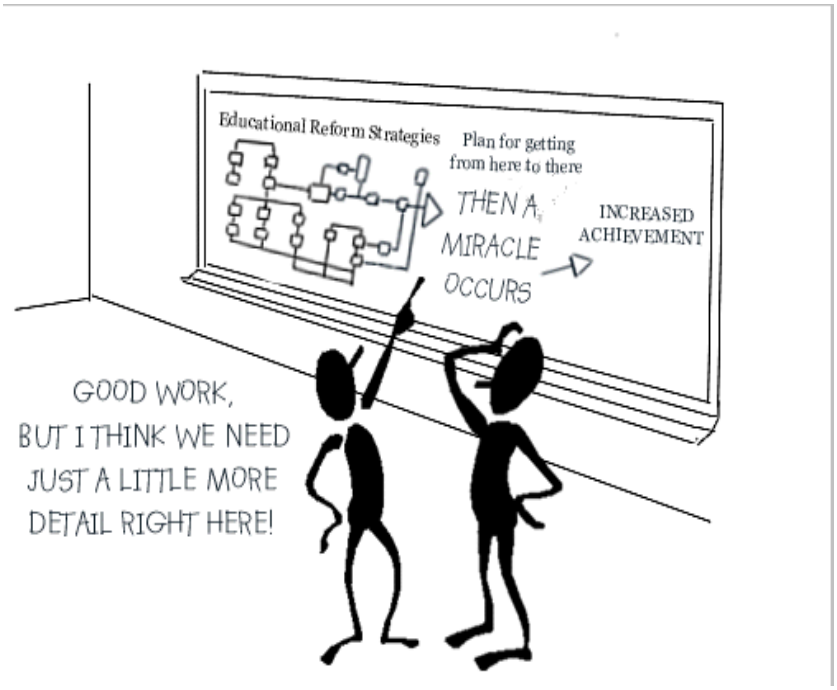
Sustaining School and Community Efforts to Enhance Outcomes for Children and Youth

A Guidebook and Tool Kit*



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*UCLA CENTER FOR MENTAL HEALTH IN SCHOOLS**

Under the auspices of the School Mental Health Project in the Department of Psychology at UCLA, our center approaches mental health and psychosocial concerns from the broad perspective of addressing barriers to learning and promoting healthy development. Specific attention is given policies and strategies that can counter fragmentation and enhance collaboration between school and community programs.

MISSION: ***To improve outcomes for young people by enhancing policies, programs, and practices relevant to mental health in schools.***

Through collaboration, the center will

- enhance practitioner roles, functions and competence
- interface with systemic reform movements to strengthen mental health in schools
- assist localities in building and maintaining their own infrastructure for training, support, and continuing education that fosters integration of mental health in schools

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About the Center's Clearinghouse

The scope of the Center's Clearinghouse reflects the School Mental Health Project's mission -- to enhance the ability of schools and their surrounding communities to address mental health and psychosocial barriers to student learning and promote healthy development. Those of you working so hard to address these concerns need ready access to resource materials. The Center's Clearinghouse is your link to specialized resources, materials, and information. The staff supplements, compiles, and disseminates resources on topics fundamental to our mission. As we identify what is available across the country, we are building systems to connect you with a wide variety of resources. Whether your focus is on an individual, a family, a classroom, a school, or a school system, we intend to be of service to you. Our evolving catalogue is available on request; and available for searching from our website.

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We can provide or direct you to a variety of resources, materials, and information that we have categorized under three areas of concern:

- Specific psychosocial problems
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- System and policy concerns

Among the various ways we package resources are our *Introductory Packets, Resource Aid Packets, special reports, guidebooks*, and *continuing education units.* These encompass overview discussions of major topics, descriptions of model programs, references to publications, access information to other relevant centers, organizations, advocacy groups, and Internet links, and specific tools that can guide and assist with training activity and student/family interventions (such as outlines, checklists, instruments, and other resources that can be copied and used as information handouts and aids for practice).

Accessing the Clearinghouse

- E-mail us at smhp@ucla.edu
- FAX us at (310) 206-8716
- Phone (310) 825-3634
- Toll Free (866) 846-4843
- Write School Mental Health Project/Center for Mental Health in Schools, Dept. of Psychology, Los Angeles, CA 90095-1563

Check out recent additions to the Clearinghouse on our Web site: http://smhp.psych.ucla.edu

All materials from the Center's Clearinghouse are available for order for a minimal fee to cover the cost of copying, handling, and postage. Most materials are available for free downloading from our website.

If you know of something we should have in the clearinghouse, let us know.

Support comes in part from the Office of Adolescent Health, Maternal and Child Health Bureau (Title V, Social Security Act), Health Resources and Services Administration, U.S. Department of Health and Human Services (Project #U45 MC 00175).

Center for Mental Health in Schools at UCLA

The *Center for Mental Health in Schools* operates under the auspices of the School Mental Health Project at UCLA.* It is one of two *national centers* concerned with mental health in schools that are funded in part by the U.S. Department of Health and Human Services, Office of Adolescent Health, Maternal and Child Health Bureau, Health Resources and Services Administration -- with co-funding from the Center for Mental Health Services, Substance Abuse and Mental Health Services Administration (Project #U93 MC 00175).

The UCLA Center approaches mental health and psychosocial concerns from the broad perspective of addressing barriers to learning and promoting healthy development. In particular, it focuses on comprehensive, multifaceted models and practices to deal with the many external and internal barriers that interfere with development, learning, and teaching. Specific attention is given policies and strategies that can counter marginalization and fragmentation of essential interventions and enhance collaboration between school and community programs. In this respect, a major emphasis is on enhancing the interface between efforts to address barriers to learning and prevailing approaches to school and community reforms.

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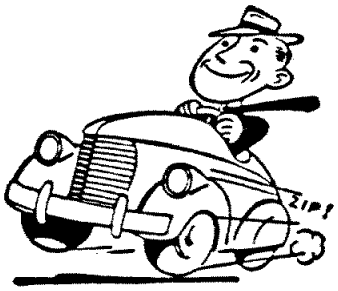

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Preface

Too many good programs initiated as specially funded projects, pilots, and demonstrations tend to be lost when the period of special funding ends. This guide/toolkit is designed as a resource aid for those in schools and communities who are concerned about sustaining valuable initiatives and innovations. Optimally, sustainability should be a focus from day one of a project's implementation. With most projects, pilots, and demonstrations, however, the pressure of just becoming operational often means that sustainability is not a major focus until well into the work and close to the end of the temporary funding. This document has been developed with this reality in mind.

The focus is on sustaining valued functions and collaborations. A particular emphasis is on efforts designed to enhance how schools address barriers to learning and teaching.

The material is oriented to the idea that the essence of sustainability is making systemic changes. In particular, the guide emphasizes that the likelihood of sustaining good approaches for enhancing outcomes for children, youth, and communities is increased if the functions are integrated into the fabric of existing support programs and services and school improvement efforts. Also, we suggest that equity requires that any good work that can benefit students in one school should be replicated so that all students in a school district have an opportunity to experience the benefits. All this usually means being involved in systemic change processes.

This document presents basic ideas, phases, stages, steps, and lessons learned from the existing research base and from many years in the field. It has benefitted greatly from the contributions of numerous professionals involved with the federal Safe Schools/Healthy Students initiative.* It has been designed with the recognition that users will want and need to make adaptations to fit their specific circumstances and contexts. And, hopefully, all who use it will continue to revise, improve, and expand this working draft.

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*We especially acknowledge the Safe Schools/ Healthy Students Action Center for providing information and guidance that supported development of this document.

The Challenge:

The tendency for many projects, pilots, and demonstrations is simply to view sustainability as finding alternate resources to carry on work developed through the special funding (e.g., *"How can we get another grant."*).

The real challenge, however, is to understand that *sustainability requires a deeper understanding of systemic change and how to promote such change.*

What the Guide Covers

What follows is a technical assistance document designed to address sustainability as a systemic change process and in the context of school-community connections.

- Part I begins with an overview of what sustainability means. It is suggested that not everything is worth maintaining and that what is maintained should be fully integrated into the fabric of existing support programs and services designed to enhance the outcomes for children, youth, and communities.
- Section 2 of Part I includes a set of tools and aids for sustainability – with an emphasis on processes that will mobilize partners and develop effective mechanisms for system change.
- In the third section of Part I, the focus is on evaluating sustainability efforts. Discussed is the necessity of formulating an evaluation action plan, adopting specific benchmarks for monitoring progress, and specifying and measuring both immediate and longer-term indicators that functions are sustained.
- Part II stresses that the likelihood of sustaining many valued functions and school-community connections is enhanced by connecting the work with educational reforms and school improvement planning. Section 1 outlines basic frameworks to help guide efforts to integrate with education reforms.
- Sections 2 and 3 of Part II reframes sustainability as an opportunity to enhance intervention and collaboration for addressing barriers to student learning and promoting healthy development. The emphasis is on playing catalytic, planning, and follow-through roles in generating the type of systemic changes that sustain and enhance functions valued by the school and community. This includes a focus on policy, collaborative infrastructure, and capacity building. The aim, over time, is to improve outcomes for all children and youth by moving initiatives for addressing barriers to student learning and promoting healthy development from the margins into the mainstream of the school and community culture.
- Finally, appendices and a list of references and resources drawn from a variety of sources provide additional guidance and tools and cover topics such as developing standards and expanding the accountability framework, social marketing, and enhancing working relationships.

Given the various stakeholders who often are involved (e.g., Districts, schools, agencies, families), the frameworks included here are intended to provide guiding templates that can be refined by different stakeholder groups. And, while the steps outlined imply a degree of linearity, it is essential to remember that systemic change is a dynamic process, and facilitation of change requires a flexible approach.

Treat this document as a starting point in your efforts to sustain important efforts. In a real sense, it is meant to be a growing toolkit. The material can be drawn upon to develop a variety of resource aids. Feel free to use whatever you find helpful and make any adaptations that will bring the content to life.

*Never doubt that a small group of thoughtful, committed people can change the world. Indeed, it is the **only** thing that ever has."*

Margaret Mead

While skills and tools are a key aspect of sustaining school-community partnerships, underlying the application of any set of procedures is *motivation.*

- Motivation for sustaining school-community partnerships comes from the desire to achieve better outcomes for all children & youth.
- It comes from hope and optimism about a vision for what is possible for all children and youth.
- 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.
- Maintaining motivation for working together comes from valuing each partner's assets and contributions.

When a broad range of stakeholders are motivated to work together to sustain progress, they come up with more innovative and effective strategies than any guidebook or toolkit can contain.

Part I: Sustainability as a Systemic Change Process

Section 1. Toward Understanding Sustainability

A. Sustainability of What? Making a Strong Argument

B. What's Involved in sustaining valued functions?

C. Guidelines, Stages, and Steps

We are confronted with insurmountable opportunities.

Pogo

Introduction

Properly conceived and implemented new initiatives are essential to improving schools and communities. Such innovations usually are pursued as projects, with temporary funding and staffing. When the funding ends, more often than not much of what has been developed disappears. Sometimes this is appropriate, such as when what was developed turns out not to be effective or important. At other times, the loss represents a set back for many stakeholders. The concern in such cases is how might the innovation be sustained. Optimally, sustainability should be a focus from the day a project is implemented. With most projects, however, the pressure of just becoming operational often postpones such a focus until well into the second year of a three year funding period.

Projects as Catalysts for Systemic Change

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.

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.

Part I: Sustainability as a Systemic Change Process

Section 1. Toward Understanding Sustainability

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 Parts II, IV, & V).*

*Part II of this 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.*

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 Part II). 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

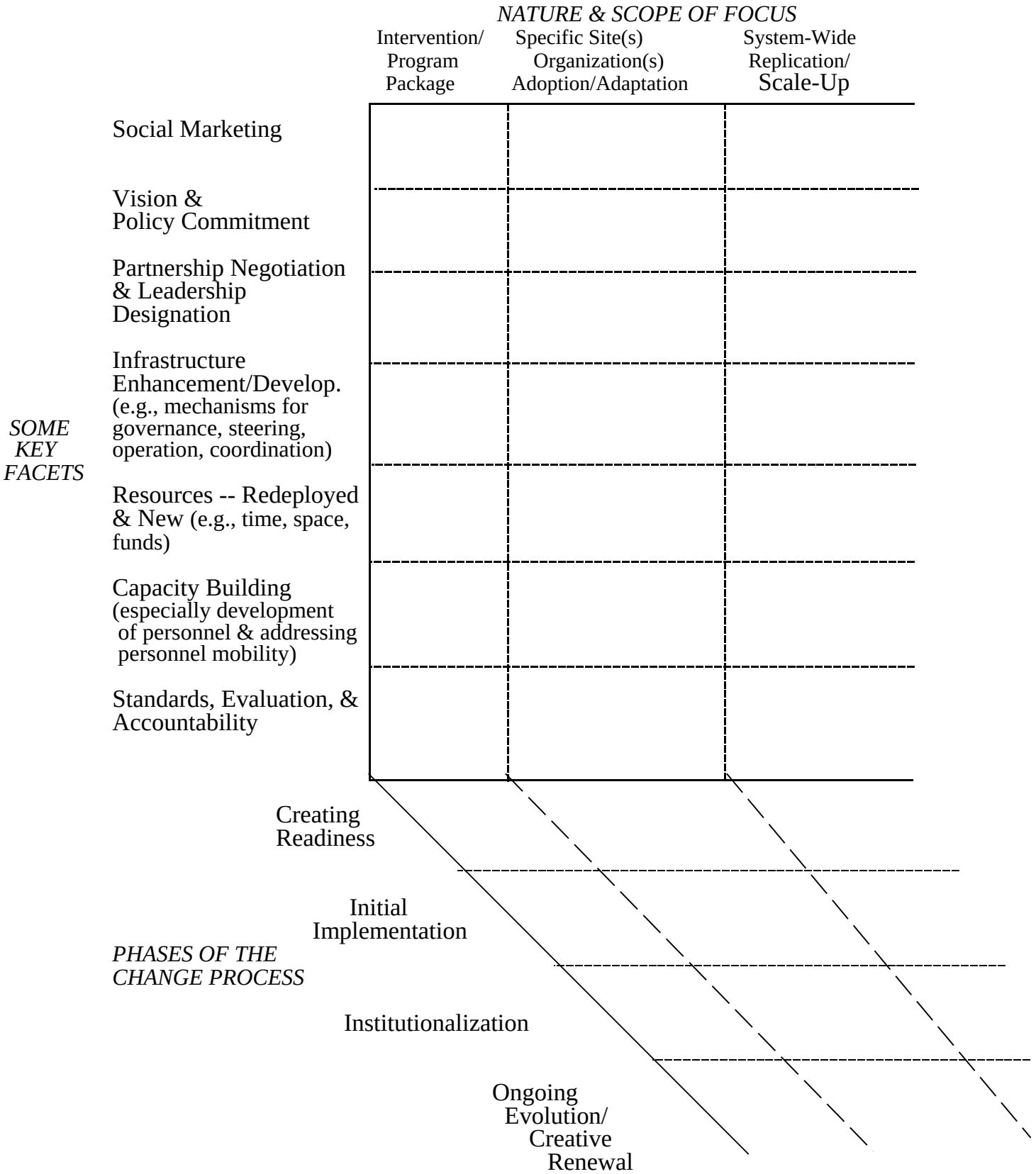


Exhibit 1

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..

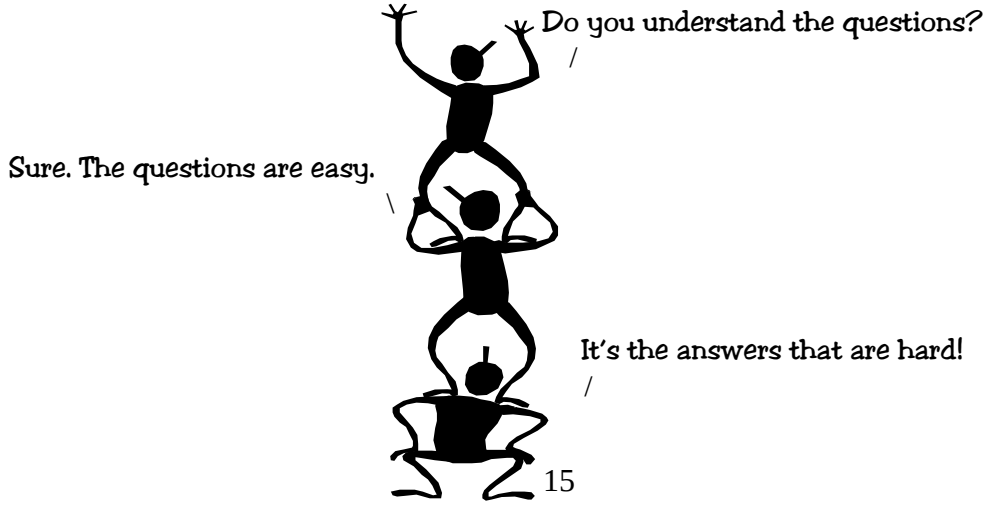
13. Establishing an infrastructure and action plan for carrying out the changes.

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.



Section 2. Some Tools and Aids for Each Stage and Step

Stage A. Preparing the Argument for Sustaining Functions

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

Stage C. Clarifying Feasibility

Stage D. Proceeding with Specific Systemic Changes

A guidebook is not a blueprint.
It is more like an architect's notes and sketches.
Use it flexibly and in ways that respond to the unique characteristics of settings and stakeholders.

Section 2. Some Tools and Aids for Each Stage and Step

This section offers some specific tools and aids as resources. They are simply examples to be adapted or to be replaced by others to meet the needs of particular situations. Additional tools and aids should be created as necessary.

Stage A. Preparing the Argument for Sustaining Functions

Step 1. **Developing an understanding of the local "Big Picture" for addressing problems and promoting development (e.g., becoming clear about the school and community vision, mission statements, current policy, major agenda priorities, etc.)**

Step 2. **Developing an understanding of the *current status* of the local big picture agenda (e.g., priorities, progress toward goals)**

Those seeking to sustain specific functions need to understand the school and community vision, mission statements, current policy, major agenda priorities, etc. and the *current status* of the local big picture agenda. Such an understanding will allow them to make the type of analyses upon which to base their arguments and do planning.

If those seeking to sustain specific functions do not have a big picture perspective, they should:

- Ask for copies of vision, mission, and policy statements and planning documents.
- If there is not enough information from these sources, convene a knowledgeable group and draft a big picture overview as a basis for proceeding. *(See aid on the next page for some group session guidelines.)*
- Gather and/or do some of mapping of overviews of current activity, initiatives, resources, collaborations, etc. *(see Appendix A).*

In the process of doing all this, it is important to pay particular attention to how the work fits into the big picture and begin thinking about what of value needs to be sustained after project funding ends.

Then, consider (a) how these functions can be integrated with existing activity and supported with existing resources, (b) how some resources can be redeployed to sustain the functions, and (c) how current efforts can be used to leverage new funds.

Resource Aid 1

Discussion aid :

Understanding the Big Picture:

Shared Hopes for the Future of
Our Children, Families, Schools, and Neighborhood

Note to participants: We have invited you to this session to help us better understand the school and community vision, current policy, major agenda priorities, etc. and the *current status* of the local agenda for the future of children, families, schools, and the neighborhood. Based on what is shared here, we will write up a working draft as a guide for future discussions and planning.

The three questions we want to explore are:

(1) What is the current vision for school/community improvement?

(2) What are current agenda priorities for improving school/community?

(3) How does current vision/mission/policy address barriers to student learning?

If you would like, we can take the first part of the meeting for making a few notes as individuals or in pairs before the discussion.

After the discussion, we will outline the consensus of the group with respect to each question.

Note: Be certain to (a) provide a clear introduction to the group about the purpose of the task, (b) ensure good facilitation (e.g., acknowledging and validating ideas, recording ideas) and (c) develop a specific plan for follow-up.

Stage A: Preparing the argument . . . (cont.)

Step 3. **Clarifying how specific functions have contributed to the big picture agenda (e.g., providing data on results) and where the functions fit in terms of current policy and program priorities**

Step 4. **Clarifying what valued functions will be lost if the school(s) and community do not determine ways to sustain them**

With respect to functions you are concerned may be lost *(i.e., may not be sustained)*, two basic question need to be answered here:

*What functions are of concern?**

What evidence is there of their value?

The example on the following page illustrates the type of tool that can aid in answering these questions. The example uses the major elements and functions specified in the original grant application for the federal Safe Schools, Healthy Students initiative. For each item, project staff (and other initiative stakeholders) are to indicate whether it was implemented, any evidence of its value, and the current likelihood of its being sustained when project funding ends. Finally, for those valued functions that are in danger of disappearing, staff indicate which partners should be encouraged to sustain each function.

*The term functions is used here for a range of activity, including developing, planning, implementing, coordinating, integrating, and enhancing specific services, programs, and systems, as well as efforts to develop comprehensive, multifaceted approaches.

Resource Aid 2

Tool for analyses: GUIDE FOR CLARIFYING WHAT FUNCTIONS WILL BE LOST

(using a Safe Schools/Healthy Students project as an example – adapt to fit your work)

The following are the six elements of the federal Safe Schools/Healthy Students initiative. For each of the functions that have been implemented to date, clarify the evidence of their value and which of the valued functions are in danger of being lost.

What functions has the project implemented?	***What evidence is there of their value?***	***Which of the valued functions will be lost?***
Safe School Environment: >Partnership with law enforcement >Redesign school facilities >Develop security measures		
Drug & Violence Prevention: >Family & comm. involvement >Reshape attitudes >Effect laws >Recreation and mentoring		
School/Community Mental Health: >Screen and assess >School-based prev. & early intervention >Referral & follow-up >School training/consultation >Support to families		
Early Childhood Psychosocial and Emotional Devel. Programs >Prevention programs >Special assistance to youngster/families		
Education Reform: >Teacher training >Afterschool programs >Alternatives to discipline >Smaller Classes		
Safe School Policies: >Clear standards >Discipline code >Teach positive behavior >Evidence based prevention >Truancy programs >Reintegrate juvenile justice >Information systems >Parent & comm. involvement		

Note: The intent here is for all involved to (a) clarify the range of interventions, (b) provide a focus for sharing early data on outcomes, and (c) highlight what will be lost if the work is not sustained.

Stage B. Mobilizing Interest, Consensus, & Support Among Key Stakeholders

Step 5. **Identifying champions for the functions and clarifying mechanism(s) for bringing a broad base of supporters together to work on sustainability**

Step 6. **Clarifying cost-effective strategies for sustaining functions**

Engaging several highly visible and respected "champions" is a good place to begin mobilizing stakeholder support. For school and community efforts, this means leaders from both sectors.

At the same time, it is important to begin making the case that functions can be maintained in a cost-effective manner. Part of this involves amassing any results-oriented data; another aspect is clarifying how existing resources can be used to sustain them.

On the following pages are:

- a brief listing of points to think about in *underwriting* the change process
- a tool for focusing discussion about the above steps

Resource Aid 3

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

Information Aid: **Thinking About Financing**

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 extra-mural 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* – www.gsa.gov/

>*The Federal Register* – 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 web 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* – 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.

Resource Aid 4

Tool for analyses: Getting Ready to Mobilize Support

(1) What valued functions might disappear when the project ends	(2) Who might champion this activity?	(3) Could this function be sustained by: (a) Integrating?	(b) Redeploying?	(c) Leveraging?	(d) Budgeting?
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

(a) integrating = making functions a part of existing activity – no new funds needed.

(b) redeploying = taking existing funds away from less valued activity.

(c) leveraging = clarifying how current investments can be used to attract additional funds.

(d) budgeting = rethinking or enhancing current budget allocations.

Note: This type of form is meant only as a stimulus for focusing effort related to the tasks at hand. It is particularly useful as a stimulus for group discussion. As with all tools, however, it is only useful to a group if there is good facilitation (e.g., the purpose of the task is clearly introduced, ideas are acknowledged, validated, and recorded, and follow-up is well-planned).

Resource Aid 5

Discussion aid: **Clarifying What Functions Will Be Lost and What to Do**

1. List aspects of your work that are likely to be lost when project funding ends despite your arguments that they are essential for students to succeed at school. (Note if you have data to back up your argument.)

2. Which key leaders in your district/county have not been involved to date but must be enlisted if these aspects are to be sustained?

3. What data are these key leaders accountable for that you can use in making the argument for sustainability?

4. Given all you have learned about problems, programs, and politics, what are you thinking needs to happen now to sustain the key aspects you have identified above? (What strategic steps are needed to ensure continuation of these important functions?)

Step 7. **Planning and implementing a "social marketing" strategy to mobilize a critical mass of stakeholder support**

Step 8. **Planning and implementing strategies to obtain the support of key policy makers**

To foster a critical mass of stakeholder support for efforts to change programs and systems, it becomes necessary to enter into the realm of "social marketing" – including the use of an evidence base for moving in new directions. For a brief introduction to these matters, see Appendix B.

On the next page is an example of a survey process designed to accomplish the following:

>inform the school-community about the initiative and its broad goals

>enhance readiness for convening groups to share the broad vision and goals and for follow-up action planning

>elicit involvement in leadership, including identifying possible champions

>clarify concerns

>provide staff and other stakeholders with information that allows them to plan school-community meetings (e.g., timing, grouping, agenda, speakers, etc.) as part of efforts to mobilize a broad base of supporters

The process can be used to

- launch an initiative
- inform the school-community of programs and services and integrate them
- anticipate the end of the funding cycle to transition functions for sustaining the effort

Resource Aid 6

Survey (using a Safe Schools/Healthy Students project as an example – adapt to fit your work)

SCHOOL-COMMUNITY ENGAGEMENT FOR SUSTAINING THE BENEFITS OF THE SAFE SCHOOLS/HEALTHY STUDENTS PROGRAMS

The Safe Schools/Healthy Students initiative was designed to assist school districts to implement and enhance community wide safe and healthy development strategies. The intent is to use the funds to support or enhance a comprehensive, integrated strategy for an entire district.

> "A critical feature of the Initiative is the linking and integration of existing and new services and activities into a comprehensive approach to violence prevention and healthy development that reflects the overall vision for the community, not the isolated objectives of a single activity." (from Safe Schools/Healthy Students application)

While project staff have initiated a number of programs and processes to address safe and healthy development, the next step is to better integrate the new activities into the fabric of the community. This step calls for involving more school and community representatives in the planning process.

To sustain the benefits of the Safe Schools/Healthy Students initiative, we need your ideas:

1. We plan to have a series of meetings with various groups to share the current activities of the initiative and discuss ways these activities can be integrated into ongoing school and community systems. What groups and what key individuals do you think should be included in these meetings? (e.g., School Board, Chamber of Commerce, Superintendent and District Administrators, Mayor and City officials, School supervisors of support services, community agency directors, providers of services, law enforcement providers, other collaboratives working on similar concerns, others)

2. These meetings are intended to strengthen integrated school-community plans for safe and healthy development for all children and youth. What do you think is the best strategy? One way is to have a few large group presentations so everyone shares the same vision, followed by smaller groups to plan ways to implement next steps. What do you think of this? What other ideas do you have?

Survey (cont.)

3. We would like to identify key leaders to help steer this process. Who do you think should be included? Are you interested?

4. What timing would be best for these meetings? (e.g. start now, wait for summer, fall?)

5. Do you have any concerns about proceeding with this process?

6. Do you have specific hopes for the outcome of this process or other ideas?

Your Name_____

Your organization_____Position_____

Phone_____Email_____Fax_____

Address_____

Please return this to_____

We want to involve a wide a range of school-community members to participate, so please copy and share this with others who might be interested.

We will let you know the plans for the next steps. Thanks for your help.

Resource Aid 7

Discussion aid: About Steps Taken to Date to Further Sustainability

1. How far along are we in clarifying for the key decision makers where we fit into the other work being done at schools to address barriers to learning and teaching?

2. With respect to fully integrating and institutionalizing our work into school improvement processes, how far are we along in terms of having established

____ >committed administrative leaders

____ >resource-oriented mechanisms

3. How far along are we with respect to "mapping" and analyzing the existing resource-base (e.g., programs, people, current financial expenditures from various source) that might support sustaining our essential work?

4. What recommendations for sustaining essential functions have we made based on how current resources can be redeployed to improve the outcomes for all students?

Stage C. Clarifying Feasibility

> ***Step 9.*** **Clarifying how the functions can be institutionalized through existing, modified, or new *infrastructure* of organizational and operational mechanisms (e.g., for leadership, administration, capacity building, resource deployment, integration of efforts, etc.)**

It is essential to do a careful analysis of existing infrastructure (e.g., organizational and operational mechanisms) with a view to the role they might play in saving threatened functions. The process begins with a review of the list of valued functions that is in danger of disappearing.

