 4, pp. 39–60). Beverly Hills, CA: Sage.

16. Besides being difficult to carry out, evaluations of large-scale social and educational programs are costly, and the history of efforts to evaluate such programs is characterized by weak and often poorly conceived methodology as well as findings that are subject to varying interpretations. At the same time, it is evident that such evaluations must be pursued, and we must learn to do them better. In this regard, each new national and state evaluation provides a unique opportunity to improve the process of evaluation.

17. Charles Silberman cogently noted in his 1970 book, *Crisis in the classroom* (Vintage Books): "Elementary school students almost invariably regard mathematics as the most important subject in the curriculum—not because of its elegance, but because math has the most homework, because the homework is corrected the most promptly, and because tests are given more frequently than in any other subject. The youngsters regard spelling as the next most important subject, because of the frequency of spelling tests" (p. 147).

We would add that, with increasing demands for accountability, teachers quickly learn what is evaluated and what is not, and slowly but surely greater attention is given to teaching what will be on the tests. Over time, what is on the tests becomes viewed as what is most important. Because only so much time is available to the teacher, other things not only are deemphasized, they also are dropped from the curriculum. If allowed to do so, accountability procedures have the power to reshape the entire curriculum.

What's wrong with that? Nothing—if what is evaluated reflects everything we want students to learn in school. Unfortunately, this is not the case.

Current accountability pressures reflect values and biases that lead to evaluating a small range of basic skills and doing so in a narrow way. For students diagnosed with problems, this is seen in the fact that their school programs increasingly have been restricted to improving skills they lack. As a result, they are cut off from participating in learning activities that might increase their interest in overcoming their problems and that might open up opportunities and enrich their future lives.

18. The issues related to the impact of a narrow focus on evaluation also arise in the context of discussions about evaluating intervener competence. That is, narrowly focused competency evaluations may constrict rather than expand intervener growth with respect to the broad range of knowledge, skills, and attitudes needed to properly plan, implement, and evaluate interventions.

19. Cited in A. Smith. *Supermoney*. New York: Random House, p. 286.

2. Benchmarks for Monitoring and Reviewing Progress of Sustainability Activity

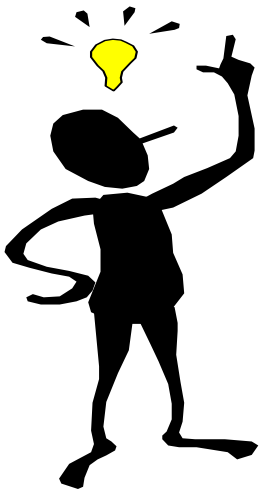
I. Preparing the Argument for Sustaining Valued Functions	Date started	Date Completed	Current Status
Developing an understanding of the *current status* of the local big picture agenda			
Clarifying how specific functions have contributed to the big picture agenda (e.g., data on results) and where the functions fit in terms of current policy and program priorities			
Clarifying what valued functions will be lost if the school(s) and community do not determine ways to sustain them			

II. Mobilizing Interest, Consensus, and Support among Key Stakeholders	Date started	Date Completed	Current Status
Identifying champions for the functions and clarifying the mechanism(s) for bringing a broad base of supporters together to work on sustainability			
Clarifying cost-effective strategies for sustaining functions			
Planning and implementing a "social marketing" strategy specifically to garner a critical mass of stakeholder support			
Planning and implementing strategies to obtain the support of key policy makers			

III. Clarifying Feasibility	Date started	Date Completed	Current Status
Clarifying how the functions can be institutionalized into existing, modified, or new infrastructure of organizational and operational mechanisms			
Clarifying how necessary changes can be accomplished			
Formulating a longer-range strategic plan for maintaining momentum, progress, quality improvement, and creative renewal			

IV. Proceeding with Specific Systemic Changes	Date started	Date Completed	Current Status
Assessing readiness to proceed with specific systemic changes			
Establishing an infrastructure and action plan for carrying out the changes			
Anticipating barriers and how to handle them			
Negotiating and renegotiating initial agreements (e.g., MOUs)			
Maintaining high levels of commitment to accomplishing desirable and necessary systemic changes			

An overarching benchmark involves the monitoring of the implementation of the evaluation action plan.



Planners must understand the environment in which they work and acknowledge the chaos that is present..

W. Sybouts