Then, the tool on the next page can be used to do the following:

- Make a list of existing mechanisms for leadership, administration, working together, capacity building, resource deployment, integration of efforts, etc.

- Based on understanding of the current big picture agenda, make a brief case for

>which of the valued functions could be maintained through existing mechanisms?

>which could be maintained if existing mechanisms were modified to some degree? (Specify the type of modifications that would be required.)

>which of the listed functions would require new mechanisms? (Specify what mechanisms would need to be added.)

Resource Aid 8

Tool for Analyses: **Analysis of Mechanisms**

1. What are the existing mechanisms in your school and community for pursuing/integrating intervention efforts?

   Key leaders?

   Staff with designated roles and functions?

   Resource-oriented mechanisms (e.g., Learning Support Resource Team) Interagency resource groups)?

   Workgroups to map, analyze, and redeploy resources?

   Mechanism to work with a "family" of schools (e.g., feeder pattern)?

   Collaboratives to enhance working together (including coordination and integration of resources and activity)?

   Other (specifify)

2a. Which of these mechanisms would address your concern about functions that might be lost? (e.g., Is there any group that could champion the functions?)

2b. What changes might need to be made in the existing mechanisms to better address your concerns? (e.g., more involvement of leadership from the school? broadening the focus of existing teams to encompass an emphasis on how resources are deployed?)

2c. What new mechanisms are required to ensure the functions can be sustained? (e.g., establishment of a resource council for the feeder pattern of schools and their surrounding community?)

Stage C. Clarifying Feasibility (cont.)

Step 10. **Clarifying how necessary changes can be accomplished (e.g., change mechanisms – steering change, external and internal change agents, underwriting for the change process)**

For a discussion of facilitating systemic school and community changes, see Appendices C and D.

Remember that substantive changes require guidance and support from professionals with mastery level competence for creating a climate for change, facilitating change processes, and establishing an institutional culture where moving forward is a constant guideline. With this in mind, it is important to assess:

- readiness for change
- what change mechanisms are in place (e.g., designated change agents)
- what additional training is needed to ensure change agents have mastery level competence

Stage 3. Clarifying Feasibility (cont.)

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

As first steps toward longer-range strategic planning, it is helpful to revisit the big picture vision and what is currently taking place in order to clarify the gaps.

Such a gap analysis provides another basis for highlighting, in context, the need to sustain specific functions and to have a long-range plan for their maintenance and renewal.

Resource Aid 9

Tool for analyses:

Big Picture Intervention Gap Analysis

Clarifying the Gap Between the Intervention Vision and What's Actually Happening

In responding to the following questions, think in terms of what's in place and what may be missing with respect to the vision, policy, infrastructure, leadership, staff, capacity building mechanisms and resources, etc.

Process (if done by group):

- First jot down your own answers.
- Group members then can share their respective responses.
- Discuss similarities and differences.
- Finally, to the degree feasible arrive at a working consensus.

(1) Where are things currently in terms of policy and practice for addressing barriers to student learning?

(2) What is the nature and scope of the gap between the big picture intervention vision and the current state of affairs?

See Appendix E for an example of one school's efforts to create a 5 year plan.

Stage D. Proceeding with Specific Systemic Changes

Step 12. **Assessing readiness to proceed with specific systemic changes.**

The success of a sustainability campaign depends on stakeholders' motivation and capability. Substantive change is most likely when high levels of positive energy among stakeholders can be mobilized and appropriately directed over extended periods of time. Among the most fundamental errors related to systemic change is the tendency to set actions into motion without taking sufficient time to lay the foundation needed for substantive change. Thus, one of the first concerns is how to mobilize and direct the energy of a critical mass of participants to ensure readiness and commitment for systemic changes. 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 the status quo or 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). Time must be spent creating motivational readiness of key stakeholders and building their capacity and skills.

Resource Aid 10

Tool for analyses: **Assessing Readiness for Systemic Change**

On the following page is a set of benchmarks related to creating readiness for systemic change – specifically focused on school/community approaches to addressing barriers to learning, promoting healthy development, and closing the achievement gap.

This tool provides some guidelines for those steering and implementing the process.

Readiness is an everyday concern. All changes require constant care and feeding. Those who steer the process must be motivated and competent, not just initially but over time. The complexity of systemic change requires close monitoring of mechanisms and immediate follow up to address problems. In particular, it means providing continuous, personalized guidance and support to enhance knowledge and skills and counter anxiety, frustration, and other stressors. To these ends, adequate resource support must be provided (time, space, materials, equipment) and opportunities must be available for increasing ability and generating a sense of renewed mission. Personnel turnover must be addressed by welcoming and orienting new members.

Tool for analyses: Assessing Readiness for Systemic Change

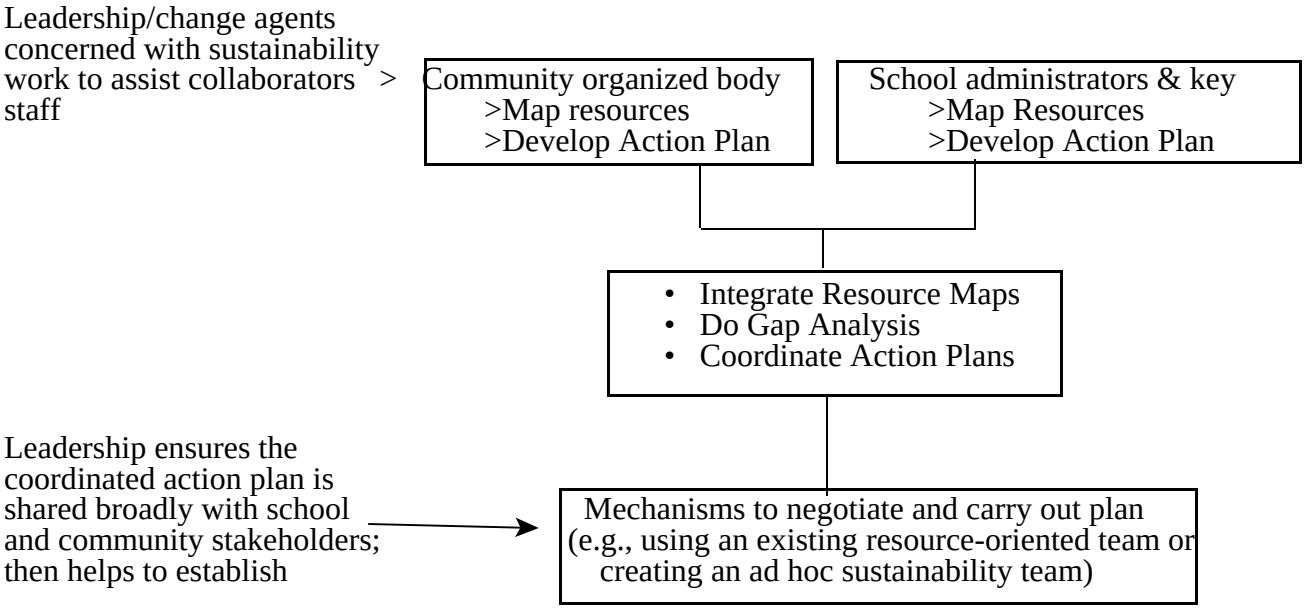
(Focus is on School/Community Approaches to Addressing Barriers to Learning, Promoting Healthy Development, & Closing the Achievement Gap)

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			
E. Establishment of a high level policy and assurance of leadership commitment			
F. Policy is translated into an inspiring vision, a framework, and a strategic plan that phases in changes using a realistic time line			
G. Policy is translated into appropriate resource allocations (leadership, staff, space, budget, time)			
H. Establishment of incentives for change (e.g., intrinsically valued outcomes, expectations for success, recognitions, rewards)			
I. Establishment of procedural options that reflect stakeholder strengths and from which those expected to implement change can select strategies they see as workable			
J. Establishment of an infrastructure and processes that facilitate change efforts			
K. Establishment of a change agent position			
L. Establishment of temporary infrastructure mechanisms for making systemic changes			
M. Initial capacity-building – developing essential skills among stakeholders to begin implementation			
N. Benchmarks are used to provide feedback on progress and to make necessary improvement in the process for creating readiness			

Stage D. Proceeding with Specific Systemic Changes (cont.)

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

At this juncture, the work entails ensuring there is an infrastructure and a plan of action for accomplishing the systemic changes necessary for sustaining desired functions. As the example below illustrates, this involves first working with existing infrastructure mechanisms to build an action plan that utilizes available resources. Then, mechanisms must be put in place to build consensus, negotiate agreements, and implement changes. The following example assumes school(s) and community trying to work together.



Aids: On the following pages are some aids in thinking about mapping school and community stakeholders who can play a significant role in helping with systemic changes.

Tools: Following the aids for mapping are

- a brief questionnaire to gauge where you and your colleagues are in the process
- a brief questionnaire to gauge your role in the sustainability process
- a set of action planning work sheets to guide next steps

Resource Aid 11

Tool for mapping: First Stage Mapping of Resources Connected to _____ School

School Psychologist _____
times at the school _____

- Provides assessment and testing of students for special services. Counseling for students and parents. Support services for teachers. Prevention, crisis, conflict resolution, program modification for special learning and/or behavioral needs.

School Nurse _____
times at the school_____

- Provides immunizations, follow-up, communicable disease control, vision and hearing screening and follow-up, health assessments and referrals, health counseling and information for students and families.

Pupil Services & Attendance Counselor
_____
times at the school _____

- Provides a liaison between school and home to maximize school attendance, transition counseling for returnees, enhancing attendance improvement activities.

Social Worker
_____
times at the school
_____

- Assists in identifying at-risk students and provides follow-up counseling for students and parents. Refers families for additional services if needed.

Counselors times at the school
_____ _____
_____ _____

- General and special counseling/guidance services. Consultation with parents and school staff.

Dropout Prevention Program Coordination
_____
times at the school _____

- Coordinates activity designed to promote dropout prevention.

Title I and Bilingual Coordinators
_____
_____

- Coordinates categorical programs, provides services to identified Title I students, implements Bilingual Master Plan (supervising the curriculum, testing, and so forth)

*Resource and Special Education Teacher*s
_____
_____
_____
times at the school _____

- Provides information on program modifications for students in regular classrooms as well as providing services for special education.

Other important resources:

School-based Crisis Team (list by name/title)
_____/_____
_____/_____
_____/_____
_____/_____
_____/_____

School Improvement Program Planners
_____/_____
_____/_____
_____/_____

Community Resources

- Providing school-linked or school-based interventions and resources

Who What they do When

_____/_____/_____
_____/_____/_____
_____/_____/_____
_____/_____/_____
_____/_____/_____
_____/_____/_____

Resource Aid 12

Information aid: Potential Community Collaborators

County Agencies and Bodies
(e.g., Depts. of Health, Mental Health, Children & Family Services, Public Social Services, Probation, Sheriff, Office of Education, Fire, Service Planning Area Councils, Recreation & Parks, Library, courts, housing)

Municipal Agencies and Bodies
(e.g., parks & recreation, library, police, fire, courts, civic event units)

Physical and Mental Health & Psychosocial Concerns Facilities and Groups
(e.g., hospitals, clinics, guidance centers, Planned Parenthood, Aid to Victims, MADD, "Friends of" groups; family crisis and support centers, helplines, hotlines, shelters, mediation and dispute resolution centers)

Mutual Support/Self-Help Groups
(e.g., for almost every problem and many other activities)

Child Care/Preschool Centers

Post Secondary Education Institutions/Students
(e.g., community colleges, state universities, public and private colleges and universities, vocational colleges; specific schools within these such as Schools of Law, Education, Nursing, Dentistry)

Service Agencies
(e.g., PTA/PTSA, United Way, clothing and food pantry, Visiting Nurses Association, Cancer Society, Catholic Charities, Red Cross, Salvation Army, volunteer agencies, legal aid society)

Service Clubs and Philanthropic Organizations
(e.g., Lions Club, Rotary Club, Optimists, Assistance League, men's and women's clubs, League of Women Voters, veteran's groups, foundations)

Youth Agencies and Groups
(e.g., Boys and Girls Clubs, Y's, scouts, 4-H, Woodcraft Rangers)

Sports/Health/Fitness/Outdoor Groups
(e.g., sports teams, athletic leagues, local gyms, conservation associations, Audubon Society)

Community Based Organizations
(e.g., neighborhood and homeowners' associations, Neighborhood Watch, block clubs, housing project associations, economic development groups, civic associations)

Faith Community Institutions
(e.g., congregations and subgroups, clergy associations, Interfaith Hunger Coalition)

Legal Assistance Groups
(e.g., Public Counsel, schools of law)

Ethnic Associations
(e.g., Committee for Armenian Students in Public Schools, Korean Youth Center, United Cambodian Community, African-American, Latino, Asian-Pacific, Native American Organizations)

Special Interest Associations and Clubs
(e.g., Future Scientists and Engineers of America, pet owner and other animal-oriented groups)

Artists and Cultural Institutions
(e.g., museums, art galleries, zoo, theater groups, motion picture studios, TV and radio stations, writers' organizations, instrumental/choral, drawing/painting, technology-based arts, literary clubs, collector's groups)

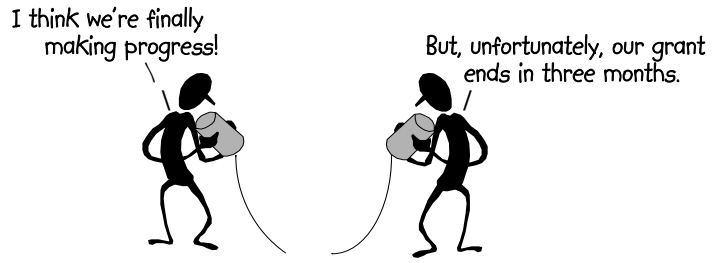
Businesses/Corporations/Unions
(e.g., neighborhood business associations, chambers of commerce, local shops, restaurants, banks, AAA, Teamsters, school employee unions)

Media
(e.g., newspapers, TV & radio, local assess cable)

Family members, local residents, senior citizens groups

Resource Aid 13

Tool for analyses: Some Steps We Have Taken in Working on Sustainability



(1) Circle "Yes," "No," or "Somewhat" to indicate the status of the steps you have taken.
(2) Indicate whether this is an area where you could use some further information and TA.
(3) Indicate any questions/concerns you want discussed about a given step.

1. We have clarified for the key decision makers where we fit into the other work being done at schools to address barriers to learning and teaching. Yes No Somewhat

We need some further info and technical assistance here ____
Questions/concerns I have about doing this:

2. With respect to fully integrating and institutionalizing our work into school improvement processes, we have
   ____ >committed administrative leaders Yes No Somewhat
   ____ >resource-oriented mechanisms Yes No Somewhat

We need some further info and technical assistance here ____
Questions/concerns I have about doing this:

3. We have "mapped" and analyzed the existing resource-base (e.g., programs, people, current financial expenditures from various source) that might support sustaining our essential work. Yes No Somewhat

We need some further info and technical assistance here ____
Questions/concerns I have about doing this:

4. We have recommendations for sustaining essential functions that we base on how current resources can be redeployed to improve the outcomes for all students. Yes No Somewhat

We need some further info and technical assistance here ____
Questions/concerns I have about doing this:

(On the back indicate any other major steps you have taken and still need info and TA.)

Resource Aid 14

Tool for analyses: Your Role in Sustaining New Approaches

(1) What is your current role in facilitating the sustainability of recently established activity?

(2) Of the following, what else could you feasiblely do?

____ social marketing

____ advocacy

____ reframe the work to clarify key decision makers where the work fits into the other work being done at schools to address barriers to learning and teaching and how it can be integrated with existing efforts and personnel

____ "map" and analyze the existing resource-base (e.g., programs, people, current financial expenditures from various source) that might support sustaining the essential work

____ develop recommendations for sustaining essential functions that are based on how current resources can be redeployed to improve the outcomes for all students

____ Other (specify)

(3) Given the above, which are the things you feel most committed to doing?

(4) Who else is working with you on sustaining the activity?

(5) What are the demands/pressures/forces at work in the district that you might be able to turn into opportunities for sustaining the work?

Resource Aid 15

Tool for Action Planning:

Getting From Here to There

(1) What do group members think must be done in order to "get from here to there?"
(i.e., General Steps and Timetable -- e.g., long-range perspective –
What actions must be taken? By who? What must be done so necessary steps are taken? etc.)

Process:

- First brainstorm;
- Then, arrive at consensus.

(2) Planning Specific Objectives and Strategies (e.g., for each step to be accomplished in the immediate future)

What do you see as the first/next steps that must be taken?

Process:
>Use flip charts to specify:

a) objectives to be accomplished

b) specific strategies for accomplishing the objectives

Action Planning (cont.)

c) who will carry out the strategies

d) timeline for accomplishing each strategy and plans for monitoring progress and making revisions

e) factors that need to be anticipated as possible problems and how they will be dealt with.

Action Planning Summary

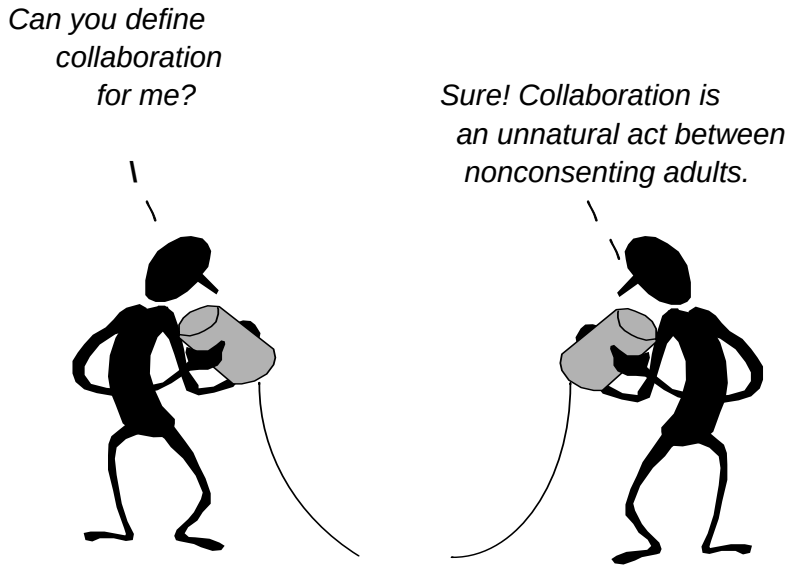
Objectives (What immediate tasks need to be accomplished to promote sustainability?)	Specific Strategies (What are the specific ways each objective can be achieved?)	Who? (Persons who are willing and able to carry out the strategies)	Timeline & Monitoring (When will each objective be accomplished? How and when will progress be monitored?)	Concerns to be addressed (How will anticipated problems be averted or minimized?)

Step 14. **Anticipating barriers and how to handle them**

Discussion Aid: On the following pages is a *discussion activity* that stakeholders might want to do as a lead-in to planning how to anticipate barriers to systemic change. The activity should be offered in a somewhat lighthearted manner. It will help participants recognize some of the thinking and behaviors in which they may be engaging and may enhance motivation for thinking more broadly about what is involved in sustaining valued functions and systemic changes.

Appended Resource Aid:

A major barrier that often arises is that groups working on sustainability don't function effectively. For groups to be effective, they must be task-focused. Groups working together for any lengthy period need clarity and buy-in about the functions they are pursuing. All group members must learn the basics of working together and how to do so despite inevitable differences in individual motivation and capability. Appendix F highlights some key matters about group functioning. This *resource aid* stresses that no group should be initiated until its functions are well-delineated. Also explored are matters related to working effectively with others. This material can be used as a focus for discussing the dynamics of working together in general and for sustainability in particular.



Resource Aid 16

Discussion aid: "Projectitis" as a Common Barrier to Sustainability

(The following highlights all too common, very human considerations that can keep well meaning people from focusing effectively on sustainability strategies.)

As a temporary funding cycle nears its end, the following concerns arise among those who want to sustain valued functions and may interfere with their accomplishing the type of systemic changes that would meet the needs.

>Keeping jobs (How can I keep my job? How can I keep staff added with project funds?)

>Keeping specific services (How can we keep the new services we have introduced?)

>Extramural funding (Where can we find some funders to continue this project?)

For example, these concerns push project staff to seek additional, dedicated funding to continue as a marginalized project, rather than facilitating integration of valued functions that the system adopts and institutionalizes.

The above concerns reflect an underlying tendency for those involved in a project to

- think about what they are doing only as a project, rather than as a catalyst for systemic changes that can enhance long-term positive results for school and community
- think about the project in terms of jobs
- focus mainly on specific services rather than on comprehensive, multifaceted, and integrated programs, which, in turn, limits infrastructure building to case-oriented rather than resource-oriented mechanisms
- focus evaluation on service use and outcomes, which among other things ignores evaluation of efforts to counter fragmentation, competition, and marginalization of activities to address barriers to learning and promote healthy development, as well as efforts to sustain valued systemic changes

For discussion:

What do you anticipate as major barriers as you try to sustain valued functions and systemic changes?

Take a minute to write; then share with someone or a group to you to add to your list.

Discuss ways to deal with the anticipated barriers.

Step 15. **Negotiating and renegotiating initial agreements (e.g., memoranda of understanding)**

At this juncture, it is essential to begin negotiating as strongly as is feasible to establish agreements about working together to sustain valued functions and systemic changes. Minimally, this involves ratifying and mobilizing behavioral commitment to existing memoranda of understanding (MOUs). Hopefully, there will be an opportunity to enhance the nature and scope of the previous agreements (e.g., renegotiating the agreement). This is particularly important where the MOU was little more than a "paper" agreement.

Even better would be to use efforts for sustainability as opportunities to generate formal policy statements and institutionalized (e.g., contractual) commitments. It is important at least to lay the foundation for subsequent development of formal policy and institutionalized agreements (see below and anticipate Step 16).

Resource Aid 17

Tool for analyses: Clarifying and Enhancing Agreements

(1) What type of agreements (e.g., MOUs, policy statements) are in place?

(2) Do the following as needed:

(a) review and ratify previous MOUs

(b) rework previous MOUs and then reratify them

(c) develop and ratify new MOUs

(d) propose and seek adoption of formal policy statements

(e) work to institutionalize contractual agreements

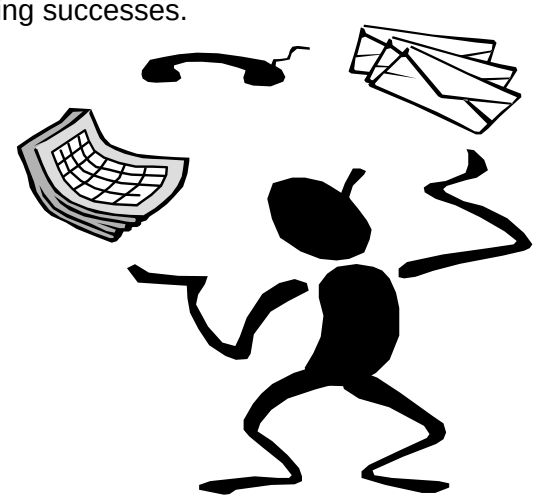
Step 16. **Flexible and adaptive implementation with a focus on maintaining high levels of commitment to accomplishing desirable and necessary systemic changes (e.g., ensuring each task/objective is attainable; ensuring effective task facilitation and follow-through; celebrating each success)**

With a clear results-orientation, capitalize on stakeholder assets; make appropriate modifications in planning and implementation as necessary to maintain a good fit with the capabilities and motivation of those involved.

Make motivation a constant process focus.

- minimize factors that decrease motivation
- use facets of each step to enhance motivation

For example, periodically assess assets and barriers so that the latter can be minimized and the former used to maximize efficacy in pursuing steps. Also, use activities related to "social marketing" (see Appendix B) as a focus for celebrating successes.



Tool: For Stage D, it is important to understand stakeholder assets and barriers. See worksheet example on the following page.

Resource Aid 18

Tool for analyses:

Clarifying Assets and Barriers in Planning for Sustainability

School Staff (including District staff)

Assets (e.g., What talents, strengths, opportunities, etc. of the school staff can help with sustainability?)	*Barriers* (e.g., What barriers may arise related to mobilizing school staff to help?)

Community Stakeholders
(including family members and students)

Assets (e.g., What talents, strengths, opportunities, etc. of the community stakeholders can help with sustainability?)	*Barriers* (e.g., What barriers may arise related to mobilizing community stakeholders to help?)

Note: ***Over the long-run, work to enhance the policy context***

Over time, it is essential to help shift policy in ways that end the marginalization of efforts to establish comprehensive, multifaceted approaches for addressing barriers to learning and promoting healthy development. For example, policy should be formulated to

- encourage school districts and every school to include an emphasis on restructuring student/learner supports in school improvement plans and certification reviews and to include family/community active involvement in these processes

- encourage state education agencies to develop and provide district staff and their school boards with frameworks, training, and technical assistance relevant to such restructuring

- encourage institutes of higher education to include such frameworks in their preparation programs for district and school administrators and pupil service personnel

##########

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. The rationale for this guide is to increase the likelihood of achieving desired changes by clarifying processes and providing some tools. At the same time, 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.

##########

On the following page is a gap analysis activity designed to help stakeholders enhance their planning for sustainability.

Resource Aid 19

Tool for analyses: *Sustainabilty as Systemic Change – Gap Analysis*

(1) Ideal Approach to Sustaining Valued Functions: Building on what you have learned, what systemic changes have the greatest likelihood of facilitating sustainability of the functions that the school-community values?

(2) Current sustainability plan: Briefly outline the major ideas of your current sustainability plan.

(3) Plan revision: Outline ways you could revise your current plan to more closely approximate the ideal of pursuing sustainability as systemic change.

(4) What are some immediate steps you would need to take to improve your sustainability plan?

(5) What technical assistance supports do you need in order to improve your current approach to sustainability?

Section 3. Formative & Summative Evaluation of Efforts to Sustain Functions

A. A Brief Overview of the Evaluation Problem

B. Benchmarks for Monitoring and Reviewing Progress of Sustainability Activity

When the cook tastes the soup, it is formative evaluation and when the guests taste the soup, it is summative. The key is not so much when as why. What is the information for, for further preparation and correction or for savouring and consumption?

Robert Stake

Section 3. 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 section, 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

The format for *action planning* presented in Part II can be adapted for planning what needs to be done here, by whom, and by when.

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 Parts I and II. (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.

A. 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).

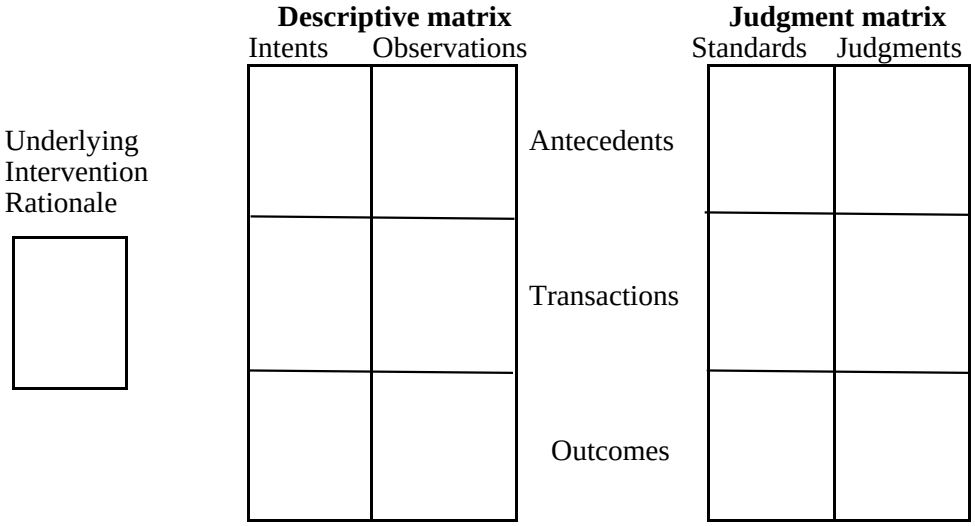
- *Understanding the intervention's rationale.* In cases where evaluation includes judging the intervention rationale, pursuit of the above task (clarifying the intended use of evaluation information) will result in gathering information about the rationale. However, when the evaluation is designed with 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? •*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.[13] 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.[17]

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.[18]

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.

7. 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.

11. 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.

12. 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.

13. 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.

14. 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.

15. 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.

16. 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.

17. 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.

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

B. 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			

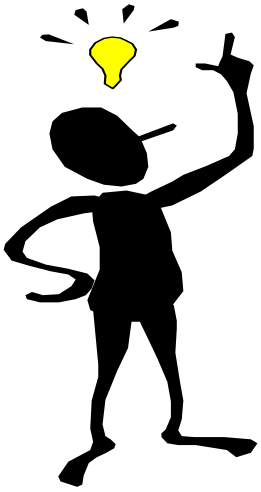
II. Mobilizing Interest, Consensus, and Support among Key Stakeholders	Date started	Date Completed	Current Status
Identifying champions for the functions and clarifying the mechanism(s) for bringing a broad base of supporters together to work on sustainability			
Clarifying cost-effective strategies 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.

See Appendix G for a discussion of developing standards and accountability.



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

Part II: Sustainability in Context and as a Catalyst for Enhancing the Context

Section 1. Framing Sustainability in the Context of Systemic Changes for School Improvement and Addressing Barriers to Student Learning

A. Why Schools Invest in Student Support Activity

B. Barriers to Learning

C. What Do Schools Do to Address Barriers to Learning?

D. Expanding School Reform

E. New Directions for School Support

Section 2. Enhancing Policy and Infrastructure

A. Enhancing Policy for Comprehensive, Multifaceted Approaches

B. Enhancing Infrastructure

Section 3. Enhancing School-Community Collaboration

A. About Working Collaboratively at and with Schools

B. Defining Collaboration and its Purpose

C. Redesigning the Infrastructure for Effective Functioning

Thoughts are but dreams till their efforts be tried.

William Shakespeare

The world is before you - you need not take it or leave it as it was when you came in.

James Baldwin

Changing the individual while leaving the world alone is a dubious proposition.

Ulric Neisser

Section 1. Framing Sustainability in the Context of Systemic Changes for School Improvement and Addressing Barriers to Student Learning

Sustainability is aided by embedding activity that may be lost into the larger context of school improvement. The focus below is on highlighting some basic frameworks that can help guide such an approach. First, however, we reiterate the rationale for why schools invest in student support programs.*

A. Why Schools Invest in Student Support Activity

In too many schools, the educational mission is thwarted because of many factors that interfere with youngsters' learning and performance (see Figure 3). It is for this reason that schools invest in education support programs and services. Given that the investment is substantial, it is somewhat surprising how little attention educational policymakers and reformers give to rethinking this arena of school activity.

If schools are to ensure that *all* students succeed, designs for school improvement must reflect the full implications of *all*. Clearly, *all* includes more than students who are motivationally ready and able to profit from "high standards" demands and expectations. It must also include the many who aren't benefitting from instructional improvements because of a host of *external* and *internal* barriers interfering with their development and learning.

How many are affected? Figures vary. An estimate from the Center for Demographic Policy suggests that 40% of young people are in bad educational shape and therefore will fail to fulfill their promise. The reality for many large urban schools is that well-over 50% of their students manifest significant learning, behavior, and emotional problems. For a large proportion of these youngsters, the problems are rooted in the restricted opportunities and difficult living conditions associated with poverty.

B. Barriers to Learning

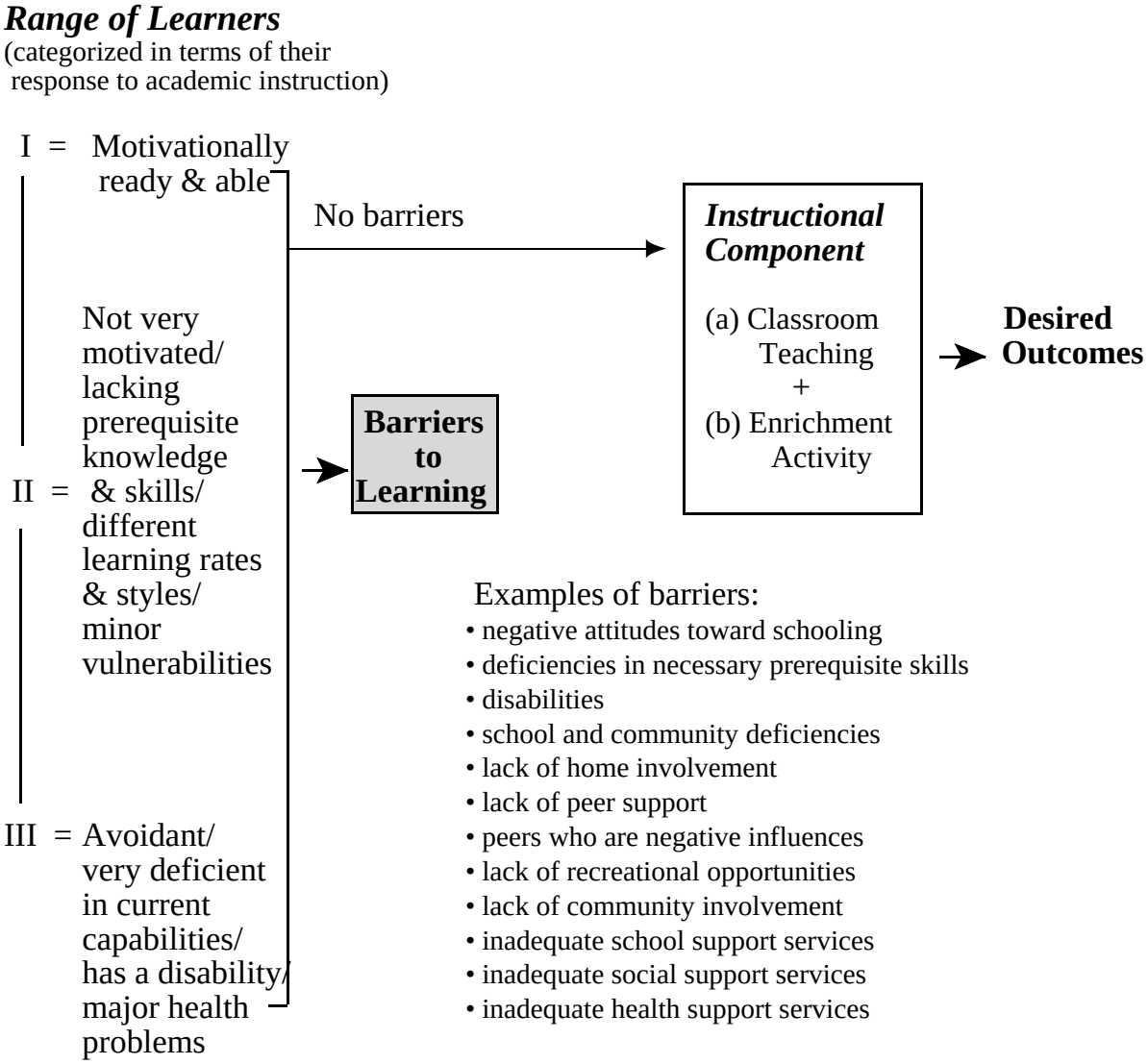
Most learning, behavior, and emotional problems seen in schools are rooted in failure to address external barriers and learner differences in a comprehensive manner (see Appendix). And, the problems are exacerbated as youngsters internalize the frustrations of confronting barriers and experience the debilitating effects of performing poorly at school.

The litany of barriers to learning is all too familiar to anyone who lives or works in communities where families struggle with low income. In such neighborhoods, school and community resources often are insufficient to the task of providing the type of basic (never mind enrichment) opportunities found in higher income communities. The resources also are inadequate for dealing with such threats to well-being and learning as health problems, difficult family circumstances, gangs, violence, and drugs. Inadequate attention to language and cultural considerations and to high rates of student mobility creates additional barriers not only to student learning but to efforts to involve families in youngsters' schooling. Such conditions are breeding grounds for frustration, apathy, alienation, and hopelessness.

It would be a mistake, however, to think only in terms of poverty. As recent widely-reported incidents underscore, violence is a specter hanging over all schools. And, while guns and killings capture media attention, other forms of violence affect and debilitate youngsters at every school. Even though there isn't good data, those who study the many faces of violence tell us that large numbers of students are caught up in cycles where they are the recipient or perpetrator (and sometimes both) of physical and sexual harassment ranging from excessive teasing and bullying to mayhem and major criminal acts.

*The material in this section is excerpted from various documents that have been developed over the years by the Center for Mental Health in Schools at UCLA.

Figure 3. Barriers to Learning*



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*Although a few youngster start out with internal problems and many others internalize negative experiences, there can be little doubt that external factors are primarily responsible for the majority of learning, behavior, and emotional problems encountered in schools.

Adapted from: H.S. Adelman & L. Taylor (1994). *On understanding intervention in psychology and education.* Westport, CT: Prager.

C. What Do Schools Do to Address Barriers to Learning?

School policy makers have a long-history of trying to assist teachers in dealing with problems that interfere with school learning. This includes providing a variety of school-owned counseling, psychological, and social service programs. It also includes enhancing school linkages with community service agencies and other neighborhood resources. Paralleling these efforts is a natural interest in promoting healthy development. Despite all this, it remains the case that too little is being done, and prevailing approaches are poorly conceived.

School-Owned Programs and Services

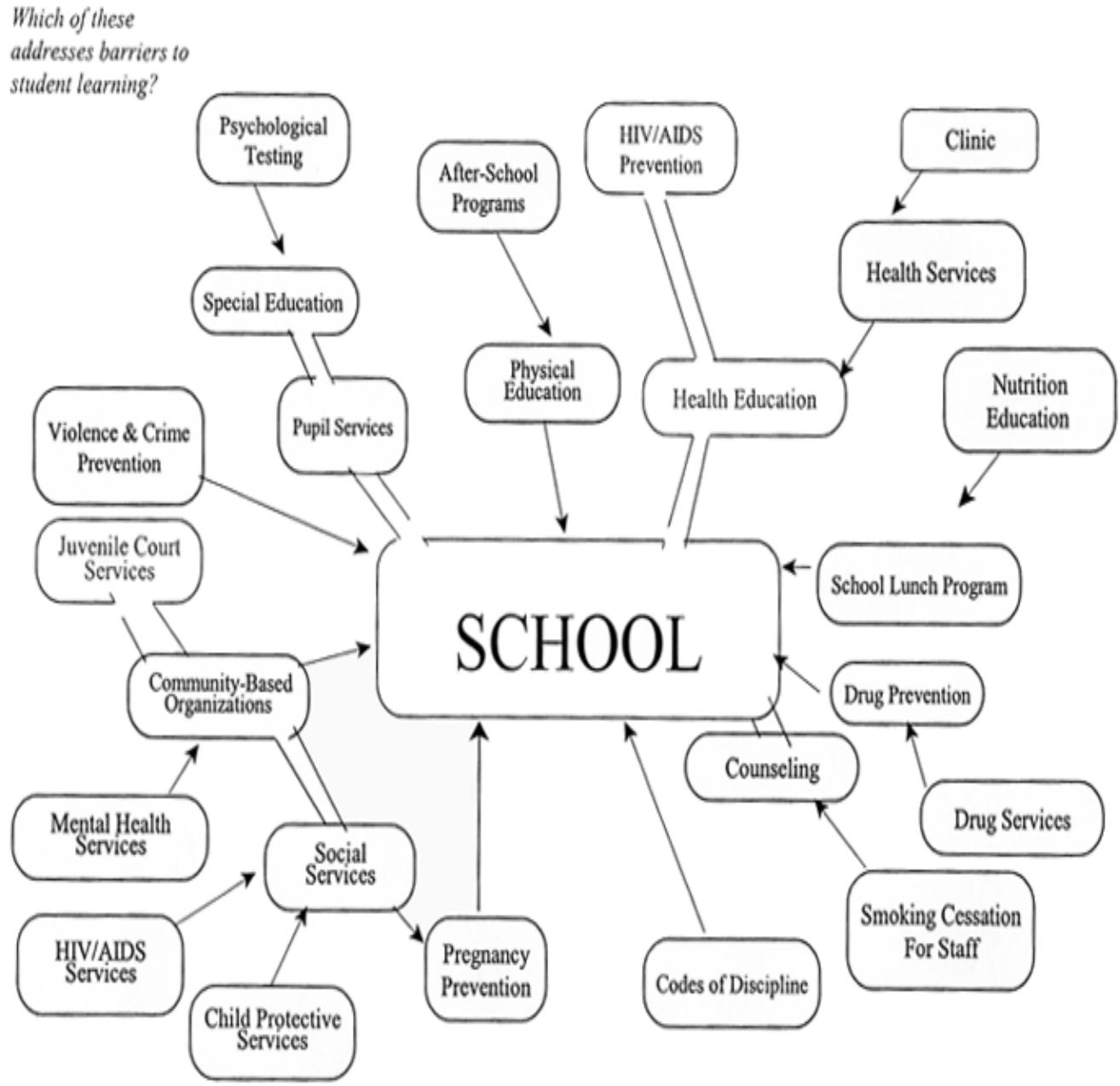
Almost all schools flirt with some forms of preventive and corrective activity focused on specific types of concerns, such as learning problems, substance abuse, violence, teen pregnancy, school dropouts, delinquency, and so forth. Some programs are provided throughout a school district, others are carried out at or linked to targeted schools. The interventions may be designed to benefit all students in a school, those in specified grades, and/or those identified as having special needs. The activities may be implemented in regular or special education classrooms and may be geared to an entire class, groups, or individuals; or they may be designed as "pull out" programs for designated students. They encompass ecological, curricular, and clinically oriented activities.

Most school-owned programs and services are offered by pupil services personnel. Federal and state mandates and special projects tend to determine how many pupil services professionals are employed. Governance of their daily practices usually is centralized at the school district level. In large districts, counselors, psychologists, social workers, and other specialists may be organized into separate units. Such units straddle regular, special, and compensatory education.

. . . few schools come close to being able to do the job that is needed

On paper, it looks like a lot. It is common knowledge, however, that few schools come close to having enough. Most offer only bare essentials. Too many schools can't even meet basic needs. Primary prevention really is only a dream. Analyses of the situation find that programs are planned, implemented, and evaluated in a piecemeal manner (see Figure 4). Not only are they carried on in relative isolation of each other, a great deal of the work is oriented to discrete problems and overrelies on specialized services for individuals and small groups. In some schools, a student identified as at risk for grade retention, dropout, and substance abuse may be assigned to three counseling programs operating independently of each other. Such fragmentation not only is costly, it works against good results.

Figure 4. ***Talk about Fragmented!***



Adapted from: *Health is Academic: A guide to Coordinated School Health Programs* (1998). Edited by E. Marx & S.F. Wooley with D. Northrop. New York: Teachers College Press.

School-Community Collaborations

In recent years, renewed interest in school-community collaborations has included a focus on enhancing health, mental health, and social services for students and their families. State-wide initiatives are being tested across the country. The work has fostered such concepts as *school linked services, coordinated and integrated services, wrap-around services, one-stop shopping, full service schools,* and *community schools.* Where initiatives have incorporated a wellness model, youth development concepts such as *promoting protective factors, asset-building,* and *empowerment* also are in vogue.

Not surprisingly, early findings primarily indicate how hard it is to establish collaborations. Still, a reasonable inference from available data is that school-community partnerships can be successful and cost effective over the long-run. By placing staff at schools, community agencies make access easier for students and families -- especially those who usually are underserved and hard to reach. Such efforts not only provide services, they seem to encourage schools to open their doors in ways that enhance recreational, enrichment, and remedial opportunities and greater family involvement. Analyses of these programs suggest better outcomes are associated with empowering children and families, as well as with having the capability to address diverse constituencies and contexts. Many families using school-based centers become interested in contributing to school and community. They provide social support networks for new students and families, teach each other coping skills, participate in school governance, and help create a psychological sense of community. At the same time, the problem of fragmentation is compounded in many locales as community services are brought to school campuses. This happens because the prevailing approach is to coordinate *community* services and *link* them to schools in ways that *co-locate* rather than integrate them with the ongoing efforts of school staff.

. . . the trend is to co-locate services at a school rather than integrating them with the ongoing efforts of school staff

And Everything is Marginalized!

Policymakers have come to appreciate the relationship between limited intervention efficacy and the widespread tendency for complementary programs to operate in isolation. Limited efficacy does seem inevitable as long as interventions are carried out in a piecemeal fashion. The call for "integrated" services clearly is motivated by a desire to reduce redundancy, waste, and ineffectiveness resulting from fragmentation.

Unfortunately, the focus on fragmentation ignores the overriding problem, namely that all efforts to address barriers to learning and promote healthy development are *marginalized* in policy and practice. Clearly, the majority of school counseling, psychological, and social service programs are viewed as supplementary -- often referred to as support or auxiliary services.

The degree to which marginalization is the case is seen in the lack of attention given such activity in school improvement plans and certification reviews. School policy makers deal with such programs on an ad hoc basis and continue to ignore the need for reform and restructuring in this arena. Community involvement also is a marginal concern at most schools.

In short, policies shaping current agendas for school and community reforms are seriously flawed. Although fragmentation is a significant problem, marginalization is the more fundamental concern. Yet concern about marginalization is not even on the radar screen of most policy makers.

D. Expanding School Reform

While higher standards and accountability are necessary ingredients in the final recipe for school reform, they are insufficient for turning around most schools that are in trouble. At such schools, overreliance on raising the bar and demands for rapid test score increases may even be counterproductive because they force attention away from addressing the multitude of overlapping factors that interfere with effective learning and teaching.

The present situation is one where, despite awareness of the many barriers to learning, education reformers continue to concentrate *mainly* on improving *instruction* (efforts to directly facilitate learning) and the *management and governance* of schools. Then, in the naive belief that a few health and social services will suffice in addressing barriers to learning, they talk of "integrated health and social services." And, in doing so, more attention has been given to linking sparse community services to school sites than to restructuring school programs and services designed to support and enable learning. The short shrift given to "support" programs and services by school reformers continues to marginalize activity that is essential to improving student achievement.

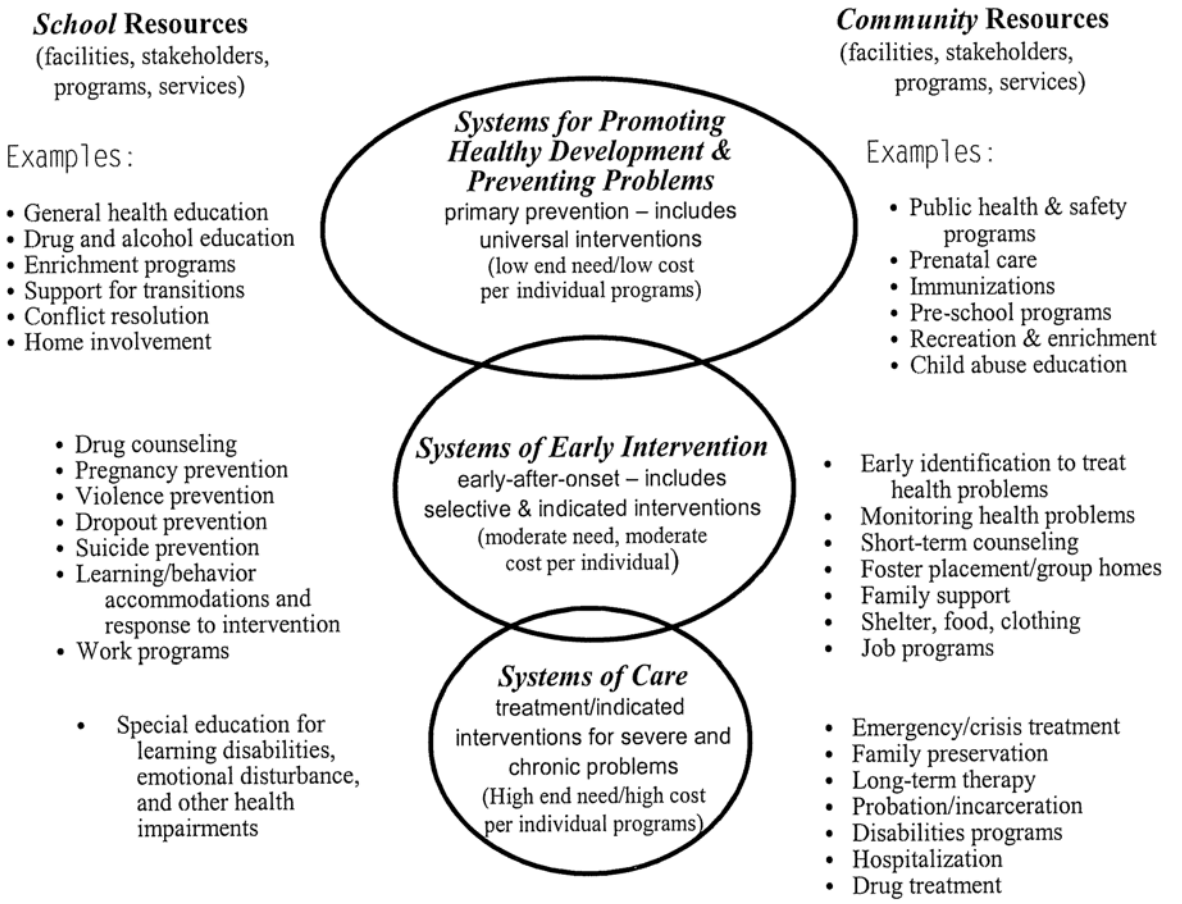
. . . short shrift is given to student support programs

Ultimately, addressing barriers to development and learning must be approached from a societal perspective and with fundamental systemic reforms. The reforms must lead to development of *a comprehensive, integrated continuum of programs*. Such a continuum must be multifaceted and woven into three overlapping school-community systems: systems of positive development, prevention, early intervention to address problems as soon after onset as feasible, and systems of care for those with chronic and severe problems (see Figures 5 and 6). All of this encompasses an array of programmatic activity that must effectively (a) enhance regular classroom strategies to improve instruction for students with mild-to-moderate behavior and learning problems, (b) assist students and families as they negotiate the many school-related transitions, (c) increase home and community involvement with schools, (d) respond to and prevents crises, and (e) facilitate student and family access to specialized services when necessary. While schools can't do everything needed, they must play a much greater role in developing the programs and systems that are essential if *all* students are to benefit from higher standards and improved instruction.

. . . comprehensive, multifaceted approaches are needed to enable all students to benefit from high standards and improved teaching

Establishment of a comprehensive, integrated approach to address barriers to development and learning effectively requires cohesive policy that facilitates the blending of resources. In schools, this includes restructuring to combine parallel efforts supported by general funds, compensatory and special education entitlements, safe and drug free school grants, and specially funded projects. In communities, the need is for better ways of connecting agency and other resources to each other and to schools. The aim is cohesive and potent school-community partnerships. With proper policy support, a comprehensive approach can be woven into the fabric of every school, and neighboring schools can be linked to share limited resources and achieve economies of scale.

Figure 5. A comprehensive, multifaceted continuum of interconnected systems for meeting the needs of all students.



Systemic collaboration* is essential to establish interprogram connections on a daily basis and over time to ensure seamless intervention within each system and among *systems* of *prevention, systems* of *early intervention*, and *systems of care*.

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*Such collaboration involves horizontal and vertical restructuring of programs and services
(a) within jurisdictions, school districts, and community agencies (e.g., among departments, divisions, units, schools, clusters of schools)
(b) between jurisdictions, school and community agencies, public and private sectors; among schools; among community agencies

Note: In addressing problems, it is fundamental to build on strengths and assets and to use the *least intervention* ***needed*** (i.e., to intervene only to the degree necessary, but to do all that is needed).

Note: Systemic collaboration is essential for establishing interprogram connections on a daily basis and to ensure seamless intervention within and among each system over time.

Figure 6. From primary prevention to treatment of serious problems: A continuum of community-school programs to address barriers to learning and enhance healthy development

Intervention Continuum	***Examples of Focus and Types of Intervention*** (Programs and services aimed at system changes and individual needs)
Systems for Health Promotion & Primary prevention	*1. Public health protection, promotion, and maintenance to foster opportunities, positive development, and wellness* • economic enhancement of those living in poverty (e.g., work/welfare programs) • safety (e.g., instruction, regulations, lead abatement programs) • physical and mental health (incl. healthy start initiatives, immunizations, dental care, substance abuse prevention, violence prevention, health/mental health education, sex education and family planning, recreation, social services to access basic living resources, and so forth)
Systems for Early-after-problem onset intervention	*2. Preschool-age support & assistance to enhance health & psychosocial development* • systems' enhancement through multidisciplinary team work, consultation, and staff development • education and social support for parents of preschoolers • quality day care • quality early education • appropriate screening and amelioration of physical and mental health and psychosocial problems
	3. Early-schooling targeted interventions • orientations, welcoming and transition support into school and community life for students and their families (especially immigrants) • support and guidance to ameliorate school adjustment problems • personalized instruction in the primary grades • additional support to address specific learning problems • parent involvement in problem solving • comprehensive and accessible psychosocial and physical and mental health programs (incl. a focus on community and home violence and other problems identified through community needs assessment)
	4. Improvement and augmentation of ongoing regular support • enhance systems through multidisciplinary team work, consultation, and staff development • preparation and support for school and life transitions • teaching "basics" of support and remediation to regular teachers (incl. use of available resource personnel, peer and volunteer support) • parent involvement in problem solving • resource support for parents-in-need (incl. assistance in finding work, legal aid, ESL and citizenship classes, and so forth) • comprehensive and accessible psychosocial and physical and mental health interventions (incl. health and physical education, recreation, violence reduction programs, and so forth) • Academic guidance and assistance • Emergency and crisis prevention and response mechanisms
	5. Other interventions prior to referral for intensive, ongoing targeted treatments • enhance systems through multidisciplinary team work, consultation, and staff development • short-term specialized interventions (including resource teacher instruction and family mobilization; programs for suicide prevention, pregnant minors, substance abusers, gang members, and other potential dropouts)
Systems for Treatment for severe/chronic problems	*6. Intensive treatments* • referral, triage, placement guidance and assistance, case management, and resource coordination • family preservation programs and services • special education and rehabilitation • dropout recovery and follow-up support • services for severe-chronic psychosocial/mental/physical health problems

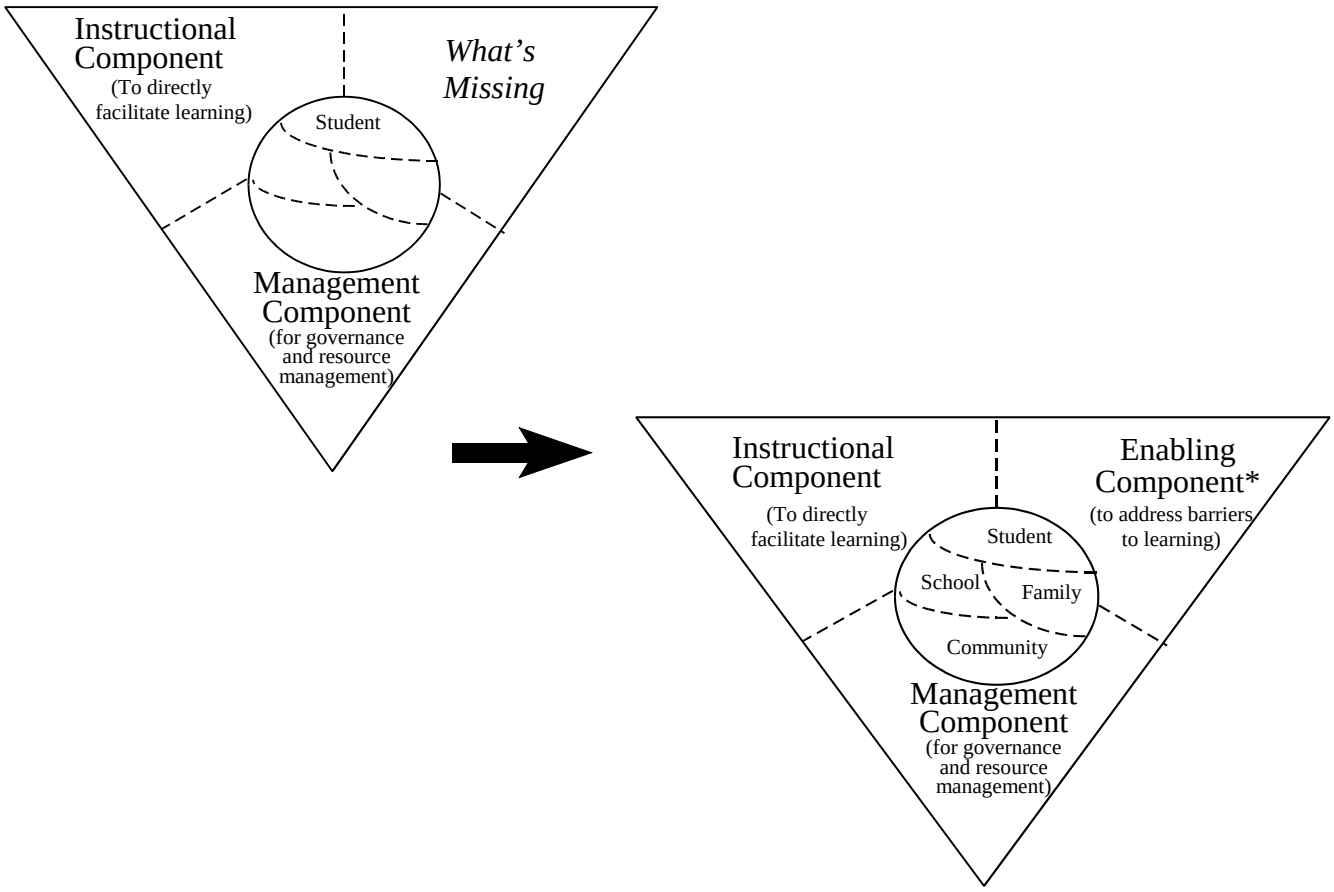
Restructuring Support Services is Key to
Enhancing Educational Results

Policy makers have yet to come to grips with the realities of addressing barriers to learning and teaching. Current initiatives must be rethought, and elevated in policy status so they are on a par with the emphasis on reforming the instructional and management components of schooling. Concentrating on matters such as curriculum and pedagogical reform, standard setting, decentralization, professionalization of teaching, shared decision making, and parent partnerships clearly is necessary but certainly is not sufficient given the nature and scope of barriers that interfere with school learning and performance among a large segment of students. As long as the movement to restructure education primarily emphasizes the instructional and management components, too many students in too many schools will not benefit from the reforms. Thus, the demand for significant improvements in achievement scores will remain unfulfilled.

Clearly, there is a policy void surrounding the topic of restructuring school-operated interventions that address barriers to teaching and learning. Current policy focuses primarily on linking community services to schools and downplays a new role for existing school resources. This perpetuates an orientation that over-emphasizes individually prescribed services and results in fragmented community-school linkages. All this is incompatible with efforts to develop a truly comprehensive, integrated approach to ameliorating problems and enhancing educational results.

It is time for reform advocates to expand their emphasis on improving instruction and school management to include a *comprehensive* component for addressing barriers to learning (see Figure 7). And in doing so, they must pursue this third component with the same level of priority they devote to the other two. That is, such an enabling (or learner support) component must be a primary and essential facet of school reform. This will require shifting policy to push school reform beyond the current tendency to concentrate mainly on instruction and management. School reformers like to say their aim is to ensure *all* children succeed. We think that this third component is the key to making *all* more than the rhetoric of reform.

Figure 7. Moving from a two to a three component model for reform and restructuring



*The third component (an enabling component) is established

in policy and practice as primary and essential and is developed into a comprehensive approach by weaving together school and community resources.

Exhibit 2

What Are the Benefits of Enhancing the Focus on Addressing Barriers to Learning?

As with all school reform, the first and foremost concern is improving student academic performance and achievement. The reality is that the best instructional reforms cannot produce the desired results for a large number of students as long as schools do not have comprehensive approaches for addressing external and internal barriers to learning and teaching. And, it is evident that schools are not developing such approaches because current policy marginalizes and fragments the emphasis on these matters.

The most fundamental benefits to be accrued from increasing the focus on these concerns are enhanced educational results

Those who already have begun restructuring support services stress that the reforms contribute to

- formulation of a major policy framework and specific recommendations for ways to improve district efforts to address barriers to student learning and enhance healthy development
- ongoing monitoring of and pressure for progress related to district reforms for addressing barriers (e.g., early intervention as a key aspect for dealing with the problems of social promotion, expulsion, dropout, and growing numbers referred for special education)
- provision of a morale-boosting open forum for line staff and community to hear about proposed changes, offer ideas, and raise concerns
- connecting community agency resources to the district and sensitizing agency staff to district concerns in ways that contribute to improved networking among all concerned

. . . and there are other benefits as well

- regular access by board members and district staff, *without fees,* to an array of invaluable expertise from the community to explore how the district should handle complex problems arising from health and welfare reforms and the ways schools should provide learning supports
- expanding the informed cadre of influential advocates supporting district reforms

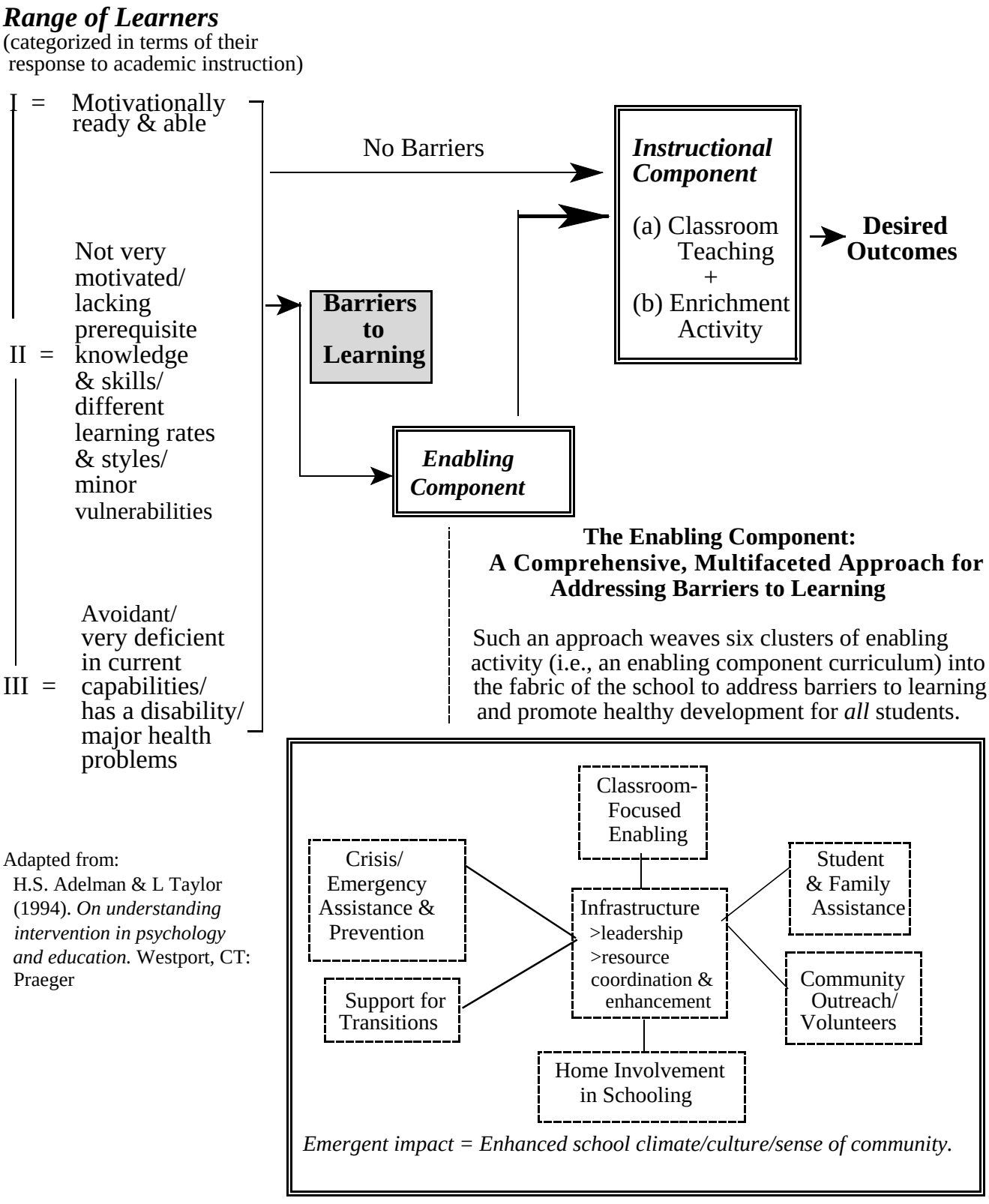
E. New Directions for Student Support

Several reform initiatives already are exploring the power of moving from a two to a three component framework to ensure barriers to development and learning are addressed appropriately. Such an expanded approach is seen in the exciting work underway in places described in a Center report on *Where it's Happening: New Directions for Student Support.* These initiatives are creating blueprints for and contributing lessons learned about how schools and communities can collaborate in developing a comprehensive, multifaceted component to address barriers to learning and promote healthy development. Much of the work reflects the ideas illustrated in Figure 8.

Such pioneering and trailblazing efforts offer new hope to students, parents, and teachers. They can play a major role for society by creating caring and supportive learning environments that maximize achievement and well-being for all youngsters. They can also help strengthen neighborhoods and communities. There can be little doubt that prevailing approaches to school reform are insufficient. The next step must be a total restructuring of all education support programs and services – including counseling, psychological, social services, special and compensatory education programs, safe and drug free school programs, student assistance programs, transition programs, some health education efforts, and more. To do any less is to maintain a very unsatisfactory status quo.

Toward this end, a *Summits Initiative: New Directions for Student Support* is underway. In response to widespread interest in mounting such a nationwide initiative, our Center convened (in October 2002) a national summit on *Moving Forward in New Directions*. (See the Center's wesbite for Summit Reports, the Executive Summary from the National Summit, accompanying resource aids, and other information about upcoming regional and state summits. On the homepage, click on the green button labeled Summits for New Directions) .

Figure 8. An enabling component to address barriers to learning and enhance healthy development at a school site.



Adapted from:
H.S. Adelman & L Taylor (1994). *On understanding intervention in psychology and education.* Westport, CT: Praeger

Section 2. Enhancing Policy and Infrastructure

A. Enhancing Policy for Comprehensive, Multifaceted Approaches

B. Enhancing Infrastructure

Most demonstration projects and initiatives have the potential to be a catalyst for systemic change. Moreover, it is usually the case that such projects must produce systemic changes or much of what they have developed is unlikely to be sustained. Federally-funded programs, such as the Safe Schools/Healthy Students projects, are excellent examples of an initiative that starts with a focus on one major problem (e.g., violence prevention) and offers the opportunity to build into school-community systems a comprehensive, multifaceted approach to addressing multiple problems and promoting healthy development.

As indicated in this document's preface, sustainability should be pursued from the onset of a project. In this section, we explore three areas where projects can play a catalytic role with the intent of stimulating systemic changes to maintain important innovations. The specific focus here is on: (a) enhancing policy for comprehensive, multifaceted approaches (b) enhancing infrastructure, and (c) developing standards and expanding the accountability framework.

A. Enhancing Policy for Comprehensive, Multifaceted Approaches

As project staff usually are aware, their work usually is only one facet of addressing a complex array of factors that interfere with learning, development, parenting, and teaching. The need for more extensive systemic changes is widely acknowledged. For too many youngsters, limited intervention efficacy seems inevitable as long as a full continuum of necessary programs is unavailable; and limited cost effectiveness seems inevitable as long as related interventions are carried out in isolation of each other. The implications of this for policy and practice are that major breakthroughs in addressing the problems of children and youth, their families, their schools, and society as a whole are unlikely in the absence of comprehensive, multifaceted, and integrated approaches.

At the same time, it is evident that the desire to establish such approaches is frustrated by inadequate funding, by the way interventions are conceived and organized, and by the way professionals usually understand their roles and functions.

For many reasons, policy makers currently assign a low priority to underwriting efforts for addressing complex problems with comprehensive, multifaceted solutions. Organizationally and functionally, policy makers mandate, and planners and developers focus on, specific programs and services.

In addition, a recent trend has been to pursue school-linked services as a promising way to enhance service delivery. However, even where school-linked services are feasible, the tendency is for agencies simply to co-locate staff on a few school campuses. In doing so, they provide a *few* clients better access to services. Access clearly is a prerequisite to effective intervention.

Access, of course, is no guarantee of effectiveness. Moreover, co-location is no guarantee of intervention cohesiveness. Indeed, in linking with schools, community agencies often simply operate in parallel to the intervention efforts of school personnel, ignoring school staff who perform similar or complementary functions and leading to another form of fragmentation.

Even more of a problem is the reality that there simply are not enough community agency resources for all services to link with all schools. Thus, the situation becomes either a matter of limiting linkages to the first schools that express an interest or spreading limited resources (until they are exhausted) as more schools reach out. Furthermore, by approaching school-linked services as a co-location model, outside agencies are creating a fear of job loss among personnel who staff school-owned support services. This sense of threat is growing as school policy makers in various locales explore the possibility of contracting out services. The atmosphere created by such approaches certainly is not conducive to collaboration and further interferes with cohesiveness.

The above deficiencies in policy and practice provide ample opportunity for project staff to pursue their work in ways that can catalyze systemic changes rather than becoming just another supplementary set of activities that operates in parallel to related activities. For this to happen, project directors must think in terms of transforming the nature and scope of intervention efforts so that comprehensive, multifaceted, and integrated approaches are developed. To these ends, they must take steps to:

- show that their work is part of a broad framework and fits under a unifying concept (see Part II Section 1 of this document)

- help to create an infrastructure that works cohesively with all who are encompassed by the unifying concept (discussed in the next section)

- combine capacity building resources and activities to promote appropriate implementation of comprehensive, multifaceted, and integrated approaches

- show how their work, combined with that of others, can be implemented on a large-scale to enhance intervention effectiveness for the many – not just a few.

B. Enhancing Infrastructure

With respect to local systemic changes, well-designed infrastructure mechanisms ensure local ownership, a critical mass of committed stakeholders, effective capacity building, processes to overcome barriers to stakeholders working together effectively, and strategies that mobilize and maintain proactive effort so that changes are implemented and renewed over time. Institutionalizing comprehensive, multifaceted, and integrated approaches requires redesigning mechanisms for governance, capacity building, planning, implementation, coordination, daily leadership, communication, information management, and so forth. In reforming mechanisms, new collaborative arrangements must be established, and authority/power must be redistributed. All this obviously requires that those who operate the mechanisms are adequately supported and provided with essential resources, such as time, space, materials, and equipment – not just initially but over time. And, there must be appropriate incentives and safeguards for those undertaking the risks involved in making major changes.

Obviously, no single project can transform existing school and community mechanisms. At the same time, any project can be a catalyst for changing organizational and operational infrastructures. The first step is to avoid setting up a separate infrastructure for the project. The next steps involve proposing ways to integrate the project with related activity, defining functions in ways that stress commonalities, and then, determining whether the existing infrastructure can effectively pursue the functions or how it should be modified to do so.

The discussion on the following pages highlights ways to think about designing infrastructure to support development of comprehensive, multifaceted approaches that weave together school and community resources. (This material is from several other Center documents.)

Conceiving school-community partnerships from localities outward

The focus is first on what is needed at the school-neighborhood level ...

. . . then on ways several school-neighborhood partners can work together and, finally, on what system-wide resources can do to support local collaborations

From the onset, sustainability needs to be thought about in terms of both maintaining and scaling-up. With both these matters in mind, the first focus is on mechanisms at the school-neighborhood level. Then, based on analyses of what is needed to facilitate and enhance efforts at a locality, mechanisms are conceived that enable several school-neighborhood collaborations to work together to increase efficiency and effectiveness and achieve economies of scale. Then, system-wide mechanisms can be (re)designed to provide support for what each locality is trying to develop.

At each level, an infrastructure of organizational and operational mechanisms are required for oversight, leadership, resource and program development, and ongoing support. Such mechanisms (e.g., key personnel, teams) provide ways to (a) arrive at decisions about priorities and resource allocation, (b) maximize systematic and integrated planning, implementation, maintenance, and evaluation of interventions, (c) create formal working relationships between school and community resources, and (d) upgrade and modernize in ways that reflect the best intervention thinking and use of technology. At each level, these tasks require that staff adopt some new roles and functions and that parents, students, and other representatives from the school and community enhance their involvement. They also call for redeployment of existing resources.

A brief discussion of each level follows.

Note: Structure Follows Function

As more and more emphasis is placed on committees, teams, collaborative bodies, and other groups that come together, there has been increasing concern about just going to meetings and not making any progress. One problem is that a fundamental organizational principle often is neglected. That principle states simply: *structure follows function.*

> *We are unlikely to create a potent infrastructure if we are not clear about the functions we want to accomplish.*

Efforts to effectively provide learning supports at a school involve both intervention-oriented functions and resource-oriented functions. Moving in new directions adds functions specifically related to systemic change.

For example:

- in responding to the needs of individual students and families, the emphasis is on such intervention functions as determining who needs what and how soon (triage), referrals to appropriate interventions, coordinating and managing interventions, monitoring progress and reassessing needs, and related activity;
- resource-oriented functions include mapping and analyzing how resources are being used and establishing priorities for how to deploy and redeploy resources to improve interventions and their outcomes;
- systemic change functions include how to create readiness for change, how to build stakeholder capacity for change, how to phase in major changes, and how to sustain valued changes.

School-neighborhood level mechanisms

An effective infrastructure must coalesce at the local level. Thus, a school and its surrounding community are a reasonable focal point around which to build a multi-level organizational plan. Moreover, primary emphasis on this level meshes nicely with contemporary restructuring views that stress increased school-based and neighborhood control.

Policymakers and administrators must ensure the necessary infrastructure is put in place for

- *weaving existing activity together*
- *evolving programs*
- *reaching out to enhance resources*

If the essential programs are to play out effectively at a locality, policy makers and administrators must ensure that the necessary infrastructure is in place. From a local perspective, there are three overlapping challenges to moving from piecemeal approaches to a cohesive approach. One is weaving existing activity together. A second entails evolving programs so they are more effective. The third challenge is to reach out to other resources in ways that expand the partnership. Such outreach encompasses forming collaborations with other schools, establishing formal linkages with community resources, and reaching out to more volunteers, professionals-in-training, and community resources.

Mechanisms include:

- *a resource-oriented team*

Meeting the above challenges requires development of well-conceived mechanisms that are appropriately sanctioned and endowed by governance bodies. Based on lessons learned, one good starting place is to establish a resource-oriented team (e.g., a Learning Supports Resource Team) at a specific school. Properly constituted, a resource team leads and steers efforts to maintain and improve a multifaceted and integrated approach. This includes developing local partnerships. Such a team helps reduce fragmentation and enhances cost-efficacy by analyzing, planning, coordinating, integrating, monitoring, evaluating, and strengthening ongoing efforts. (See the Center's documents on resource-oriented mechanisms.)

- *local program teams*

To ensure daily programmatic activity is well-planned, implemented, evaluated, maintained, and evolved, the resource/steering team, in turn, helps establish and coordinate local program teams. In forming such teams, identifying and deploying enough committed and able personnel may be difficult. Initially, a couple of motivated and competent individuals can lead the way in a particular program area – with others recruited over time as necessary and/or interested. Some "teams" might even consist of one individual. In some instances, one team can address more than one programmatic area. Many localities, of course, are unable to simultaneously develop many new program areas. Such localities must establish priorities and plans for how to develop and phase in new programs. The initial emphasis should be on meeting the locality's most pressing needs, such as enhancing assistance, responding to crises, and pursuing ways to prevent garden variety learning, behavior, and emotional problems.

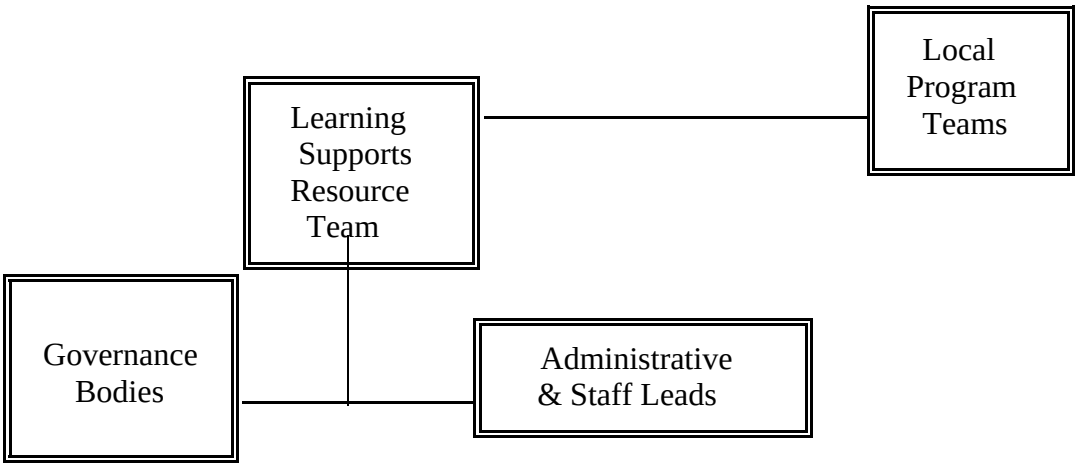
- *administrative leads*

Most schools and agencies do not have an administrator whose job definition includes the leadership role and functions necessary to accomplish the above objectives. This is not a role for which most principals or agency heads have time. The need, then, is to establish a policy and restructure jobs to ensure there are *site administrative leads* whose job encompasses this responsibility. Such persons must sit on the resource team and then represent and advocate the team's recommendations whenever governance and administrative bodies meet – especially at meetings when decisions are made regarding programs and operations (e.g., use of space, time, budget, and personnel).

- *staff leads*

Finally, *staff leads* can be identified from the cadre of line staff who have interest and expertise with respect to school-community partnerships. If a locality has a center facility (e.g., Family or Parent Resource Center or a Health Center), the center's coordinator would be one logical choice for this role. Staff leads also must sit on the resource team and be ready to advocate at key times for the team's recommendations at meetings with administrative and governance bodies.

Besides facilitating the development of a potent approach for developing school-community partnerships, administrative and staff leads play key roles in daily implementation, monitoring, and problem solving related to such efforts.



As will be evident on the following pages, conceptualization of the necessary local level infrastructure helps clarify what supportive mechanisms should be developed to enable several school-neighborhood collaborations to work together and what is needed at system-wide levels to support localities

A School Resource-Oriented Mechanism for a Learning Support (Enabling) Component

Our focus here is on a key resource-oriented mechanism for school sites. By starting with a designated group that is responsible for resources, a school can develop a flexible and fluid infrastructure with the capacity to carry out functions and that can be sustained over time

At schools, obviously the administrative leadership is key to ending the marginalization of efforts to address learning, behavior, and emotional problems. The other key is establishment of a mechanism that focuses specifically on how resources are used at the school to address barriers to learning.

In some schools as much as 30 percent of the budget may be going to problem prevention and correction. Every school is expending resources to enable learning; few have a mechanism to ensure appropriate use of existing resources and enhance current efforts. Such a mechanism contributes to cost-efficacy of learner support activity by ensuring all such activity is planned, implemented, and evaluated in a coordinated and increasingly integrated manner. It also provides another means for reducing marginalization.

Creating resource-oriented mechanisms is essential for braiding together school and community resources and encouraging intervention activity to function in an increasingly cohesive way. When such mechanisms are created in the form of a "team," they also are a vehicle for building working relationships and can play a role in solving turf and operational problems.

One primary and essential function undertaken by a resource-oriented mechanism is identifying existing school and community programs and services that provide supports for students, families, and staff. This early stage of resource mapping provides a basis for a "gap" assessment. (Given surveys of the unmet needs of and desired outcomes for students, their families, and school staff, what's missing?). Analyses of what is available, effective, and needed provide an essential basis for formulating priorities. Clear priorities allow for strategic development of strategies for filling critical gaps and enhancing cost-effectiveness (e.g., by enhanced use of existing resources through linkages with other schools and district sites and with the community).

Beyond the School

In a similar fashion, a resource-oriented team for a complex or family of schools (e.g., a high school and its feeder schools) and a team at the district level provide mechanisms for analyses on a larger scale. This can lead to strategies for cross-school, community-wide, and district-wide cooperation and integration to enhance intervention effectiveness and garner economies of scale.

For those concerned with school reform, resource-oriented mechanisms are a key facet of efforts to transform and restructure school support programs and services.

A School-Site Learning Supports Resource Team

We call the school level resource-oriented mechanism a *Learning Supports Resource Team (*previously called a *Resource Coordinating Team.* Such teams were initially piloted in the Los Angeles Unified School District and now the concept is being introduced in many schools across the country.

Properly constituted, such a team provides on-site leadership for efforts to address barriers comprehensively and ensures the maintenance and improvement of a multifaceted and integrated approach.

Creation of a school-site *Learning Supports Resource Team* provides a starting point in efforts to reform and restructure education support programs. Such a team not only can begin the process of transforming what already is available, it can help reach out to District and community resources to enhance education support activity. As discussed below, such a resource-oriented team differs from case-oriented teams. The focus of this team is not on individual students. Rather, it is oriented to clarifying resources and how they are best used.

Resource-oriented teams are to help

- improve coordination and efficacy by ensuring

  >basic systems are in place and effective (e.g., for referral, triage, case management)

  >programs/services are profiled, written up, and circulated

  >resources are shared equitably

- enhance resources through staff development and by facilitating creation of new resources via redeployment and outreach

- evolve a site's education support activity infrastructure by assisting in the creation of program work groups and Family/Parent Centers as hubs for such activities.

Among its first functions, the Learning Supports Resource Team can help clarify

(a) the resources available at the school and by referral from the school (who? what? when?) – For example, the team can map out and then circulate to staff, students, and parents a handout describing "Available Special Services, Programs, and Other Resources."

(b) how someone gains access to available resources – The team can clarify processes for referral, triage, follow-through, and case management, and circulate a description of procedures to the school staff and parents.

(c) how resources are coordinated – To ensure systems are in place and to enhance effectiveness, the team can help weave together resources, make analyses, coordinate activity, and so forth.

(d) what other resources the school needs and what steps should be taken to acquire them – The team can identify additional resources that might be acquired from the District or by establishing community linkages.

Contrasting Resource- & Case-Oriented Teams

When we mention a resource team, some school staff quickly respond: *We already have one!* When we explore this with them, we usually find what they have is a *case-oriented team* – that is, a team that focuses on individual students who are having problems. Such a team may be called a student study team, student success team, student assistance team, teacher assistance team, and so forth.

To help clarify the difference between resource and case-oriented teams, we contrast the functions of each as described on the following pages:

A Case-Oriented Team	***A Resource-Oriented Team***
Focuses on specific *individuals* and discrete *services* to address barriers to learning	Focuses on *all* students and the *resources, programs, and systems* to address barriers to learning & promote healthy development
Sometimes called: • Child Study Team • Student Study Team • Student Success Team • Student Assistance Team • Teacher Assistance Team • IEP Team	Possibly called: • Learning Supports Resource Team • Resource Coordinating Team • Resource Coordinating Council • School Support Team • Learning Support Team
EXAMPLES OF FUNCTIONS: *>triage* *>referral* *>case monitoring/management* *>case progress review* *>case reassessment*	EXAMPLES OF FUNCTIONS: *>aggregating data across students & from teachers to analyze school needs* *>mapping resources* *>analyzing resources* *>enhancing resources* *>program and system planning/ development – including emphasis on establishing a full continuum of intervention* *>redeploying resources* *>coordinating-integrating resources* *>social "marketing"*

Two parables help differentiate the two types of mechanisms and the importance of both sets of functions.

A *case-orientation* fits the *starfish* parable.

> The day after a great storm had washed up all sorts of sea life far up onto the beach, a youngster set out to throw back as many of the still-living starfish as he could. After watching him toss one after the other into the ocean, an old man approached him and said: *It's no use your doing that, there are too many, You're not going to make any difference.*
>
> The boy looked at him in surprise, then bent over, picked up another starfish, threw it in, and then replied: *It made a difference to that one!*

This parable, of course, reflects all the important clinical efforts undertaken by staff alone and when they meet together to work on specific cases.

The *resource-oriented* focus is captured by what can be called the *bridge* parable.

> In a small town, one weekend a group of school staff went fishing together down at the river. Not long after they got there, a child came floating down the rapids calling for help. One of the group on the shore quickly dived in and pulled the child out. Minutes later another, then another, and then many more children were coming down the river and drowning. Soon every one in the group was diving in and dragging children to the shore, resuscitating them, and then jumping back in to save as many as they could. But, there were too many. For every one they saved, several others floated by. All of a sudden, in the midst of all this frenzy, one of the group stopped jumping in and was seen walking away. Her colleagues were amazed and irate. How could she leave when there were so many children to save? About an hour later, to everyone's relief, the flow of children stopped, and the group could finally catch their breath.
>
> At that moment, their colleague came back. They turned on her and angrily shouted: *How could you walk off when we needed everyone here to save the children?*
>
> She replied: *It occurred to me that someone ought to go upstream and find out why so many kids were falling into the river. What I found is that the old wooden bridge had several planks missing, and when some children tried to jump over the gap, they couldn't make it and fell through into the river. So I got someone to fix the bridge.*

Fixing and building better bridges is a good way to think about prevention, and it helps underscore the importance of taking time to improve and enhance resources, programs, and systems.

Recapping: What a resource-oriented mechanism does

A resource-oriented team exemplifies the type of mechanism needed for overall cohesion of school support programs and systems. As indicated, its focus is not on specific individuals, but on how resources are used.

In pursuing its functions, the team provides what often is a missing link for managing and enhancing programs and systems in ways that integrate and strengthen interventions. For example, such a mechanism can be used to (a) map and analyze activity and resources to improve their use in preventing and ameliorating problems, (b) build effective referral, case management, and quality assurance systems, (c) enhance procedures for management of programs and information and for communication among school staff and with the home, and (d) explore ways to redeploy and enhance resources – such as clarifying which activities are nonproductive and suggesting better uses for resources, as well as reaching out to connect with additional resources in the school district and community.

Minimally, a resource-oriented team can reduce fragmentation and enhance cost-efficacy by assisting in ways that encourage programs to function in a coordinated and increasingly integrated way. For example, the team can coordinate resources, enhance communication among school staff and with the home about available assistance and referral processes, and monitor programs to be certain they are functioning effectively and efficiently. More generally, this group can provide leadership in guiding

school personnel and clientele in evolving the school's vision for learning support and enhancing resources.

How Many Stakeholders Are Needed to Form Such a Mechanism?

Where creation of "another team" is seen as a burden, existing teams, such as student or teacher assistance teams and school crisis teams, have demonstrated the ability to do resource-oriented functions. In adding the resource-oriented functions to another team's work, great care must be taken to structure the agenda so sufficient time is devoted to the additional tasks. For small schools, a large team often is not feasible, but a two person team can still do the job.

It is conceivable that one person could start the process of understanding the fundamental resource-oriented functions and delineating an infrastructure to carry them out. It is better, however, if several stakeholders put their heads together.

Who Should be Included?

Although a resource-oriented mechanism might be created solely around psychosocial programs, it is meant to focus on resources related to all major learning support programs and services. Thus, it tries to bring together representatives of all these programs and services. This might include, for example, school counselors, psychologists, nurses, social workers, attendance and dropout counselors, health educators, special education staff, after school program staff, bilingual and Title I program coordinators, health educators, safe and drug free school staff, and union reps. It also should include representatives of any community agency that is significantly involved with schools. Beyond these "service" providers, such a team is well-advised to add the energies and expertise of administrators, regular classroom teachers, non-certificated staff, parents, and older students.

Properly constituted, trained, and supported, a resource-oriented team complements the work of the site's governance body through providing on-site overview, leadership, and advocacy for all activity aimed at addressing barriers to learning and teaching. Having at least one representative from the resource team on the school's governing and planning bodies ensures the type of infrastructure connections that are essential if programs and services are to be maintained, improved, and increasingly integrated with classroom instruction. And, of course, having an administrator on the team provides the necessary link with the school's administrative decision making related to allocation of budget, space, staff development time, and other resources.

See the Exhibit on the following page for a one-page fact sheet describing a Learning Supports Resource Team.

Exhibit 3

WHAT IS A LEARNING SUPPORTS RESOURCE TEAM?

Every school that wants to improve its systems for providing student support needs a mechanism that focuses specifically on improving resource use and enhancement. A *learning Supports Resource Team* (previously called a Resource Coordinating Team) is a vital form of such a mechanism.

Most schools have teams that focus on individual student/family problems (e.g., a student support team, an IEP team). These teams focus on such functions as referral, triage, and care monitoring or management. In contrast to this case-by-case focus, a school's *Learning Supports Resource Team* can take responsibility for enhancing use of all resources available to the school for addressing barriers to student learning and promoting healthy development. This includes analyzing how existing resources are deployed and clarifying how they can be used to build a comprehensive, multifaceted, and cohesive approach. It also integrally involves the community with a view to integrating human and financial resources from public and private sectors to ensure that all students have an equal opportunity to succeed at school.

What are its functions?

A *Learning Supports Resource Team* performs essential functions related to the implementation and ongoing development of a comprehensive, multifaceted, and cohesive approach for addressing barriers to student learning and promoting healthy development.

Examples of key functions are:

> aggregating data across students & from teachers to analyze school needs
> Mapping resources at school and in the community
> Analyzing resources
> Identifying the most pressing program development needs at the school
> Coordinating and integrating school resources & connecting with community resources
> Establishing priorities for strengthening programs and developing new ones
> Planning and facilitating ways to strengthen and develop new programs and systems
> Recommending how resources should be deployed and redeployed
> Developing strategies for enhancing resources
> "Social marketing"

Related to the concept of an Enabling (Learning Support) Component, these functions are pursued within frameworks that outline six curriculum content areas and the comprehensive continuum of interventions needed to develop a comprehensive, multifaceted approach to student support that is integrated fully into the fabric of the school.

Who's on the Team?

The team might begin with only two people. Where feasible, it should expand into an inclusive group of informed stakeholders who are able and willing. This would include the following:

- Principal or assistant principal
- School Psychologist
- Counselor
- School Nurse
- School Social Worker
- Behavioral Specialist
- Special education teacher
- Representatives of community agencies involved regularly with the school
- Student representation (when appropriate and feasible)
- Others who have a particular interest and ability to help with the functions

It is important to integrate such a team with the infrastructure mechanisms at the school focused on instruction and management/governance. For example, the school administrator on the team must represent the team at administrative meetings; there also should be a representative at governance meetings; and another should represent the team at a Learning Supports Resource *Council* formed for the feeder pattern of schools.

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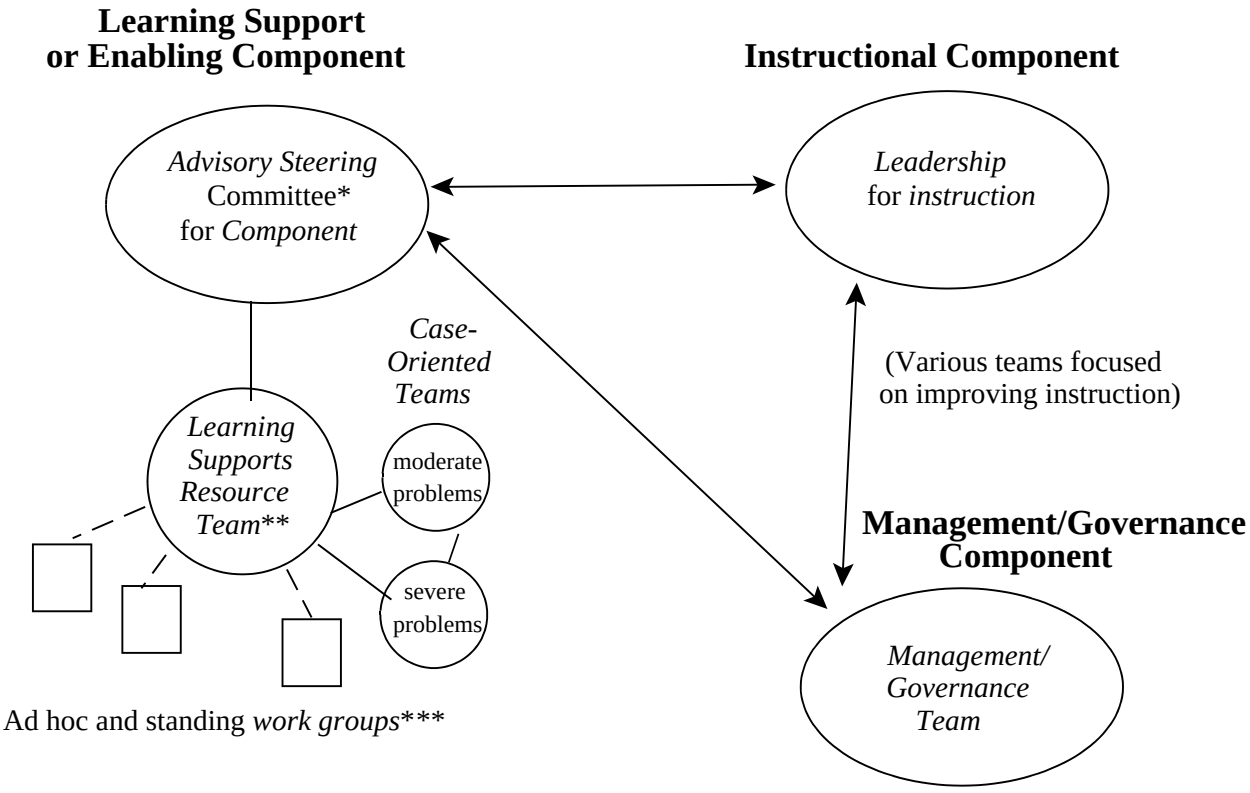
The Figure below illustrates the type of infrastructure that needs to emerge at the school if it is to effectively develop a comprehensive component to address barriers to learning.

Figure 9. An example of an integrated infrastructure at a school site.



*A Learning Support or Enabling Component Advisory/Steering Committee at a school site consists of a leadership group whose responsibility is to ensure the vision for the component is not lost. It meets as needed to monitor and provide input to the Learning Supports Resource Team.

**A Learning Supports Resource Team is the key to ensuring component cohesion and integrated implementation. It meets weekly to guide and monitor daily implementation and development of all programs, services, initiatives, and systems at a school that are concerned with providing student support and specialized assistance.

***Ad hoc and standing work groups are formed as needed by the Learning Supports Resource Team to address specific concerns. These groups are essential for accomplishing the many tasks

associated with such a team's functions.

Mechanisms for several localities to work together

Neighboring localities have common concerns and may have programmatic activity that can use the same resources. By sharing, they can eliminate redundancy and reduce costs. Some school districts already pull together clusters of schools to combine and integrate personnel and programs. These are sometimes called complexes or families of schools.

Learning Supports Resource Councils

A multi-locality *Learning Supports Resource Council* provides a mechanism to help ensure cohesive and equitable deployment of resources and also can enhance the pooling of resources to reduce costs. Such councils can be particularly useful for integrating neighborhood efforts and those of high schools and their feeder middle and elementary schools. (This clearly is important in connecting with those families who have youngsters attending more than one level of schooling in the same cluster.) With respect to linking with community resources, multi-locality teams are especially attractive to community agencies who often don't have the time or personnel to link with individual schools. To these ends, 1 to 2 representatives from each local resource team can be chosen to form a council and meet at least once a month and more frequently as necessary. Such a mechanism helps (a) coordinate and integrate programs serving multiple schools and neighborhoods, (b) identify and meet common needs with respect to guidelines and staff development, and (c) create linkages and collaborations among schools and agencies. More generally, the council provides a useful mechanism for leadership, communication, maintenance, quality improvement, and ongoing development of a comprehensive continuum of programs and services. Natural starting points for councils are the sharing of needs assessment, resource mapping, analyses, and recommendations for reform and restructuring. Specific areas of initial focus may be on such matters as addressing community-school violence and developing prevention programs and safe school and neigborhood plans.

Local Planning Councils

Representatives from Learning Supports Resource Councils would be invaluable members of planning groups (e.g., Service Planning Area Councils, Local Management Boards). They bring info about specific schools, clusters of schools, and local neighborhoods and do so in ways that reflect the importance of school-community partnerships.

Standing Committee of the Board of Education

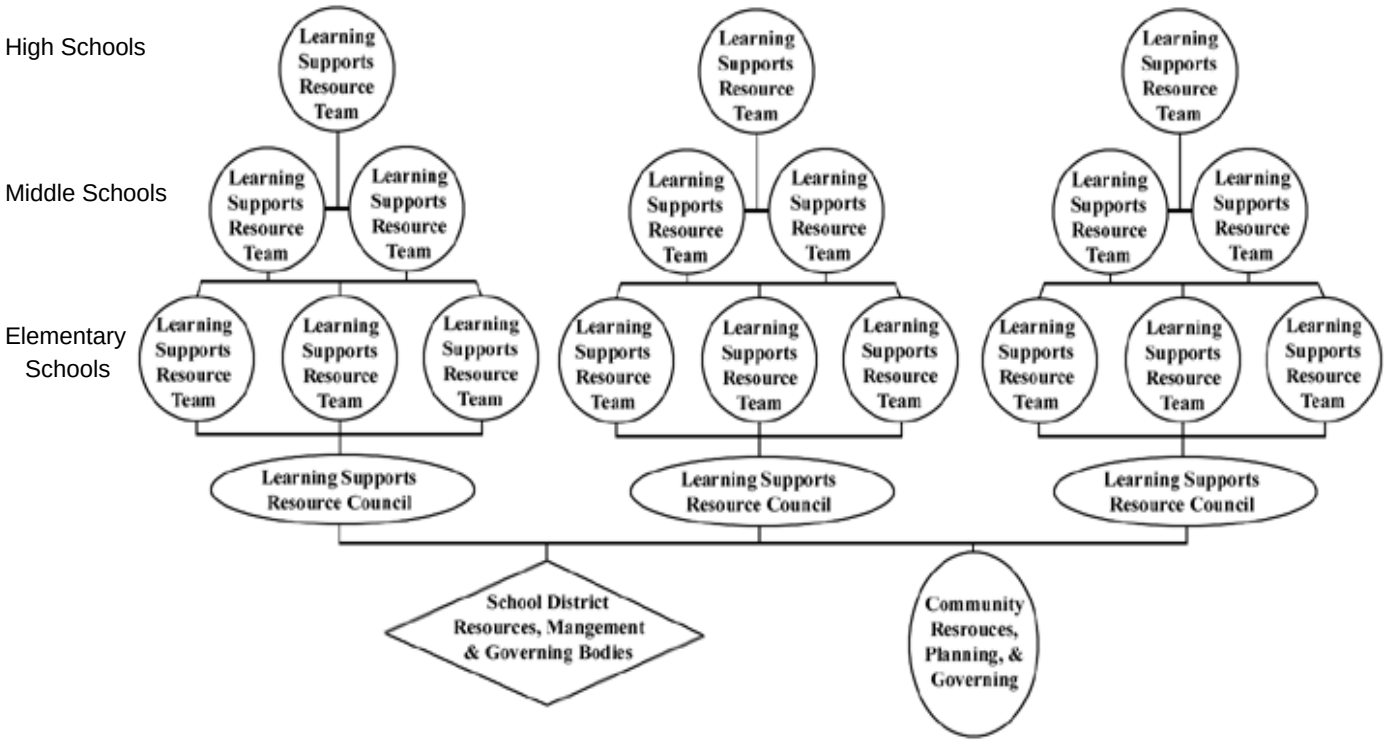
Matters related to comprehensive approaches best achieved through school-community partnerships appear regularly on the agenda of local school boards. The problem is that each item tends to be handled in an ad hoc manner, without sufficient attention to the "Big Picture." One result is that the administrative structure in the school district is not organized in ways that coalesce its various programs and services for addressing barriers and promoting healthy development. The piecemeal structure reflects the marginalized status of such functions and both creates and maintains the fragmented policies and practices that characterize efforts to address barriers. Boards of Education need a standing committee that deals indepth and consistently with these functions so they are addressed in more cohesive and effective ways. Such a committee can help ensure policy and practice are formulated in a cohesive way based on a big picture perspective of how all the various resources and functions relate to each other.

Schools in the same geographic or catchment area have a number of shared concerns, and schools in the feeder pattern often interact with students from the same family. Furthermore, some programs and personnel already are or can be shared by several neighboring schools, thereby minimizing redundancy and reducing costs. A multi-site team can provide a mechanism to help ensure cohesive and equitable deployment of resources and also can enhance the pooling of resources to reduce costs. Such a mechanism can be particularly useful for integrating the efforts of high schools and their feeder middle and elementary schools. This clearly is important in addressing barriers with those families who have youngsters attending more than one level of schooling in the same cluster. It is neither cost-effective nor good intervention for each school to contact a family separately in instances where several children from a family are in need of special attention.

A Resource-Oriented Mechanism for a Family of Schools

In general, a group of schools can benefit from a multi-site resource-oriented mechanism designed to provide leadership, facilitate communication and connection, and ensure quality improvement across sites. For example, a multi-site team, or what we call a Complex Learning Supports Resource Council, might consist of a high school and its feeder middle and elementary schools. It brings together one to two representatives from each school's resource *team* (see figure below).

Figure 10. Infrastructure for connecting a family of schools and district and community.



A mechanism such as a Learning Supports Resource *Council* helps (a) coordinate and integrate programs serving multiple schools, (b) identify and meet common needs with respect to guidelines and staff development, and (c) create linkages and collaborations among schools and with community agencies. In this last regard, it can play a special role in community outreach both to create formal working relationships and ensure that all participating schools have access to such resources.

Natural starting points for councils are the sharing of need assessments, resource mapping, analyses, and recommendations for reform and restructuring. An initial focus may be on local, high priority concerns such as developing prevention programs and safe school plans to address community-school violence.

With respect to linking with community resources, multi-school teams are especially attractive to community agencies who often don't have the time or personnel to link with individual schools. In general, then, a group of sites can benefit from having an ongoing, multi-site, resource-oriented mechanism that provides leadership, facilities communication, coordination, integration, and quality improvement of all activity the sites have for addressing barriers to learning and promoting healthy development.

Council Functions

Some specific functions for a Council are:

- to share info about resource availability (at participating schools and in the immediate community and in geographically related schools and district-wide) with a view to enhancing coordination and integration.

- to identify specific needs and problems and explore ways to address them (e.g., Can some needs be met by pooling certain resources? Can improved linkages and collaborations be created with community agencies? Can additional resources be acquired? Can some staff and other stakeholder development activity be combined?)

- to discuss and formulate longer-term plans and advocate for appropriate resource allocation related to enabling activities.

Council Membership

Each school might be represented on the *Council* by two members of its Resource *Team*. To assure a broad perspective, one of the two might be the site administrator responsible for enabling activity; the other would represent line staff. To ensure a broad spectrum of stakeholder input, the council also should include representatives of classroom teachers, non-certificated staff, parents, and students, as well as a range of community resources that should be involved in schools.

Council facilitation involves responsibility for convening regular monthly (and other ad hoc) meetings, building the agenda, assuring that meetings stay task focused and that between meeting assignments will be carried out, and ensuring meeting summaries are circulated. With a view to shared leadership and effective advocacy, an administrative leader and a council member elected by the group can co-facilitate meetings. Meetings can be rotated among schools to enhance understanding of each site in the council.

System-wide mechanisms

Local and multi-site mechanisms are not sufficient. System-wide policy guidance, leadership, and assistance are required. With respect to establishing a comprehensive continuum of programs and services, a system-wide *policy* commitment represents a necessary foundation.

Mechanisms that seem essential are:

Then, system-wide mechanisms must be established. Development of such mechanisms should reflect a clear conception of how each supports local activity. Several system-wide mechanisms seem essential for coherent oversight and leadership in developing, maintaining, and enhancing comprehensive approaches involving school-community partnerships. One is a *system-wide leader* with responsibility and accountability for the system-wide vision and strategic planning related to (a) developing school-community collaborations to evolve comprehensive approaches and (b) ensuring coordination and integration of activity among localities and system-wide. The leader's functions also encompass evaluation, including determination of the equity in program delivery, quality improvement reviews of all mechanisms and procedures, and ascertaining results.

a system-wide leader

Two other recommended mechanisms at this level are a *system-wide leadership group* and *a resource-oriented body*. The former can provide expertise and leadership for the ongoing evolution of the initiative; the latter can provide guidance for operational coordination and integration across the system. The composition for these will have some overlap.

a system-wide leadership group

The leadership group should include (a) key administrative and line staff who have relevant expertise and vision, (b) staff who can represent the perspectives of the various stake-holders, and (c) others whose expertise (e.g., public health, mental health, social services, recreation, juvenile justice, post secondary institutions) make them invaluable contributors to the tasks at hand.

a system-wide resource-oriented body

The system-wide resource-oriented body can provide guidance for operational coordination and integration across groups of schools. Functions might encompass (a) ensuring there is a district-wide vision and strategic planning for addressing barriers to student learning and promoting healthy development, (b) ensuring coordination and integration among groups of schools and system-wide, (c) establishing linkages and integrated collaboration among system-wide programs and with those operated by community, city, and county agencies, (d) ensuring complete and comprehensive integration with the district's education reforms, and (e) ensuring evaluation, including determination of equity in program delivery, quality improvement reviews of all mechanisms and procedures, and ascertaining results for accountability purposes.

The system-wide group should include (a) representatives of multi-school councils, (b) key district administrative and line staff with relevant expertise and vision (including unit heads, coordinators, union reps), and (c) various other stakeholders such as nondistrict members whose job and expertise (e.g., public health, mental health, social services, recreation, juvenile justice, post secondary institutions) make them invaluable contributors to the tasks at hand.

Organization Facilitators

A cadre of *Organization Facilitators* provide a change agent mechanism that can assist in the development and maintenance of resource-oriented teams and councils. Such personnel also can help organize basic "interdisciplinary and cross training" to create the trust, knowledge, skills, and the attitudes essential for the kind of working relationships required if the mechanisms described above are to operate successfully. Through such training, each profession has the opportunity to clarify roles, activities, strengths, and accomplishments, and learn how to link with each other.

Boards of education & community planning bodies

Ultimately, it is Boards of Education and community governance and planning bodies that must ensure an enduring policy commitment, resources, and planning for comprehensive and cohesive approaches encompassing school-community partnerships. This calls for formal connections between community planning bodies and boards of education with respect to analyzing the current state of the art, developing policy, and ensuring effective implementation.

Section 3. Enhancing School-Community Collaboration

A. About Working Collaboratively at and with Schools

B. Defining Collaboration and its Purposes

C. Redesigning the Infrastructure for Effective Functioning

Effective collaboration requires vision, cohesive policy, potent leadership, infrastructure, capacity building, and appropriate accountability.

A. About Working Collaboratively at and with Schools

Properly done, collaboration among schools, families, and communities should improve schools, strengthen families and neighborhoods, and lead to a marked reduction in young people's problems. Poorly implemented collaboration, however, risks becoming another reform that promised a lot, did little good, and even did some harm. (Advocates for collaboration caution that some so-called collaboratives amount to little more than groups of people sitting around engaging in "collabo-babble.")

Formal opportunities to work together at and with schools often take the form of committees, councils, teams, and various other groups. Functions include school improvement, program planning, budgeting, management, decision making, review of students with problems, quality reviews, and accountability. A larger structure for schools and communities to work together often is called a collaborative. Our focus here is on this larger structure.

Efforts to connect school-community resources in order to develop a full and cohesive continuum of interventions must encompass many stakeholders. This fact and growing appreciation of social capital and the political realities of local control have resulted in collaboratives reaching out to a wide spectrum of participants. Around the table may be individuals representing various agencies, organizations, and sources of social and financial capital, such as youth, families, businesses, religious and civic groups, postsecondary institutions, parks and libraries, and almost any facility that can be used for recreation, learning, enrichment, and support. Agendas include education, literacy, youth development, the arts, health and human services, juvenile justice, vocational preparation, economic development, and more.

One trend among major demonstration projects at the school-neighborhood level is to incorporate health, mental health, and social services into collaborative *centers* (e.g., health centers, family centers, parent centers). These centers are established at or near a school and use terms such as school-linked or school-based services, coordinated services, wrap-around services, one-stop shopping, full service schools, systems of care, and community schools.

An optimal approach involves formally blending local family and community resources with those of a school, a group of schools, and eventually, an entire district. In doing so, sophisticated attention must be given to developing policy and capacity to sustain connections over time.

Most of us know how hard it is to work effectively with a group. Many school and agency staff members have jobs that allow them to carry out their daily duties in relative isolation of other staff. And, despite various frustrations they encounter in doing so, they may see little to be gained from joining with others. In fact, they often can point to many committees and teams that drain their time and energy to little avail.

Despite all this, the fact remains that no organization can be truly effective if too many staff work in isolation. The same is true when organizations work in fragmented ways. Thus, calls for collaboration increase. And, school-community collaboratives are springing up everywhere.

It's Not About Collaboration – It's About Being Effective

Obviously, authentic collaboration involves more than meeting and talking. The point is to work together in ways that produce effective interventions. For this to happen, steps must be taken to ensure participants have the training, time, support, and authority that enables them to carry out their roles and functions. More specifically, collaborative mechanisms require careful planning and implementation designed to accomplish well-delineated functions and defined tasks. Also needed is thoughtful, skilled and content-focused facilitation.

The aim is to establish strong, enduring working relationships to accomplish a shared vision

In the absence of careful attention to the above matters, collaboratives rarely live up to hopes and expectations. Participants often start out with great enthusiasm. But poorly facilitated working sessions quickly degenerate into another ho-hum meeting, lots of talk but little action, another burden, and a waste of time. Meeting and meeting, but going nowhere is particularly likely to happen when the emphasis is mainly on the unfocused mandate to "collaborate." Stakeholders must do more than embrace an important vision and mission. They need an infrastructure that ensures effective work is done with respect to carefully defined functions and tasks.

B. Defining Collaboration and Its Purposes

Collaboration involves *working together in ways that improve intervention effectiveness and efficiency*. Its hallmark is a formal agreement among participants to establish an autonomous structure to accomplish goals that would be difficult to achieve by any of the stakeholders alone. Thus, while participants may have a primary affiliation elsewhere, they commit to working together under specified conditions to pursue a shared vision and common goals. A collaborative structure requires shared governance (power, authority, decision making, accountability) and the weaving together of a set of resources. It also requires building well-defined working relationships to connect, mobilize, and use financial and political resources and social capital in planful and mutually beneficial ways.

Operationally, a collaborative is defined by its *focus* and *functions*. Organizationally, a collaborative must develop mechanisms and a differentiated infra-structure (e.g., steering and work groups) that enables accomplishment of its functions and related tasks. Furthermore, since the functions of a collaborative almost always overlap with work being carried out by others, a collaborative body must pursue connections with other bodies.

Collaboration is not about meeting together

The *focus* may be on enhancing

- *direct delivery of services and programs* (e.g., improving specific services and programs; improving interventions to promote healthy development, prevent and correct problems, meet client/consumer needs; improving processes for referral, triage, assessment, case management)

and/or

- *resource use* (e.g., improving resource deployment and accessing more resources)

and/or

- *systemic approaches* (e.g., moving from fragmented to cohesive approaches; developing a comprehensive, multifaceted continuum of integrated interventions; replicating innovations; scaling-up)

C. Redesigning the Infrastructure for Effective Functioning

Building on the discussion in Section 2, Part II, about enhancing infrastructure, it is important to elaborate on the functions and infrastructure of a school-community collaborative.

Functions

Major examples of *functions* include:

- facilitating communication, cooperation, coordination, integration
- operationalizing the vision of stakeholders into desired functions and tasks
- enhancing support for and developing a policy commitment to ensure necessary resources are dispensed for accomplishing desired functions
- advocacy, analysis, priority setting, governance, planning, implementation, and evaluation related to desired functions
- mapping, analyzing, managing, redeploying, and braiding available resources to enable accomplishment of desired functions
- establishing leadership and institutional and operational mechanisms (e.g., infrastructure) for guiding and managing accomplishment of desired functions
- defining and incorporating new roles and functions into job descriptions
- building capacity for planning, implementing and evaluating desired functions, including ongoing stakeholder development for continuous learning and renewal and for bringing new arrivals up to speed
- defining standards & ensuring accountability

Mechanisms

Collaborative *mechanisms* or *structure* may take the form of one or more of the following:

- a steering group
- advisory bodies and councils
- a collaborative body and its staff
- ad hoc or standing work groups
- resource-oriented teams
- case-oriented teams
- committees

Collaboration inevitably requires developing ways to work together that enable participants to overcome their particular arenas of advocacy. If this cannot be accomplished, the intent of pursuing a shared agenda and achieving a collective vision is jeopardized.

As should be evident by now, collaboratives can differ in terms of purposes and functions. They also can differ in a range of other dimensions. For example, they may vary in their degree of formality, time commitment, nature of stakeholder connections, as well as the amount of systemic change required to carry out their functions and achieve their purposes (see exhibit on next page).

Exhibit 4
Some Other Collaborative Dimensions*

I. Initiation
- *A. School-led*
- *B. Community-driven*

II. Nature of Collaboration
- *A. Formal*
  - memorandum of understanding
  - contract
  - organizational/operational mechanisms
- *B. Informal*
  - verbal agreements
  - ad hoc arrangements

III. Focus
- *A. Improvement of program and service provision*
- *B. Enhancing Resource Use*
- *C. Major systemic changes*

IV. Scope of Collaboration
- *A. Number of programs and services involved (from just a few -- up to a comprehensive, multifaceted continuum)*
- *B. Horizontal collaboration*
  - within a school/agency
  - among schools/agencies
- *C. Vertical collaboration*
  - within a catchment area (e.g., school and community agency, family of schools, two or more agencies)
  - among different levels of jurisdictions (e.g., community/city/county/state/federal)

V. Scope of Potential Impact
- *A. Narrow-band -- a small proportion of youth and families can access what they need*
- *B. Broad-band -- all in need can access what they need*

VI. Ownership & Governance of Programs and Services
- *A. Owned & governed by school*
- *B. Owned & governed by community*
- *C. Shared ownership & governance*
- *D. Public-private venture -- shared ownership & governance*

VII. Location of Programs and Services
- *A. Community-based, school-linked*
- *B. School-based*

VIII. Degree of Cohesiveness among Multiple Interventions Serving the Same Student/Family
- *A. Unconnected*
- *B. Communicating*
- *C. Cooperating*
- *D. Coordinated*
- *E. Integrated*

IX. Level of Systemic Intervention Focus
- *A. Systems for promoting healthy development*
- *B. Systems for prevention of problems*
- *C. Systems for early-after-onset of problems*
- *D. Systems of care for treatment of severe, pervasive, and/or chronic problems*
- *E. Full continuum including all levels*

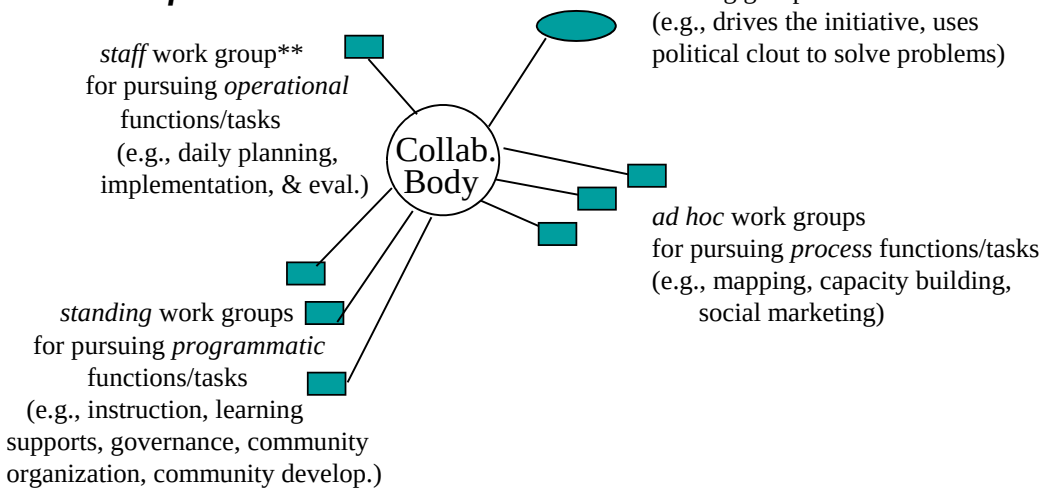
X. Arenas for Collaborative Activity
- *A. Health (physical and mental)*
- *B. Education*
- *C. Social services*
- *D. Work/career*
- *E. Enrichment/recreation*
- *F. Juvenile justice*
- *G. Neighborhood/community improvement*

*See previous page for examples of the major *functions* and the types of *mechanisms* that are used to accomplish them.

Collaborations can be organized by any group of stakeholders. Connecting the resources of families and the community through collaboration with schools is essential for developing comprehensive, multifaceted programs and services. At the multi-locality level, efficiencies and economies of scale are achieved by connecting a complex/"family" of schools (e.g., a high school and its feeder schools). In a small community, such a complex often is the school district. Conceptually, it is best to think in terms of building from the local outward, but in practice, the process of establishing the initial collaboration may begin at any level.

Exhibit 5 **About Collaborative Infrastructure**

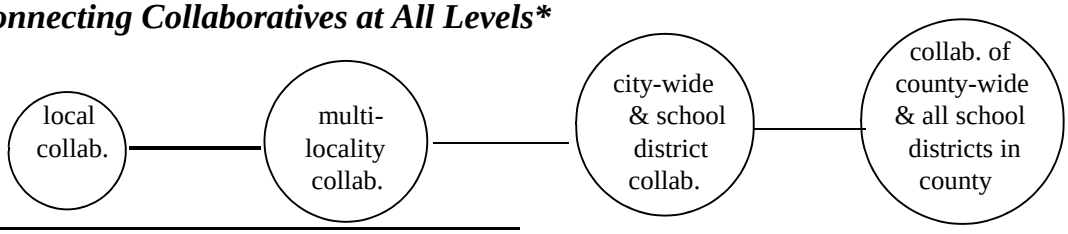
Basic Collaborative Infrastructure*



Who should be at the table?
>families[1]
>schools[2]
>communities[3]

***Staffing*
>Executive Director
>Organization Facilitator (change agent)

Connecting Collaboratives at All Levels*



[1]*Families*. It is important to ensure that all who live in an area are represented – including, but not limited to, representatives of organized family advocacy groups. The aim is to mobilize all the human and social capital represented by family members and other home caretakers of the young.

[2]*Schools*. This encompasses all institutionalized entities that are responsible for formal education (e.g., pre-K, elementary, secondary, higher education). The aim is to draw on the resources of these institutions.

[3]*Communities*. This encompasses all the other resources (public and private money, facilities, human and social capital) that can be brought to the table at each level (e.g., health and social service agencies, businesses and unions, recreation, cultural, and youth development groups, libraries, juvenile justice and law enforcement, faith-based community institutions, service clubs, media). As the collaborative develops, additional steps must be taken to outreach to disenfranchised groups.

Melaville & Blank (1998) note that:

> *One of the most important, cross-cutting social policy perspective to emerge in recent years is an awareness that no single institution can create all the conditions that young people need to flourish.*

School-community initiatives are growing at an exponential rate. These "experiments" could improve schools, strengthen neighborhoods, and lead to marked reduction of young people's problems. Or such "collaborations" can end up being another reform effort that promised a lot, did little good, and even did some harm.

In thinking about school-community partnerships it is essential not to overemphasize the topics of coordinating community services and co-locating them on school sites. Such thinking downplays the need to also restructure the various education support programs and services that schools own and operate. And, it has led some policy makers to the mistaken impression that community resources can effectively meet the needs of schools in addressing barriers to learning. In turn, this has led some to see linking of community services to schools as a way to free up the dollars underwriting school owned services.

The reality is that even when one adds together community and school assets, the total set of services in impoverished locales is woefully inadequate. Policy makers must realize that as important as it is to reform and restructure health and human services, accessible and high quality services remain only one facet of a comprehensive, cohesive approach for strengtheningfamilies and neighborhoods.

Optimally, school-community partnerships formally blend together resources of at least one school and sometimes a group of schools or an entire school district with resources in a given neighborhood or the larger community. The intent is to sustain such partnerships over time. The range of entities in a community are not limited to agencies and organizations; they encompass people, businesses, community based organizations, postsecondary institutions, religious and civic groups, programs at parks and libraries, and any other facilities that can be used for recreation, learning, enrichment and support.

While it is relatively simple to make informal school-community linkages, establishing major long-term partnerships is complicated. They require vision, cohesive policy, and basic systemic reforms. School-community partnerships can weave together a critical mass of resources and strategies to enhance caring communities that support all youth and their families and enable success at school and beyond. Comprehensive partnerships represent a promising direction for efforts to generate essential interventions to address barriers to learning, enhance healthy development, and strengthen families and neighborhoods. Building such partnerships requires an enlightened vision, creative leadership, and new and multifaceted role for professions who work in schools and communities, as well as for all who are willing to assume leadership.

Exhibit 6

Recommendations to Enhance and Sustain School-Community Partnerships

Effective school-community partnerships require a cohesive set of policies to redeploy school and community resources in effective ways. Policy must

- move *governance* toward shared decision making with appropriate local control–a key facet of this is providing incentives, supports, and training for effective involvement of line staff, families, students, and other community members.
- create *change teams and change agents* to carry out the daily activities of systemic change related to building essential support and redesigning processes to initiate, establish, and maintaining changes over time.
- delineate high level *leadership* and underwrite essential *leadership/management training* regarding vision for change, how to effect such changes, how to institutionalize the changes and generate ongoing renewal
- establish institutionalized *mechanisms to manage and enhance resources* for school-community partnerships and related systems (focusing on analyzing, planning, coordinating, integrating, monitoring, evaluating, and strengthening ongoing efforts)
- provide adequate funds for *capacity building* related to accomplishing desired system changes to enhance intervention quality over time
- use a sophisticated approach to *accountability* that emphasize data that can help develop effective collaboration through initial focus on short-term benchmarks and evolves into evaluation on long range indicators of impact.

Such as strengthened policy focus would allow partners to build the continuum of interventions needed to make a significant impact in addressing the health, learning, and well being of all youngsters through strengthening youngsters, families, schools, and neighborhoods.

Exhibit 7 ***Some Ways to Begin or Reinvigorate a Collaborative***

(1) Adopt a Comprehensive Vision for the Collaborative

- Collaborative leadership builds consensus that the aim of those involved is to help weave together community and school resources to develop a comprehensive, multifaceted, and integrated continuum of interventions so that no child is left behind.

(2) Write a "Brief" to Clarify the Vision

- Collaborative establishes a writing team to prepare a "white paper," Executive Summary and set of "talking points" clarifying the vision by delineating the rationale and frameworks that will guide development of a comprehensive, multifaceted, and integrated approach

(3) Establish a Steering Committee to Move the Initiative Forward and Monitor Process

- Collaborative identifies and empowers a representative subgroup who will be responsible and accountable for ensuring that the vision ("big picture") is not lost and the momentum of the initiative is maintained through establishing and monitoring ad hoc work groups that are asked to pursue specific tasks

(4) Start a Process for Translating the Vision into Policy

- Steering Committee establishes a work group to prepare a campaign geared to key local and state school and agency policy makers that focuses on (a) establishing a policy framework for the development of a comprehensive, multifaceted, and integrated approach and (b) ensuring that such policy has a high enough level of priority to end the current marginalized status such efforts have at schools and in communities

(5) Develop a 5 year Strategic Plan

- Steering Committee establishes a work group to draft a 5 year strategic plan that delineates (a) the development of a comprehensive, multifaceted, and integrated approach and (b) the steps to be taken to accomplish the required systemic changes (The strategic plan will cover such matters as use of formulation of essential agreements about policy, resources, and practices; assignment of committed leadership; change agents to facilitate systemic changes; infrastructure redesign; enhancement of infrastructure mechanisms; resource mapping, analysis, and redeployment; capacity building; standards, evaluation, quality improvement, and accountability; "social marketing.")

- Steering Committee circulates draft of plan (a) to elicit suggested revisions from key stakeholders and (b) as part of a process for building consensus and developing readiness for proceeding with its implementation

- Work group makes relevant revisions based on suggestions

(6) Move the Strategic Plan to Implementation

- Steering Committee ensures that key stakeholders finalize and approve strategic plan

- Steering Committee submits plan on behalf of key stakeholders to school and agency decision makers to formulate formal agreements (e.g., MOUs, contracts) for start-up, initial implementation, and on-going revisions that can ensure institutionalization and periodic renewal of a comprehensive, multifaceted, and integrated approach

- Steering Committee establishes work group to develop action plan for start-up and initial implementation (Action plan identifies general functions and key tasks to be accomplished, necessary systemic changes, and how to get from here to there in terms of who, how, by when, who monitors, etc.)

Remember:

An effective school-community collaboration must coalesce at the local level. Thus, a school and its surrounding community are a reasonable focal point around which to build an infrastructure. Moreover, primary emphasis on this level meshes nicely with contemporary restructuring views that stress increased school-based and neighborhood control.

Effective collaboratives require well-developed infrastructure mechanisms at all relevant levels (e.g., see Exhibit 5). Such mechanisms are used for oversight, leadership, capacity building, and ongoing support related to (a) making decisions about priorities and resource allocation, (b) planning, implementation, maintenance, and accountability, (c) enhancing and redeploying existing resources and pursuing new ones, and (d) nurturing the collaborative. At each level, such tasks require a proactive agenda.

A Final Comment About School-community Connections

If increased connections are to be more than another desired but underachieved aim of reformers, we all must deal with the problems of marginalization and fragmentation of policy and practice. We must help develop appropriately comprehensive school-community collaborations. We must move beyond the concept of school-linked services because such an approach is a grossly inadequate response to the many complex factors that interfere with development, learning, and teaching. By focusing primarily on linking community services to schools and downplaying the role of existing school and other community and family resources, initiatives for school-linked services help perpetuate an orientation that overemphasizes individually prescribed services, results in fragmented interventions, and undervalues the human and social capital indigenous in every neighborhood. As a result, such initiatives often are incompatible with developing the type of comprehensive approaches that are needed to make statements such as *We want all children to succeed* and *No Child Left Behind* more than rhetoric.

Concluding Comments

Obviously, no single project can transform a school, never mind a school district. At the same time, any project can be a catalyst for change. The first step is to avoid setting up a separate infrastructure and conveying the image of a project that is limited in focus and duration. The next steps involve proposing ways to integrate the work with related activity, defining functions in ways that stress commonalities and, then, determining whether the existing infrastructure can do what is necessary or should be modified.

Of course, 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, institutionalize, and sustain them on a large scale. For the most part, education and community researchers and reformers have paid little attention to the complexities of such 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 school-based innovations. Furthermore, leadership training gives short shrift to the topic of systemic change. Thus, it is not surprising that the pendulum swings that characterize school "reforms" do not come 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, and scheduling unrealistically short time frames for building capacity to accomplish desired institutional changes and outcomes.

Another chronic problem related to making and sustaining systemic change 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. A constant challenge is to maintain the vision and commitment and to develop strategies for bringing 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.

The breadth of what we have presented will seem daunting to many. A reasonable reaction is "But what can I do to sustain valued functions as I work to affect policy, leadership, infrastructure, and scale up?" A good initial focus for catalyzing and leveraging change is to "social market" data from various sources indicating the positive outcomes for schools and students of what should be sustained. In general, publicizing any information indicating the value and wisdom of an innovation is a critical element in nurturing and sustaining the approach. It is essential, of course, to get the message out in ways that can influence key decision makers.

Unfortunately, there aren't short-cuts. Little of what we describe above is dispensable. We have learned this hard fact through experiences across the country. For example, in one large district the superintendent was committed to building

a strong component for learning support at every school. Support services were reorganized to begin this process. However, what had been a strong beginning was completely undercut when the superintendent moved on to another job. Our analysis is that the failure to sustain was due to the lack of a policy commitment on the part of the school board and limited readiness on the part of many principals and support service staff with respect to understanding and valuing the changes.

In another large district, the school board endorsed a policy for restructuring student support to improve efforts to address barriers to learning; change agent positions were created; and a Learning Supports Resource Council was established for each cluster or family of schools. However, when key district leaders moved on, there was no steering group in place and no process to orient and bring new leadership up to speed. As a result, commitment to the changes is waning.

In yet another district, the leadership for student support services are committed to the making and sustaining systemic changes to establish a comprehensive, multifaceted, and cohesive learning supports component. They are formulating a strategic initiative to move forward. In doing so, they are working with the district leadership and the school board. A steering group is to be established. An early focus will be on organizational restructuring and reframing the roles and functions of student support staff in keeping with the broadened perspective for addressing barriers to learning and promoting healthy development. This will involve capacity building mechanisms designed to enhance the readiness of key stakeholders. This work in progress bears watching.

Another lesson learned comes from a large urban school. Over several years, the school staff developed the foundations of a comprehensive component to address barriers to learning and teaching. Recently, their efforts to sustain and evolve this component have been hampered by district mandates related to enhancing instructional practices. As the demands from the central office increase, the school administration lowers the policy priority for enhancing learning supports. The staff is now revisiting some basics related to sustainability. They realized that they had no steering group and thus no potent champions. While the school had adopted a supportive policy, the staff had never involved the district leadership or school board in formulating district-wide policy. As a result, they were operating as an isolated reform and had done no social marketing to indicate the school improvements they were demonstrating could be scaled-up across the district. The set-back isn't fatal, but probably could have been avoided.

To end on a positive note, we point to Hawai`i. Because Hawai`i is a state system, policy is developed at the state level. Hawai`i's policy for school improvement has been expanded to encompass three primary components: instruction, management, and student support. In pursuing new directions for student support, Hawai`i's Department of Education adopted the concept of a Comprehensive Student Support System (CSSS). This is their umbrella component for ensuring their school improvement initiatives move in new directions to develop comprehensive, multifaceted

learning supports. The intent is for all schools to provide a continuum of programs and services to ensure academic, social, emotional and physical environments where all students are enabled to learn the content taught in keeping with high performance standards. This continuum begins in the classroom, with differentiated classroom practices as the base of support for each student. It extends beyond the classroom to include school and community resources. CSSS operates in all school settings, linking students and families to the resources of the Department of Education as well as those of their neighborhood, their community, the Department of Health, and other governmental and private agencies and groups. Because the commitment to a learning support component is clear and spelled out in policy with accountability "teeth," it is moving forward in ways designed to phase-in scale-up. In place are a steering and leadership infrastructure, school based change agents (trained through a partnership with higher education), coordinators for implementation at school sites, and capacity building mechanisms. Initially, evaluation data are being used for formative purposes. Hopefully, impact evaluation will be deferred until the system is operating in appropriate ways at a the first sites. Premature emphasis on impact, especially with respect to achievement test performance, is one of the surest ways to undercut efforts to sustain promising innovations.

Finally, we reiterate that, given the various stakeholder groups who are essential to successful systemic change, ideas must be adapted to fit particular groups (e.g., districts, schools, agencies, families). The frameworks included in this article are intended to provide guiding templates that can be refined by stakeholders at various levels. And, while the steps outlined imply a degree of linearity, it is essential to remember that implementing innovations and making the type of systemic changes that sustain them involve dynamic processes and require a flexible approach.

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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. Additional Tools for Mapping Programs and Resources

B. Social Marketing, Data, and Systemic Change

C. Mechanisms for Facilitating Systemic School and Community Changes

D. Scaling-up Reforms Across a School District

E. Example of a 5 year plan

F. Working with Others to Enhance Programs and Resources

G. Developing Standards and Expanding the Accountability Framework

H. More About Barriers to Learning

Appendix A

Additional Tools for Mapping Programs and Resources

This appendix contains a school-community partnership self-study survey and *outlines* the basic elements of a set of other self-study surveys – all of which are used as mapping tools for enhancing stakeholders' understanding of programs and resources. Such understanding contributes to a "big picture" perspective of assets and provides a basis for making decisions about needs and priorities. The surveys are not evaluation tools. They afford a stimulus for discussion, analysis, reflection, and planning. School and community partners can use them to identify specific areas for working together to enhance benefits for all children and youth.

The surveys that are presented only in outline form cover:

- school-community partnerships:
- system status
- classroom-based efforts to enhance learning and performance of students with mild-moderate problems
- support for transitions
- prescribed student and family assistance
- crisis assistance and prevention
- home involvement in schooling
- school outreach to develop greater community involvement and support

Because only the major categories of these surveys are outlined here, see the UCLA Center for the complete set of the items that have been delineated in each area. The resource aid packet containing the surveys is entitled:

Addressing Barriers to Learning: A Set of Surveys to Map What a School Has and What it Needs

This resource can be downloaded from the Center website:
http://smhp.psych.ucla.edu
or can be ordered in hardcopy at cost..

School-Community Partnerships:
Self-Study Survey

Formal efforts to create school-community partnerships to improve school and neighborhood, involve building formal relationships to connect resources involved in preK-12 schooling and resources in the community (including formal and informal organizations such as the home, agencies involved in providing health and human services, religion, policing, justice, economic development; fostering youth development, recreation, and enrichment; as well as businesses, unions, governance bodies, and institutions of higher education).

As you work toward enhancing such partnerships, it helps to clarify what you have in place as a basis for determining what needs to be done. You will want to pay special attention to

- *clarifying what resources already are available*
- *how the resources are organized to work together*
- *what procedures are in place for enhancing resource usefulness*

The following is designed as a self-study instrument related to school-community partnerships. Stakeholders use such surveys to map and analyze the current status of their efforts.

This type of self-study is best done by teams. For example, a group of stakeholders could use the items to discuss how well specific processes and programs are functioning and what's not being done. Members of the team initially might work separately in filling out the items, but the real payoff comes from discussing them as a group. The instrument also can be used as a form of program quality review.

In analyzing, the status of their school-community partnerships, the group may decide that some existing activity is not a high priority and that the resources should be redeployed to help establish more important programs. Other activity may be seen as needing to be embellished so that it is effective. Finally, decisions may be made regarding new desired activities, and since not everything can be added at once, priorities and timelines can be established.

Survey (self-study) --
Overview of Areas for School-Community Partnership

Indicate the status of partnerships between a given school or family of schools and community with respect to each of the following areas.

Please indicate all items that apply	Yes	Yes but more of this is needed	No	If no, is this something you want?
A. Improving the School (name of school(s): _____)				
1. the instructional component of schooling	___	___	___	___
2. the governance and management of schooling	___	___	___	___
3. financial support for schooling	___	___	___	___
4. school-based programs and services to address barriers to learning	___	___	___	___
B. Improving the Neighborhood (through enhancing linkages with the school, including use of school facilities and resources)				
1. youth development programs	___	___	___	___
2. youth and family recreation and enrichment opportunities	___	___	___	___
3. physical health services	___	___	___	___
4. mental health services	___	___	___	___
5. programs to address psychosocial problems	___	___	___	___
6. basic living needs services	___	___	___	___
7. work/career programs	___	___	___	___
8. social services	___	___	___	___
9. crime and juvenile justice programs	___	___	___	___
10. legal assistance	___	___	___	___
11. support for development of neighborhood organizations	___	___	___	___
12. economic development programs	___	___	___	___

Survey (self-study) -- Overview of System Status for Enhancing School-Community Partnership

Items 1-7 ask about what processes are in place.
Use the following ratings in responding to these items.

DK = don't know
1 = not yet
2 = planned
3 = just recently initiated
4 = has been functional for a while
5 = well institutionalized (well established with a commitment to maintenance)

1. Is there a stated policy for enhancing school-community partnerships (e.g., from the school, community agencies, government bodies)? DK 1 2 3 4 5

2. Is there a designated leader or leaders for enhancing school-community partnerships? DK 1 2 3 4 5

3. With respect to each entity involved in the school-community partnerships have specific persons been designated as representatives to meet with each other? DK 1 2 3 4 5

4. Do personnel involved in enhancing school-community partnerships meet regularly as a team to evaluate current status and plan next steps? DK 1 2 3 4 5

5. Is there a written plan for capacity building related to enhancing the school-community partnerships? DK 1 2 3 4 5

6. Are there written descriptions available to give all stakeholders regarding current school-community partnerships DK 1 2 3 4 5

7. Are there effective processes by which stakeholders learn

   (a) what is available in the way of programs/services? DK 1 2 3 4 5

   (b) how to access programs/services they need? DK 1 2 3 4 5

Survey (self-study) -- Overview of System Status for Enhancing School-Community Partnership (cont.)

Items 8- 9 ask about effectiveness of existing processes.
Use the following ratings in responding to these items.

DK = don't know
1 = hardly ever effective
2 = effective about 25 % of the time
3 = effective about half the time
4 = effective about 75% of the time
5 = almost always effective

8. In general, how effective are your local efforts to enhance school-community partnerships? DK 1 2 3 4 5

9. With respect to enhancing school-community partnerships, how effective are each of the following:

(a) current policy DK 1 2 3 4 5

(b) designated leadership DK 1 2 3 4 5

(c) designated representatives DK 1 2 3 4 5

(d) team monitoring and planning of next steps DK 1 2 3 4 5

(e) capacity building efforts DK 1 2 3 4 5

List Current School-Community Partnerships

For improving the school

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For improving the neighborhood
(though enhancing links with the school, including use of school facilities and resources)

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Survey (self-study) --

School-Community Partnerships to Improve the School

Indicate the status of partnerships between a given school or family of schools and community with respect to each of the following:

Please indicate all items that apply **(name of school(s): _____)**	**Yes**	**Yes but more of this is needed**	**No**	**If no, is this something you want?**
Partnerships to improve				
1. the instructional component of schooling				
a. kindergarten readiness programs	___	___	___	___
b. tutoring	___	___	___	___
c. mentoring	___	___	___	___
d. school reform initiatives	___	___	___	___
e. homework hotlines	___	___	___	___
f. media/technology	___	___	___	___
g. career academy programs	___	___	___	___
h. adult education, ESL, literacy, citizenship classes	___	___	___	___
i. other _____	___	___	___	___
2. the governance and management of schooling				
a. PTA/PTSA	___	___	___	___
b. shared leadership	___	___	___	___
c. advisory bodies	___	___	___	___
d. other _____	___	___	___	___
3. financial support for schooling				
a. adopt-a-school	___	___	___	___
b. grant programs and funded projects	___	___	___	___
c. donations/fund raising	___	___	___	___
d. other_____	___	___	___	___
4. school-based programs and services to address barriers to learning*				
a. student and family assistance programs/services	___	___	___	___
b. transition programs	___	___	___	___
c. crisis response and prevention programs	___	___	___	___
d. home involvement programs	___	___	___	___
e. pre and inservice staff development programs	___	___	___	___
f. other_____	___	___	___	___

Survey (self-study) --

School-Community Partnerships to Improve the Neighborhood

Indicate the status of partnerships between a given school or family of schools and community with respect to each of the following:

Please indicate all items that apply **(name of school(s): _____)**	**Yes**	**Yes but more of this is needed**	**No**	**If no, is this something you want?**
Partnerships to improve				
1. youth development programs				
a. home visitation programs	___	___	___	___
b. parent education	___	___	___	___
c. infant and toddler programs	___	___	___	___
d. child care/children's centers/preschool programs	___	___	___	___
e. community service programs	___	___	___	___
f. public health and safety programs	___	___	___	___
g. leadership development programs	___	___	___	___
h. other _____	___	___	___	___
2. youth and family recreation and enrichment opportunities				
a. art/music/cultural programs	___	___	___	___
b. parks' programs	___	___	___	___
c. youth clubs	___	___	___	___
d. scouts	___	___	___	___
e. youth sports leagues	___	___	___	___
f. community centers	___	___	___	___
g. library programs	___	___	___	___
h. faith community's activities	___	___	___	___
i. camping programs	___	___	___	___
j. other _____	___	___	___	___
3. physical health services				
a. school-based/linked clinics for primary care	___	___	___	___
b. immunization clinics	___	___	___	___
c. communicable disease control programs	___	___	___	___
d. CHDP/EPSDT programs	___	___	___	___
e. pro bono/volunteer programs	___	___	___	___
f. AIDS/HIV programs	___	___	___	___
g. asthma programs	___	___	___	___
h. pregnant and parenting minors programs	___	___	___	___
i. dental services	___	___	___	___
j. vision and hearing services	___	___	___	___
k. referral facilitation	___	___	___	___
l. emergency care	___	___	___	___
m. other_____	___	___	___	___
4. mental health services				
a. school-based/linked clinics w/ mental health component	___	___	___	___
b. EPSDT mental health focus	___	___	___	___
c. pro bono/volunteer programs	___	___	___	___
d. referral facilitation	___	___	___	___
e. counseling	___	___	___	___
f. crisis hotlines	___	___	___	___
g. other_____	___	___	___	___

5. programs to address psychosocial problems

a. conflict mediation/resolution	___	___	___	___
b. substance abuse	___	___	___	___
c. community/school safe havens	___	___	___	___
d. safe passages	___	___	___	___
e. youth violence prevention	___	___	___	___
f. gang alternatives	___	___	___	___
g. pregnancy prevention and counseling	___	___	___	___
h. case management of programs for high risk youth	___	___	___	___
i. child abuse and domestic violence programs	___	___	___	___
j. other _____	___	___	___	___

6. basic living needs services

a. food	___	___	___	___
b. clothing	___	___	___	___
c. housing	___	___	___	___
d. transportation assistance	___	___	___	___
e. other _____	___	___	___	___

7. work/career programs

a. job mentoring	___	___	___	___
b. job programs and employment opportunities	___	___	___	___
c. other_____	___	___	___	___

8. social services

a. school-based/linked family resource centers	___	___	___	___
b. integrated services initiatives	___	___	___	___
c. budgeting/financial management counseling	___	___	___	___
d. family preservation and support	___	___	___	___
e. foster care school transition programs	___	___	___	___
f. case management	___	___	___	___
g. immigration and cultural transition assistance	___	___	___	___
h. language translation	___	___	___	___
i. other_____	___	___	___	___

9. crime and juvenile justice programs

a. camp returnee programs	___	___	___	___
b. children's court liaison	___	___	___	___
c. truancy mediation	___	___	___	___
d. juvenile diversion programs with school	___	___	___	___
e. probation services at school	___	___	___	___
f. police protection programs	___	___	___	___
g. other _____	___	___	___	___

10. legal assistance

a. legal aide programs	___	___	___	___
b. other _____	___	___	___	___

11. support for development of neighborhood organizations

a. neighborhood protective associations	___	___	___	___
b. emergency response planning and implementation	___	___	___	___
c. neighborhood coalitions and advocacy groups	___	___	___	___
d. volunteer services	___	___	___	___
e. welcoming clubs	___	___	___	___
f. social support networks	___	___	___	___
g. other_____	___	___	___	___

12. economic development programs

a. empowerment zones.	___	___	___	___
b. urban village programs	___	___	___	___
c. other_____	___	___	___	___

Other Self-Study Surveys for School and Community

The following are the basic categories that have been used to build a set of self-study surveys to aid school and community partners as they map and analyze current and desired programs, services, and systems with a view to developing a comprehensive, multifaceted approach to addressing barriers to learning.

I. *Survey of System Status*

The intent of this survey is to clarify the status at a school of the basic mechanisms necessary for addressing barriers to learning. The focus is on the following system concerns:

1. Is someone at the school designated as coordinator/leader for activity designed to address barriers to learning?
2. Is there a time and place when personnel involved in activity designed to address barriers to learning meet together?
3. Is there a Resource Coordinating Team?
4. Are there written descriptions available to give staff regarding resources at the school and in the community and information on how to gain access to them?
5. Are there processes by which families gain information about resources and how to access them?
6. With respect to the family of schools in your neighborhood, has someone been designated as a representative to meet with others schools to coordinate activities designed to address barriers to learning?
7. How effective is the referral, triage, case management system?
8. How effective are processes for improving and enhancing systems and resources?
9. How effective are processes for coordinating and linking with community resources?
10. How effective are processes for ensuring that resources are available to all schools in your neighborhood?
11. List community resources with which you have formal relationships(on site, in community).

II. Classroom-Focused Enabling

The emphasis here is on enhancing classroom-based efforts to enable learning by increasing teacher effectiveness for preventing and handling problems in the classroom. This is accomplished by providing personalized help to increase a teacher's array of strategies for working with a wider range of individual differences (e.g., through use of accommodative and compensatory strategies, peer tutoring and volunteers to enhance social and academic support, resource and itinerant teachers and counselors in the classroom). Through classroom-focused enabling programs, teachers are better prepared to address similar problems when they arise in the future. Anticipated outcomes are increased mainstream efficacy and reduced need for special services.

1. What programs for *personalized professional development* are currently at the site?

2. What supports are available in the classroom to help students identified as having problems?

3. What is done to assist a teacher who has difficulty with limited English speaking students?

4. What types of technology are available to the teachers?

5. What curricular enrichment and adjunct programs do teachers use?

6. What programs for temporary out of class help are currently at the site?

7. Are there school-wide approaches for creating and maintaining a caring and supportive climate? Supporting high standards for positive behavior?

8. What programs are used to train aides, volunteers, and other "assistants" who come into the classrooms to work with students who need help?

9. What can teachers request as special interventions?

10. Is there ongoing training for team members concerned with the area of Classroom-Focused Enabling?

11. What other ways that are used at the school to assist a teacher's efforts to address barriers to students' learning.

12. What other things do you want the school to do to assist a teacher's efforts to address barriers to students' learning.

III. Support for Transitions

The emphasis here is on planning, developing, and maintaining a comprehensive focus on the variety of transition concerns confronting students and their families. The work in this area can be greatly aided by advanced technology. Anticipated outcomes are reduced levels of alienation and increased levels of positive attitudes toward and involvement at school and in a range of learning activity.

1. What programs for establishing a welcoming and supportive community are at the site?
2. Are there transition programs in use for grade- to-grade and program-to-program articulation?
3. Are there transition programs to post school living?
4. What before and after school programs are available?
5. What programs are offered during intersession or vacations?
6. What programs are used to meet the educational needs of personnel related to this programmatic area?
7. Which of the following topics are covered in educating stakeholders?
8. Please indicate below other things you want the school to do to provide support for transitions.
9. Please indicate below other thing you wants the school to do provide support for transitions.

IV. Student and Family Assistance Programs and Services

The emphasis here is on providing special services in a personalized way to assist with a broad-range of needs. To begin with, available social, physical and mental health programs in the school and community are used. As community outreach brings in other resources, they are linked to existing activity in an integrated manner. Special attention is paid to enhancing systems for triage, case and resource management, direct services to meet immediate needs, and referral for special services and special education resources and placements as appropriate. Intended outcomes are to ensure special assistance is provided when necessary and appropriate and that such assistance is effective.

1. Are there classroom focused enabling programs to reduce the need for teachers to seek special programs and services?
2. What activity is there to facilitate and evaluate requests for assistance?
3. After triage, how are referrals handled?

4. What types of direct interventions are provided currently?

5. What mechanisms are in place too manage cases and resources?

6. What mechanisms are in place to help enhance the quality and quantity of service and programs?

7. What programs are used to meet the education needs of personnel related to this programmatic area?

8. Which of the following topics are covered in educating stakeholders in this arena?

9. Please indicate below any other ways that are used to provide student and family assistance to address barriers to students' learning.

10. Please indicate below other things you want the school to do to provide student and family assistance to address barriers to students' learning.

V. Crisis Assistance and Prevention

The emphasis here is on responding to,, minimizing the impact of,,and preventing crises. If there is a school-based Family/Community Center facility, it provides a staging area and context for some of the programmatic activity. Intended outcomes of crisis assistance include ensuring immediate assistance is provided when emergencies arise and follow-up care is provided when necessary and appropriate so that students are able to resume learning without undue delays. Prevention activity outcomes are reflected in the creation of a safe and productive environment and the development of student and family attitudes about and capacities for dealing with violence and other threats to safety.

1. With respect to Emergency/Crisis Response, is there an active Crisis Team? Is the Crisis Team appropriately trained?

2. With respect to developing programs to prevent crises, what programs are available?

3. What programs are used to meet the educational needs of personnel related to this programmatic area?

4. What topics are covered in educating stakeholders?

5. Please indicate any other ways that are used to provide crisis assistance and prevention to address barriers to students' learning.

6. Please indicate other things you want the school to do to provide crisis assistance and prevention to address barriers to students' learning.

VI. Home Involvement in Schooling

The emphasis here is on enhancing home involvement through programs to address specific parent learning and support needs (e.g., ESL classes, mutual support groups), mobilize parents as problem solvers when their child has problems (e.g., parent education, instruction in helping withschoolwork),elicit help from families in addressing the needs of the community, and so forth. The context for some of this activity may be a parent center (which may be part of the Family/Community Service Center if one has been established at the site). Outcomes include specific measures of parent learning and indices of student progress, as well as a general enhancement of the quality of life in the community.

1. What programs are available to address specific learning and support needs of the adults in the home?

2. What programs are available to help those in the home meet their basic obligations to the student?

3. What programs are in use to improve communication about matters essential to the student and family?

4. What programs are used to enhance the home-school connection and sense of community?

5. What programs are used to enhance family participation in decision making essential to the student?

6. What programs are used to enhance home support of student's learning and development?

7. What activities are used to mobilize problem solving at home related to student needs?

8. How are those in the home recruited and trained to help meet school/community needs?

9. What programs are used to meet the educational needs of personnel related to this programmatic area?

10. What topics are covered in educating stakeholders?

11. Please indicate any other ways that are used to enhance home involvement in schooling.

12. Please indicate other things you want the school to do to enhance home involvement in schooling.

VII. Community Outreach for Involvement and Support (including Volunteers)

The emphasis here is on outreaching to the community to build linkages and collaborations, develop greater involvement in schooling, and enhance support for efforts to enable learning. Outreach is made to (a) public and private community agencies, universities, colleges, organizations, and facilities, (b) businesses and professional organizations and groups, and (c) volunteer service programs, organizations, and clubs. If a Familv/Parent/ Community Center facility has been established at the site, it can be a context for some of this activity. Anticipated outcomes include measures of enhanced community participation and student progress, as well as a general enhancement of the quality of life in the community.

1. What programs are in place to recruit community involvement and support

2. With respect to volunteers, why types of volunteers are used and what do they do? Are there systems and programs specifically designed to recruit, train, screen and maintain volunteers?

3. What interventions are used to enhance school involvement of hard to involve students and families (including truants and dropouts and families who have little regular contact with the school)?

4. What activities are used to enhance community-school connections and sense of community?

5 What programs are used to meet the educational needs of personnel related to this programmatic area?

6. What topics are covered in educating stakeholders in this area?

7. Please indicate below any other ways that are used with respect to community outreach/ volunteer programs.

8. Please indicate below other things you want the school to do with respect to community outreach/volunteer programs.

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.

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

Mechanisms for Facilitating Systemic School and Community Changes

(From materials developed by the *Center for Mental Health in Schools* at UCLA)

Currently, any school where a significant number of students are not performing well is under the gun to reform and restructure. This has led to many initiatives for major systemic school change and school-community linkages. Often, the complexity of the systemic changes involved requires knowledge and skills not currently part of the professional preparation of those called on to act as change agents. For example, few school professionals assigned to make major reforms have been taught how to create the necessary motivational readiness among a critical mass of stakeholders, nevermind knowing how to institutionalize and facilitate replication and scale-up of new approaches. One of the most fundamental errors related to facilitating systemic change is the tendency to set actions into motion without taking sufficient time to lay the foundation needed for *substantive* change.

Substantive changes require guidance and support from professionals with mastery level competence for creating a climate for change, facilitating change processes, and establishing an institutional culture where key stakeholders continue to learn and evolve. For instance, a considerable amount of organizational research in schools, corporations, and community agencies outlines factors for creating a climate for institutional change (e.g., Argyris, 1993; Fullan & Steigelbauer, 1991; Replication and Program Services, 1993; Sarason, 1996).

Creating a Climate and Infrastructure for Change to Sustain Innovations

The literature supports the value of

- a high level of policy commitment that is translated into appropriate resources (leadership, space, budget, time);
- incentives for change, such as intrinsic-ally valued outcomes, expectations for success, recognition, and rewards;
- procedural options from which those expected to implement change can select those they see as workable;
- a willingness to establish mechanisms and processes that facilitate change efforts, such as a governance mechanism that adopts ways to improve organizational health;
- use of change agents who are perceived as pragmatic – maintaining ideals while embracing practical solutions;
- accomplishing change in stages and with realistic timelines,
- providing progress feedback,
- institutionalizing support mechanisms to maintain and evolve changes and to generate periodic renewal.

An understanding of concepts espoused by community psychologists such as empowering settings and enhancing a sense of community also is useful. There is a growing body of work suggesting that the success of a variety of initiatives depends on interventions that can empower stakeholders and enhance their sense of community (Beeker, Guenther-Grey, & Raj, 1998; Trickett, 2002). However, the proper design of such interventions requires understanding that empowerment is a multifaceted concept.

In discussing power, theoreticians distinguish "power over" from "power to" and "power from." *Power over* involves explicit or implicit dominance over others and events; *power to* is seen as increased opportunities to act; power from implies ability to resist the power of others (Riger, 1993). Enhancing a sense of community involves ongoing attention to daily experiences. With respect to sustaining initiatives, stakeholders must experience the initiative in ways that make them feel they are valued members who are contributing to a collective identity, destiny, and vision. Their work together must be facilitated in ways that enhance feelings of competence, self-determination, connectedness with each other, and commitment to each other (Deci & Ryan, 1985).

Building on what is known about organizational change, our Center staff for many years has been working on a change model for use in establishing, sustaining, and scaling-up school and community reforms. In this context, we have identified several *temporary* mechanisms that can be put in place to facilitate and guide systemic change.

Once systemic changes are accomplished effectively, all temporary mechanisms are phased out – with any essential new roles and functions assimilated into regular structural mechanisms.

Infrastructure for Systemic Change

To illustrate the infrastructure context, it helps to think in terms of four key temporary mechanisms that we view as essential to successful systemic change. These are: (1) a site-based *steering* mechanism to guide and support replication, (2) a site-based *change team* (consisting of key site-stakeholders) that has responsibility for coalition building, implementing the strategic plan, and maintaining daily oversight (including problem solving, conflict resolution, and so forth), (3) a *change agent* (e.g., organization facilitator) who works with the change team and has full-time responsibility for the daily tasks involved in creating readiness and the initial implementation of desired changes, and (4) *mentors* and *coaches* who model and teach specific elements of new approaches.

- ***Steering.*** When it comes to schools, systemic change requires shifts in policy and practice at several levels (e.g., a school, a "family" of schools, a school district). Each jurisdictional level needs to be involved in one or more steering mechanisms. A steering mechanism can be a designated individual or a small committee or team. The functions of such mechanisms include oversight, guidance, and support of the change process to ensure success. If a decision is made to have separate steering mechanisms at different jurisidictional levels, an interactive interface is needed between them. And, of course, a regular, interactive interface is essential between steering and organizational governance mechanisms. The steering mechanism is the guardian of the "big picture" vision.

- ***Change Agent and Change Team.*** During replication, tasks and concerns must be addressed expeditiously. The main work revolves around planning and facilitating:

  - infrastructure development, maintenance, action, mechanism liaison and interface, and priority setting

- stakeholder development (coaching – with an emphasis on creating readiness both in terms of motivation and skills; team building; providing technical assistance; organizing basic "interdisciplinary and cross training")

- communication (visibility), resource mapping, analyses, coordination, and integration

- formative evaluation and rapid problem solving

- ongoing support

To these ends, a full time agent for change plays a critical role. Some years ago we developed a position called an *Organization Facilitator* to aid with major restructuring (Adelman, 1993; Adelman & Taylor 1997; Center for Mental Health in Schools, 1999a; 1999b; Taylor, Nelson, & Adelman, 1999). This specially trained change agent embodies the necessary expertise to help school sites and complexes implement and institutionalize substantively new approaches. Such an individual might be used as a change agent for one school or a group of schools. A cadre of such professionals might be used to facilitate change across an entire district. The focus might be on changes in a few key aspects or full-scale restructuring.

One of this facilitator's first functions is to help form and train an on-site change *team.* Such a team (which includes various work groups) consists of personnel representing specific programs, administrators, union chapter chairs, and staff skilled in facilitating problem solving and mediating conflicts. This composition provides a blending of outside and internal agents for change who are responsible and able to address daily concerns.

With the change agent initially taking the lead, members of the change team (and its work groups) are catalysts and managers of change. As such, they must ensure the "big picture" is implemented in ways that are true to the vision and compatible with the local culture. Team members help develop linkages among resources, facilitate redesign of regular structural mechanisms, and establish other temporary mechanisms. They also are problem solvers – not only responding as problems arise but taking a proactive stance by designing strategies to counter anticipated barriers to change, such as negative reactions and dynamics, common factors interfering with working relationships, and system deficiencies. They do all this in ways that enhance empowerment, a sense of community, and general readiness and commitment to new approaches. After initial implementation, they focus on ensuring that institutionalized mechanisms take on functions essential to maintenance and renewal. All this requires team members who are committed each day to ensuring effective replication and who have enough time and ability to attend to details.

- *Mentors and Coaches*. During initial implementation, the need for mentors and coaches is acute. Inevitably new ideas, roles, and functions require a variety of stakeholder development activities, including demonstrations of new infrastructure mechanisms and program elements. An Organization Facilitator is among the first providing mentorship. The change team must also identify mentors indigenous to a particular site and others in the system who have relevant expertise. To expand the local pool, other stakeholders can usually be identified and recruited as volunteers to offer peer support. A regularly accessible cadre of mentors and coaches is an indispensable resource in responding to stakeholders' daily calls for help. (Ultimately, every stakeholder is a potential mentor or coach for somebody.) In most cases, the pool will need to be augmented periodically with specially contracted coaches.

Building Infrastructure from Localities Outward

From the onset, sustainability ought to be

thought about in terms of both maintaining and scaling-up. A regular infrastructure of organizational and operational mechanisms at a school, for a family of schools, and system-wide are required for oversight, leadership, resource development, and ongoing support. Such mechanisms provide ways to

- arrive at decisions about resource allocation
- maximize systematic and integrated planning, implementation, maintenance, and evaluation of innovations
- outreach to create formal working relationships with community resources to bring some to a school and establish special linkages with others
- upgrade and modernize all activity to reflect the best intervention thinking and use of technology. At each system level, these tasks require that staff adopt some new roles and functions and that parents, students, and other representatives from the community enhance their involvement. Such tasks also call for redeployment of existing resources, as well as finding new ones.[1]

From a school's perspective, few programs or services have relevance if they don't play out effectively at the school site or in the local community. It is a good idea, therefore, to conceive systemic change from the school outward. That is, the first focus is on mechanisms at the school-neighborhood level. Then, based on analyses of what is needed to facilitate and enhance efforts at a locality, mechanisms are conceived that enable several schools and localities to work together to increase efficiency and effectiveness and achieve economies of scale. Then, system-wide mechanisms can be (re)designed to provide support for what a school and its surrounding neighborhood are trying to develop. A brief discussion of mechanisms at each level follows.

Site-based Resource-oriented Team

From a school's perspective, there are three overlapping challenges in moving from piecemeal approaches to an integrated approach for addressing barriers to learning and promoting healthy development. One involves weaving existing activity together. A second entails evolving programs so they are more effective. The third challenge is to reach out to others in ways that expand resources. Outreach encompasses forming collaborations with other schools, establishing formal linkages with community resources, and attracting more volunteers, professionals-in-training, and community resources to work at the school site.

Meeting the above challenges require development of well-conceived mechanisms that are appropriately sanctioned and endowed by governance bodies. A good starting place is to establish a *resource-oriented team* (e.g., a Learning Supports Resource Team) at a specific school (Adelman & Taylor, 2002; Center for Mental Health in Schools, 2001b; Rosenblum, DiCecco, Taylor, & Adelman, 1995).

Properly constituted, a resource team leads and steers efforts to maintain and improve a multifaceted and integrated approach. This includes developing local partnerships. Such a team helps reduce fragmentation and enhances cost-efficacy by analyzing, planning, coordinating, integrating, monitoring, evaluating, and strengthening ongoing efforts.

To ensure daily programmatic activity is well-planned, implemented, evaluated, maintained, and evolved, the resource team, in turn, helps establish and coordinate teams for each programmatic arena of activity at a

[1]Part II of this guide covers other facets of infrastructure. Below we reiterate and expand on that discussion. Some relevant references also are offered at the end of the document.

school. For example, in our work, we organize around the overarching concept of an enabling component that consists of a six area "curriculum" (Adelman & Taylor, 1997b; Center for Mental Health in Schools, 1999). In forming program teams, identifying and deploying enough committed and able personnel may be difficult. Initially, a couple of motivated and competent individuals can lead the way in a particular area – with others recruited over time as necessary and/or interested. Some "teams" might even consist of one individual. In some instances, one team can address more than one programmatic area.

Because most schools are unable to develop many new program areas simultaneously, they must establish priorities and plans for how to develop and phase in new programs. The initial emphasis, of course, should be on weaving together existing resources and developing program teams designed to meet the school's most pressing needs, such as enhancing programs to provide student and family assistance, crisis assistance and prevention, and ways to enhance how classrooms handle garden variety learning, behavior, and emotional problems.

Another key infrastructure concern is administrative leadership. Most schools do not have an administrator whose job definition outlines a leadership role and functions related to activities that are not primarily focused on academics, and, this is not a role for which most principals have time. Thus, it is imperative to establish a policy and restructure jobs to ensure there is a *site administrative leader* for moving from piecemeal approaches to an integrated approach for addressing barriers to learning and promoting healthy development. Such a role may be created by redefining a percentage (e.g., 50%) of a vice/assistant principal's day or, in schools that are too small to have such personnel, the principal might delegate some administrative responsibilities to a coordinator. This leader must sit on the resource-oriented team and then represent and advocate the team's recommendations to the administrative team, at governance body meetings, and wherever else decisions are made regarding programs and operations – especially decisions about use of space, time, budget, and personnel.

Paralleling the administrative lead is the position of a *staff lead*. This individual can be identified from the cadre of line staff who have expertise with respect to addressing barriers to student learning and promoting healthy development (e.g., support service personnel). If a site has a center facility, such as a Family or Parent Resource Center or a Health Center, the center coordinator might fill this role. This individual also must sit on the resource team and advocate at key times for the team's recommendations at the administrative and governance body tables.

Besides facilitating the development of a potent approach for addressing barriers to learning and promoting healthy development, both the administrative and staff leads play key operational roles related to daily implementation, monitoring, and problem solving. Obviously, if they are to have the time to carry out these special functions, their job descriptions must rewritten to delineate the responsibilities and associated accountabilities (see Center for Mental Health in Schools, 1999).

At the Feeder Pattern and Neighborhood Level

Neighboring schools have common concerns and may have programmatic activity that can use the same resources. By sharing, they can eliminate redundancy and reduce costs. Some school districts already pull together clusters of schools to combine and integrate personnel and programs. These are sometimes called complexes or families of schools. A multi-locality *resource-oriented council* provides a

mechanism to help ensure cohesive and equitable deployment of resources and also can enhance the pooling of resources to reduce costs. Such councils can be particularly useful for pulling together the overlapping work of high schools and their feeder middle and elementary schools and integrating neighborhood efforts. Connecting the work of feeder schools is particularly important since they often encompass families with youngsters attending several levels of schooling at the same time. With respect to linking with community resources, multi-locality teams are especially attractive to community agencies who don't have the time or personnel to link with individual schools.

To create a council, 1 to 2 representatives from each school's resource team can be chosen to meet at least once a month and more frequently as necessary. The functions of such a mechanism include (a) coordinating and integrating programs serving multiple schools and neighborhoods, (b) identifying and meeting common needs with respect to guidelines and staff development, and (c) creating linkages and collaborations among schools and agencies. More generally, the council provides a useful mechanism for leadership, communication, maintenance, quality improvement, and ongoing development of a comprehensive continuum of programs and services. Natural starting points for councils are the sharing of needs assessment, resource mapping, analyses, and recommendations for reform and restructuring to better address barriers to learning and development. Specific areas of initial focus may be on such matters as addressing community-school violence and developing prevention programs and safe school and neighborhood plans.

Representatives from resource councils can be invaluable members of community planning groups (e.g., service planning area councils, local management boards). They bring information about specific schools, clusters of schools, and neighborhoods and do so in ways that can promote the sustainability of new approaches.

System-wide

Matters related to comprehensive approaches best achieved through school-community partnerships also appear regularly on the agenda of school-district administrators and local school boards. The problem at this level is that each item tends to be handled in an ad hoc manner, without sufficient attention to the "big picture." One result is that the administrative structure in the school district is not organized in ways that coalesce its various programs and services for addressing barriers and promoting healthy development. The piecemeal structure reflects the marginalized status of such functions and both creates and maintains the fragmented policies and practices that characterize efforts to address barriers.

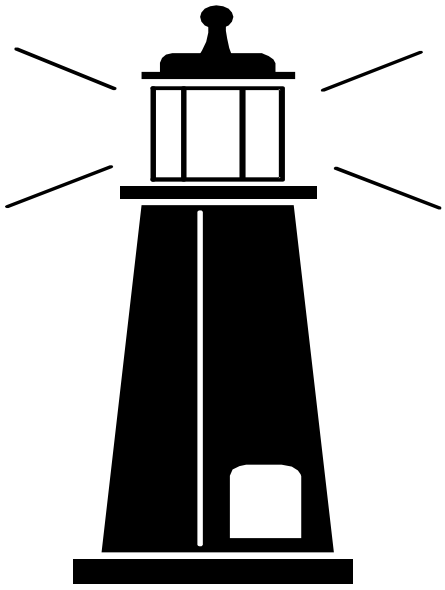
To correct the problem, several system-wide mechanisms have been identified to ensure coherent oversight and leadership in developing, maintaining, and enhancing the component for addressing barriers to learning, development, and teaching. One is a *system-wide leader* (e.g., an assistant superintendent) with the responsibility and accountability for system-wide vision and strategic planning related to the component. Large districts require additional organizational and administrative mechanisms to provide a critical mass of system-wide leaders and to coordinate resources.

As noted above, a cadre of *Organization Facilitators* provide a change agent mechanism that can assist in the development and maintenance of resource-oriented teams and councils. Such personnel also can help organize basic "interdisciplinary and cross training" to create the trust, knowledge, skills,

and the attitudes essential for the kind of working relationships required if the mechanisms described above are to operate successfully. Through such training, each profession has the opportunity to clarify roles, activities, strengths, and accomplishments, and learn how to link with each other.

Ultimately, it is the local school board and community governance and planning bodies that must ensure an enduring policy commitment, resources, and planning for comprehensive and cohesive approaches. This calls for formal connections between community planning bodies and boards of education with respect to analyzing the current state of the art, developing policy, and ensuring effective implementation (see Center for Mental Health in Schools, 1998).

Working together helps light the way



Appendix D

Scaling-Up Reforms Across a School District

(From a 1999 article in Reading & Writing Quarterly by L. Taylor, P. Nelson, & H. Adelman)

Abstract

Each pendulum swing in the debate over how best to teach reading and writing calls for large-scale systemic changes. For the most part, however, the field of education has paid little attention to the full array of complexities involved in large-scale replication of curricular changes and other new directions for school-based interventions. Such neglect has contributed to the failure of many reforms. This article highlights a framework of general phases and specific steps for diffusion of major new approaches across a school district. The overlapping phases are seen as encompassing: (1) *creating readiness*, (2) *initial implementation*, (3) *institutionalization*, and (4) *ongoing evolution*. The discussion includes lessons learned in applying the framework.

Efforts to reform schools require much more than implementing demonstrations at a few sites. Improved approaches are only as good as a school district's ability 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 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 wide spread replication of education reforms (cf. Replication and Program Services, 1993; Schorr, 1997; Slavin, 1996). Furthermore, leadership training has given short shrift to the topic of scale-up processes and problems. 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.

For many years, our work revolved mainly around developing demonstration programs. Major examples include the *Early Assistance for Student and Families* project (funded by the U.S. Department of Education – see Adelman & Taylor, 1993a), the restructuring of education support services in a large school district (see Adelman, 1996a, 1996b; Adelman & Taylor, 1997a), and the development of the *Urban Learning Centers'* model for comprehensive school reform (supported by the New American Schools Development Corporation – NASDC – see Urban Learning Center Model, 1995). Over the last few years, we have moved into the world of replicating new approaches to schooling 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 a working framework for scale-up (Adelman & Taylor, 1997b). The following presentation highlights that framework and discusses some major lessons learned from our recent work.

Overview of Phases and Major Tasks of Scaling-Up

In reading the following, think about the best model around for how schools can improve student literacy. Assuming the model has been demonstrated to be cost-effective and that a school-district wants to adopt/adapt it, the problem becomes one of how to replicate it at every school. For widespread school change to occur, a complex set of interventions is required. For this to happen effectively and efficiently, the interventions must be guided by a sophisticated scale-up model that addresses substantive organizational changes at multiple levels.

A scale-up model is a tool for systemic change. It addresses the question "How do we get from here to there?". It is guided by a vision of organizational aims and is oriented toward results. We conceive scale-up as encompassing four overlapping phases: (1) *creating readiness* – by enhancing a climate/culture for change, (2) *initial implementation* -- whereby replication is carried out in stages using a well-designed infrastructure to guide and support, (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.

To initiate and guide prototype replication, a scale-up *mechanism* is needed. 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. A scale-up project can dispense expertise by sending out a scale-up *team* consisting of project staff who, for designated periods of time, travel to the location in which the prototype is to be replicated. A core team of perhaps two-to-four project staff works closely with a site throughout the replication process. The team is augmented whenever a specialist is needed to assist in replicating 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.

Figure 11 briefly highlights specific tasks related to the four phases of scale-up. (For more on each phase, see Adelman and Taylor, 1997b.) Each task requires careful planning based on sound intervention fundamentals (cf. Adelman & Taylor, 1994). This means paying special attention to the problem of the match as discussed in the first article in this issue.

Phase I -- Creating Readiness: Enhancing the Climate for Change

In most organizations, mandated changes often lead to change in form rather than substance. Substantive systemic change requires patience and perseverance. Efforts to alter an organization's culture evolve slowly in transaction with the specific organizational and programmatic changes. Early in the process the emphasis is on creating an official and psychological climate for change, including overcoming institutionalized resistance, negative attitudes, and barriers to change. New attitudes, new working relationships, new skills all must be engendered, and negative reactions and dynamics related to change must be addressed.

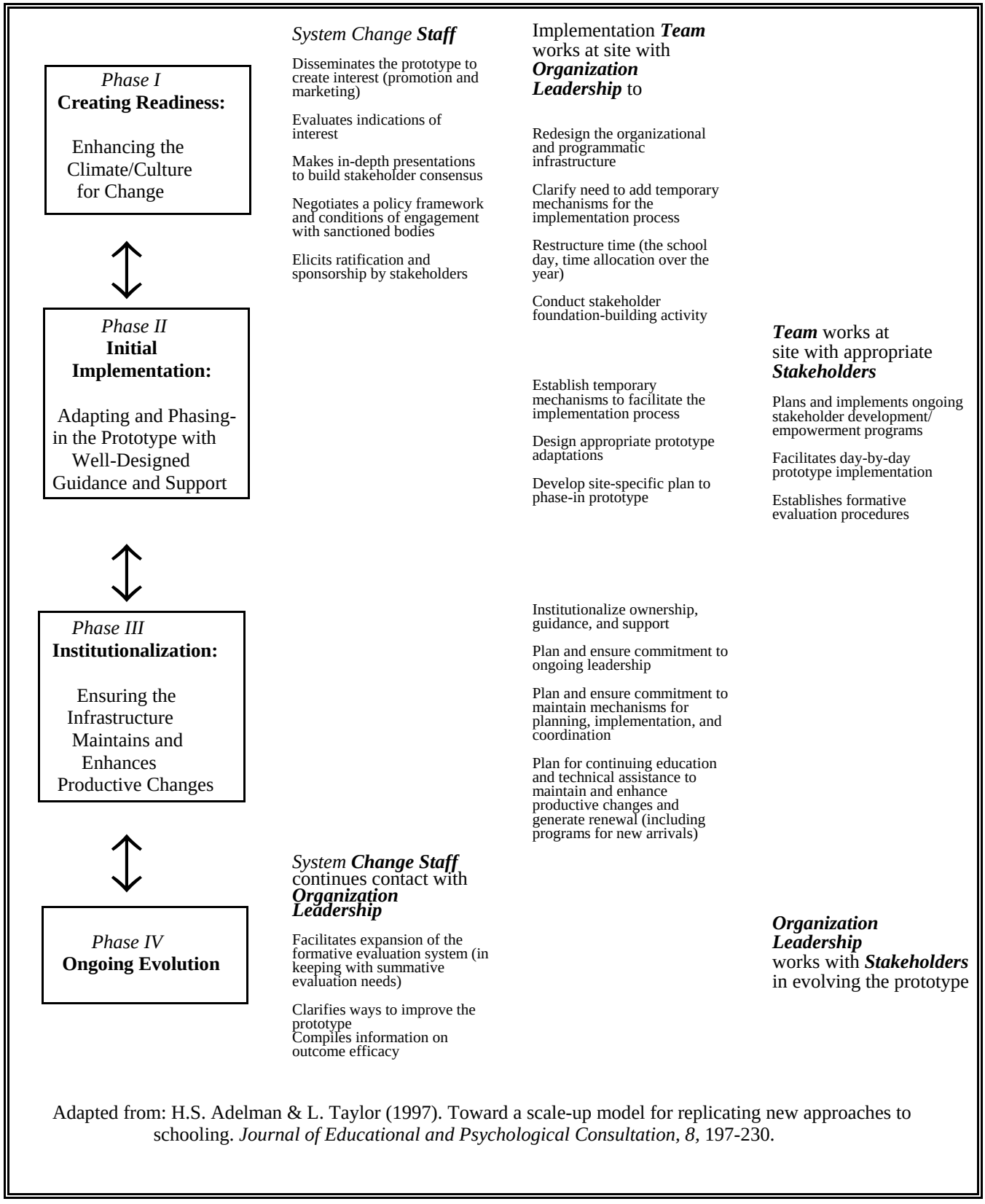
Creating readiness for restructuring involves tasks designed to produce fundamental changes in the culture that characterizes schools. Substantive change is most likely when high levels of positive energy among stakeholders can be mobilized and appropriately directed over extended periods of time. Thus, one of the first concerns 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.

An appreciation of such matters points to the necessity of systematic planning and implementation of motivationally-oriented processes. For example, a review of the literature clarifies the value of (a) a high level of policy and leadership commitment that is translated into an inspiring vision and appropriate resources (leadership, space, budget, time), (b) incentives for change, such as intrinsically valued outcomes, expectations for success, recognitions, rewards, (c) procedural options that reflect stakeholder strengths and from which those expected to implement change can select options they see as workable, (d) a willingness to establish an infrastructure and processes that facilitate change efforts, such as a governance mechanism that adopts strategies for improving organizational health -- including one that enhances a sense of community, (e) use of change agents who are perceived as pragmatic (e.g., as maintaining ideals while embracing practical solutions), (f) accomplishing change in stages and with realistic timelines, (g) providing feedback on progress, and (h) institutionalizing support mechanisms to maintain and evolve changes and to generate periodic renewal.[1]

In terms of specific tasks associated with creating readiness, the first involves disseminating the prototype and pursuing activities to build interest and consensus for change. Decisions follow about specific sites for prototype replication. Then, steps are taken to negotiate a policy framework and agreements for engagement. This is followed by activity to modify the institutional infrastructure at chosen sites to fit the prototype and address replication needs. All these tasks should be accomplished with a process thatreflects understanding of the nature of the organization and its stakeholders, involves stakeholders in making substantive decisions and in redesigning those mechanisms that constitute the organizational and programmatic infrastructure, clarifies personal relevance when identifying the potential benefits of change, elicits genuine public statements of commitment, and empowers and creates a sense of community.

Creating a climate for change requires appreciation of the roles played by vision and leadership for change, policy direction, support, and safeguards for risk-taking, and infrastructure redesign. Each of these topics is discussed briefly below.

Figure 11. Prototype implementation and scale-up: Phases and parallel and linked 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.

Vision and Leadership. The process of educational restructuring begins with a vision of what a desired new approach would look like and an understanding of how to facilitate necessary changes. One without the other is insufficient. Leaders have a triple burden as they attempt to restructure education. The first is to ensure that substantive organizational and programmatic restructuring ideas are on the agenda for consideration; the second is to build consensus for change; finally, they must pursue effective implementation -- including specific strategies for financing, establishing, maintaining, and enhancing productive changes.

Examples of key objectives at this stage include clarifying potential gains without creating unrealistic expectations, delineating costs -- without seriously dampening expectations about benefits, offering incentives that mesh with intrinsic motives, and conveying the degree to which a prototype can be adapted while emphasizing that certain facets are essential and nonnegotiable. A thread running through all this is the need to stimulate increasing interest or *motivational readiness* among a sufficient number of stakeholders. To clarify the point: Almost any promising idea or practice for improving students' reading and writing performance will find a receptive audience among a small group. Many more stakeholder, however, usually remain politely unresponsive and reluctant to make changes, and some are actively resistant. Successful change at any level of education restructuring requires the committed involvement of a critical mass of policy makers, staff, and parents. Thus, leaders often are confronted with the task of enhancing the motivational readiness for change of a significant proportion of those who appear reluctant and resistant.

The next step involves deciding about which sites to begin with. Criteria for making such decisions try to balance immediate concerns about a site's current level of readiness (including analyses of potential barriers) and the likelihood of success over the long run. For instance, in making initial judgements about the appropriateness of a potential site, we gather information about the following: How likely is it that a critical mass of decision makers will commit to allocating sufficient finances, personnel, time, and space? How likely is it that a critical mass of stakeholders will develop sufficient motivational readiness and appropriate levels of competence? With respect to the most influential stakeholders, will enough be supportive or at least sufficiently committed not to undermine the process? Do enough youngsters at a site fit the profile of students for whom the program model was designed? As these questions illustrate, most initial selection criteria reflect general considerations related to any diffusion process. More specific criteria emerge during the negotiation process. For example, a principal may be attracted by the idea of establishing a program that brings in volunteer reading tutors, but in subsequent discussions with teachers, union concerns may arise and have to be arbitrated.

Policy. Substantive restructuring is unlikely without the adoption of new policies at all relevant jurisdictional levels. Moreover, such policies must elevate desired reforms so that they are not seen as simply demonstrations, pilot projects, passing fads, or supplementary efforts. When changes are not assigned a high priority, they tend to be treated in a maginalized manner. This has been the fate of programs such as Head Start, Even Start, and many remedial reading approaches.

Substantive and lasting reform requires a process that ensures *informed commitment, ownership, and on-going support* on the part of policy makers. This involves strategies to create interest and formalize agreements about fundamental changes.

Local ownership is established through solid policy commitments, well-designed infrastructure mechanisms, allocation of adequate resources (e.g., finances, personnel, space, equipment) to operationalize the policy, and restructuring of time to ensure staff involvement in adapting the prototype to the setting. We find three steps are essential: (1) building on introductory presentations to provide indepth information and understanding as a basis for establishing consensus, (2) negotiation of a policy framework and a set of agreements for engagement -- including a realistic budget, and (3) informed and voluntary ratification of agreements by legitimate representatives of all major stakeholders.

For any prototype, there are principles, components, elements, and standards that define its essence and thus must be agreed to by those adopting it as a first condition for engagement. Equally important are matters related to scale-up that are fundamental and nonnegotiable, such as

the need for certain temporary mechanisms to facilitate change. Once essentials are spelled out, all other considerations are negotiable.

Informed commitment is strengthened and operationalized through negotiating formal agreements at each jurisdictional level and among various stakeholders. Policy statements articulate the commitment to the prototype's essence. Memoranda of understanding and contracts specify agreements about such matters as funding sources, resource appropriations, personnel functions, incentives and safeguards for risk-taking, stakeholder development, immediate and long-term commitments and timelines, accountability procedures, and so forth.

Scale-up is aided when the decision to proceed is ratified by sanctioned representatives of enfranchised stakeholder groups. Developing and negotiating policies, contracts, and other formal agreements is a complex business. We find that addressing the many logistics and legalities requires extensive involvement of a small number of authorized and well-informed stakeholder representatives. Thus, in pursuing these tasks, our commitment to include all stakeholders moves from a town hall approach to a representative democratic process with enfranchised representatives reporting back frequently to their constituencies. At first, endorsement is in principle; over time, it is manifested through sustained support. When ratification reflects effective consensus building, scale-up efforts benefit from a broad base of informed commitment, ownership, and active sponsorship. These attributes are essential in ensuring requisite support and protections for those who must bear the burden of learning new ways and who risk dips in performance and productivity while doing so.

Redesigning Infrastructure. After agreements are ratified, a *scale-up team* can begin its work (again see Figure 11). A central challenge at every jurisdictional level is redesign of regular mechanisms and processes used for making and implementing decisions. These modifications are necessary to ensure stakeholder ownership, support, and participation, as well as to address specific concerns associated with scale-up. (As discussed in a subsequent section, successful scale-up also requires establishment of a few temporary mechanisms and processes to guide and support systemic change.)

Five fundamental facets of the ongoing infrastructure of schools that are the focus of mechanism redesign are (1) governance, (2) planning and implementation associated with specific organizational and program objectives, (3) coordination and integration to ensure cohesive functioning, (4) daily leadership, and (5) communication and information management. A common example of the need for infrastructure modification is seen in the trend to increase school stakeholders' collaboration, participation, and influence. One implication is that governance mechanisms will be altered to redistribute power. A major problem, of course, is how to *empower* additional stakeholder groups *without disempowering* those who have essential responsibilities and abilities related to the educational enterprise. In addition, it is one thing to offer "partnerships" to stakeholders such as parents, students, staff, and community agency representatives; it is another thing to create conditions that allow for effective participation. One such condition involves translating capacity building activity into comprehensive programs for stakeholder development.

The necessity of all this can be appreciated by thinking about introducing a comprehensive approach for improving student literacy. Such approaches involve major systemic changes that encompass intensive partnerships with parents (or their surrogates) and with various entities in the community, such as libraries, youth development programs, businesses, the faith community, and so forth. Substantive partnerships require movement toward sharing leadership, blending resources, and leadership training for professionals and nonprofessionals alike. In communities where many parents have little or no connection to the school, major outreach efforts are inevitable prequisites to increasing home involvement in schooling. The goal of parent outreach programs is to develop a working partnership between the home and school; a necessary first step in most cases will be to offer programs and services that assist the family in meeting its most pressing needs.

Time is one of the most critical elements determining the success of scale-up. Even if a prototype doesn't call for restructuring the school day, the scale-up process does. Substantial blocks of time are needed for stakeholder development and for individual and collective planning (National Education Commission on

Time and Learning, 1994). Thus, a non-negotiable condition for engagement is an agreed-on approach that ensures needed time will be available for planning and implementation. For example, efforts to make important revisions in literacy programs seem consistently undermined by not providing enough time during the school day for mentoring teachers and by the difficulty carving out times for teaching parents how to help their children.

Lessons Learned. Complex interventions, of course, seldom are implemented in a completely planned and linear manner. The many practical and unforeseen events that arise require a flexible, problem solving approach. Articulation of a scale-up model can guide planning, but those facilitating the process must be prepared to capitalize on every opportunity that can move the process ahead.

Among the most fundamental lessons learned in carrying out Phase 1 has been the tendency of all parties to set actions into motion without taking sufficient time to lay the foundation needed for *substantive* change. In marketing new ideas, it is tempting to accentuate their promising attributes and minimize complications. In negotiating agreements, policy makers at a school site frequently are asked simply for a go-ahead rather than for their informed commitment. Sometimes they assent mainly to get extra resources; sometimes they are motivated by a desire to be seen by constituents as doing *something* to improve the school. This all tends to produce pressures for premature implementation that results in the form rather than the substance of change -- especially when administrators are under the gun of political accountability measures that make unrealistic demands for quick and dramatic results in students' reading scores.

Although formulation of policy and related agreements take considerable time and other resources, their importance cannot be overemphasized. Failure to establish and successfully maintain substantive reforms in schools probably is attributable in great measure to proceeding without clear policy support.

Another unfortunate trend we have found is the omission of indepth planning for ongoing capacity building to enhance the functioning of change agents and team members. Mechanisms function only as well as the personnel who operate them. Such personnel must be recruited and developed in ways that ensure appropriate motivation and capability, and sufficient time must be redeployed so they can learn and carry out new functions effectively. All changes require constant care and feeding. Those who steer the process must be motivated and competent -- not just initially but over time. The complexity of systemic change requires close monitoring of mechanisms and *immediate* follow-up to address problems. In particular, it means providing continuous, personalized guidance and support to enhance knowledge and skills and counter anxiety, frustration, and other stressors. To these ends, (a) adequate resource support must be provided (time, space, materials, equipment), (b) opportunities must be available for increasing ability and generating a sense of renewed mission, and (c) personnel turnover must be addressed quickly. All stakeholders can benefit from efforts designed to increase levels of competence and enhance motivation for working together. We find that such a stakeholder development process needs to be conceived as spanning four stages: orientation, foundation-building, capacity-building, and continuing education.

There is no simple solution to the chronic problem of providing time for creating readiness, building capacity, and stakeholder planning. Indeed, restructuring time represents one of the most difficult scale-up problems. Examples of how the problem might be addressed include freeing up staff by establishing opportunities for students to spend time pursuing activities such as music, art, and sports with specialists or supervised by aides and community volunteers. Alternatively, school might start later or end earlier on a given day. As these examples suggest, any approach will be controversial, but if the problem is not addressed satisfactorily, successful replication of comprehensive prototypes is unlikely.

Phase II -- Initial Implementation of a Prototype

Initial implementation involves adapting and phasing-in a prototype with well-designed guidance and support. The scale-up team works at the site with the organization's leadership to steer the development of new approaches. The team also works with appropriate stakeholders to provide guidance and support for change. Throughout this phase, formative evaluation procedures are established to provide feedback for program development.

If there is anything certain about efforts to replicate a prototype, it is that the process is stressful. Some of the stress arises from the nature of the prototype; some is inherent in the process of organizational change. Coalitions must be developed, new working relationships established, disruptive rumors and information overload countered, and interpersonal conflicts resolved. Short-term frustrations must be kept in perspective vis à vis the reform vision. To help deal with all this, temporary mechanisms are added to the organizational infrastructure. They include (a) a site-based steering mechanism to guide and support replication, (b) a change agent from the scale-up team working with site stakeholders on a change team to facilitate coalition building, problem solving, and conflict resolution; and (c) mentors and coaches to model and teach elements of the prototype. These are created to facilitate replication, and some are assimilated into regular structural mechanisms at the end of the initial implementation phase to support institutionalization and ongoing evolution.

Once there is consensus to proceed, the steering group, working in conjunction with specific planning groups, can formulate phase-in plans. Two major facets of this planning are delineation of a sequence for introducing major prototype elements and an outline of strategies to facilitate implementation. Particular attention is given to how to start and to specifying structures and resources for guidance and support. For instance, in restructuring to better address barriers to learning, one of the first steps at a school site involves creating processes to map, analyze, coordinate, and redeploy existing resources. Special change mechanisms such as an organization facilitator and a resource coordinating team are created to guide and support the activity (Adelman, 1993, 1996a, 1996b; Adelman & Taylor, 1997a, 1997b, 1998).

Well-designed organizational support and guidance is needed to enhance productivity, minimize problems, and accommodate individual differences. This involves various forms of stakeholder development and personalized day-by-day facilitation. Intensive coaching with some follow-up consultation, for instance, are key processes. Mentorship and technical assistance are forms of personalized stakeholder development offered in response to specific needs identified. Continuing education provides a critical vehicle for enhancing productive changes, generating renewal, and countering burn out. Continuing education builds capacity and can foster networking and other forms of task-related, social, and personal support, as well as providing a wide range of enrichment opportunities. As new stakeholders arrive, technological tools can be particularly useful in helping them "catch-up."

As suggested previously, effective efforts to "reinvent" schools require ensuring that stakeholders have the time to develop and institutionalize a sound prototype and that they are not penalized for unavoidable missteps. As a prototype is phased-in, evaluation is used to revise and fine-tune processes. Such formative evaluations focus on gathering and analyzing information relevant to development of a new approach, such as information on planning processes, governance structure, policies and resources, implementation strategies and barriers, program organization and staffing, and initial outcomes. With respect to process, it is useful to have data differentiating stages of prototype development and differences in program quality. The information aids in judging the "fit" of prerequisite conditions and processes.

If the steps discussed to this point are done well, a sound foundation for initial implementation should be in place. This initial phase-in period can, however, consume considerable effort, create special problems, and may yield a temporary drop in some performance indicators. Good day-by-day facilitation aims at minimizing such negative impact by effectively addressing stakeholder motivation and capability and overcoming barriers to productive working relationships. Outcome effectiveness is demonstrated over a period of several years once the prototype is in place.

Lessons Learned. Failure to take sufficient time to create readiness (Phase 1) can result in implementing the form rather than the substance of a prototype. For example, we find that change agents frequently are sent into schools before essential policy support is enacted and before school leaders had assimilated and decided to support reforms. They proceed to convene "teams" to assist with reforms (plan, coordinate, develop new approaches), but the absence of supportive policy means substantive changes are not accomplished. As a result, the initial motivation of many key team members wanes and other counterproductive dynamics arise. All of this seems inevitable when initial

implementation proceeds without adequate policy support.

Even in situations where sufficient readiness is created, difficulties frequently arise because of failure to keep enough stakeholders consistently moving in the direction of desired outcomes. Comprehensive change usually is achieved only when fairly high levels of positive energy can be mobilized over extended periods of time among a critical mass of stakeholders, sustained energy is appropriately directed, the process is supported with ongoing and well-conceived capacity building, and individuals are not pushed beyond their capabilities. And because low and negative motivation are related to resistance to change and poor functioning, matching motivation is a first-order facilitation consideration. That is, scale-up efforts must use strategies designed to *mobilize and maintain proactive effort* and *overcome barriers to working relationships*. As in personalizing instruction, approximating a good motivational fit also requires matching capabilities, such as starting with fewer elements at sites at which resources are limited and accounting for variability in stakeholders' competence. Over and over, we find too little attention is paid to these matters. The result is failure to create an "environment" that mobilizes, directs, and then maintains stakeholder involvement.

As with students, the problem can be conceived as that of maintaining an appropriate match between the demands of the situation and stakeholder motivation and capabilities. In this respect, we think the construct of *personalization* offers a concept around which to organize thinking about facilitating change. As stressed in the first article in this issue, personalization calls for systematically planning and implementing processes focused not only on knowledge and skills but attitudes. In particular, it emphasizes the importance of a primary and constant focus on ensuring positive attitudes. Mobilization probably is best facilitated when procedures are perceived by individuals as good ways to reach desired outcomes. This requires processes that can instigate and enhance an individual's perceptions of valued opportunities, choice and control, accomplishment, and relatedness to others. Even if a task isn't enjoyable, expectation of feeling some sense of satisfaction related to process or outcome can be a powerful intrinsic factor motivating individual behavior. Task persistence, for example, can be facilitated by the expectation that one will feel competent, self-determining, or more closely connected to others. From this perspective, ensuring individuals have valued options, a meaningful role in decision making, feedback that emphasizes progress toward desired outcomes, and positive working relationships are among the most basic facilitation strategies (Adelman & Taylor, 1993b, 1994; Deci & Ryan, 1985).

One other initial implementation problem that often arises is difficulty in establishing mechanisms to facilitate productive working relationships and identify and deal with problems quickly. For example, it is expected that change agents will encounter many instances of individual resistance and apathy, interpersonal conflicts and resentments (including "us vs. them" dynamics), rumors that overemphasize the negative and underestimate the positive, and individuals who are frequent faultfinders. Such problems seriously impede effective replication. The roots of some of these problems often are present at a site prior to scale-up; change simply offers a new focus and perhaps magnifies troubling matters. Other problems are a direct product of the activities and relationships that the scale-up process engenders. Given the inevitability of such problems, building and maintaining working relationships need to be among the most basic concerns for those who have responsibility for scale-up. In particular, considerable attention must be paid to (1) enhancing the motivational readiness and capability of those who are to work together and (2) ensuring there is an appropriate infrastructure of organizational and programmatic mechanisms to guide and support the establishment and maintenance of working relationships. This requires problem prevention mechanisms that help create an atmosphere where defensiveness is curtailed and positive rapport is engendered. Proactively, such mechanisms focus on processes and strategies to enhance attitudes, knowledge, and skills that foster interpersonal connections and a sense of community. Reactively, the emphasis is on problem solving, resolving conflict, and providing ongoing support to rebuild relationships. Policies must encourage critiques oriented to problem solving, safeguards to protect those making the effort to change, expressions of appreciation for effort, and celebrations of progress.

We find that everyone understands such matters,

but the culture at many school sites is more attuned to problem naming and analyzing than to anticipating, preventing, and solving problems that arise around working relationships.
Those responsible for systemic change need to spend as much time as necessary ensuring that a school's infrastructure is ready to prevent and ameliorate problems. Special attention should be paid to ensuring that problem solving mechanisms and communication processes are in place and are staffed with enough properly trained individuals, and that stakeholders have been properly informed about how to use the procedures. Furthermore, some stakeholders may have to be encouraged to interact in ways that convey genuine empathy, warmth, and mutual regard and respect with a view to creating and maintaining a positive working climate and a psychological sense of community.

At times, we find it necessary to target a specific problem and designated persons. In some instances, rather simple strategies were effective. For example, most motivated individuals can be directly taught ways to improve understanding and communication and avoid or resolve conflicts that interfere with working relationships. In other instances, however, significant remedial action is necessary -- as when overcoming barriers to a working relationship involves countering negative attitudes. Helpful in this regard are analyses, such as that by Sue and Zane (1987), which suggest how to demonstrate that something of value can be gained from individuals working together and how to establish each participant's credibility (e.g., by maximizing task-focus and positive outcomes).

Phase III – Institutionalizing the Prototype

Maintaining and enhancing changes can be as difficult as making them in the first place. The history of education reform is one of failure to foster promising prototypes in substantive ways and over an extended period of times (Tyack & Cuban, 1995). *Institutionalizing a prototype* entails ensuring that the organization assumes long-term ownership and that there is a blueprint for countering forces that can erode the changes. Moreover, institutionalization is more than a technical process. It requires assimilation of and ongoing adherence to the values inherent in the prototype's underlying rationale. The focus, of course, is not just on maintenance; the point is to move forward by enhancing productive changes and generating a sense of renewal as needed. Critical in all this are specific plans that guarantee ongoing and enhanced leadership and that delineate ways in which planning, implementation, coordination, and continuing education mechanisms are maintained.

Some Major Tasks. Whose responsibility is it to advocate for maintaining and evolving a replicated prototype? As problems arise, whose responsibility is it to lead the way in resolving them? When new approaches are introduced, official leaders such as administrators, mentor staff, union chapter chairs, and elected parent representatives come to play key roles. Also, a variety of natural leaders usually emerge. (Obviously, the two types of leaders are not mutually exclusive.) At this phase, both official and natural leadership are essential to ensure a broad enough base for ongoing advocacy, problem solving, enhancement, and renewal. Official leaders provide a legitimate power base as various interests compete for the organization's limited resources, and they play a key role in ensuring that the contributions of natural leaders are recognized and rewarded.

Maintenance and enhancement require that the organization's governance body assumes ownership and program advocacy, such as taking over the temporary steering group's functions, addressing ongoing policy and long-range planning concerns, and maintaining financial support. The foundation for such ownership is laid during the readiness phase. Each element becomes the organization's property as it is established during initial implementation. The official "deed" of ownership is transferred as soon as the prototype is in place. Ownership, however, is no guarantee of institutionalization. Various forces that can erode replicated prototypes always are at work. For instance, teams at a site experience turnover; problems with communication and sharing of resources are chronic; competing interests and the attractiveness of moving on to something new pull attention and resources to other activity. To minimize such problems, steps must be taken to identify and solve each one as quickly as is feasible. This requires someone who has the time, energy, and expertise to meet periodically with stakeholders in order to anticipate problems and then marshall appropriate resources to maintain and evolve the prototype's integrity. Various organization leaders can be tapped to carry out these functions, and a scale-up project staff member who visits periodically also offers a possible

mechanism to help meet these needs.

The functional integrity of mechanisms for planning, implementation, and coordination is maintained by ensuring the activity is an official part of the infrastructure, has appropriate leadership, and is effectively supported. There must be a critical mass of team members to keep the work load manageable and to ensure a broad base of involvement. Also essential are adequate resources -- including time to learn the role and time to perform the functions, reasonably interesting tasks, technical support for problem solving, recognition and rewards for contributions, immediate replacement when someone leaves, continuing education to enhance team functioning, and so forth. Ultimately, the intent of various guidance and support efforts for maintaining infrastructure mechanisms is to stimulate adequate levels of continuing motivation on the part of those individuals who operate such mechanisms. This calls for mechanisms to constantly monitor the system and respond immediately with corrective steps whenever there are signs of waning motivation.

Lessons Learned. Newly institutionalized approaches are seriously jeopardized in the absence of dedicated, ongoing capacity-building. Of particular importance are ways to rapidly and effectively assimilate new arrivals at a school (staff, students, families). This is a major concern at sites with considerable turnover or growth. At such sites, the majority of those initially involved in implementing a new approach may be gone within a period of two to three years. Whatever the rate of stakeholder change, it is essential to design and maintain transition programs for new arrivals. Initial welcoming and introductory orientations, of course, must be followed-up with ongoing support systems and intensive capacity building related to understanding and valuing the approaches the school has adopted. We find that all this is essential not only to maintain what has been adopted, but also can contribute to establishing schools as caring environments.

Phase IV – Ongoing Evolution

Ongoing evolution of organizations and programs is the product of efforts to account for accomplishments, deal with changing times and conditions, incorporate new knowledge, and create a sense of renewal as the excitement of newness wears off and the demands of change sap energy. As suggested already, in part, vigor and direction can be maintained through continuing education -- especially exposure to ideas that suggest a range of ways for evolving the prototype. As the following discussion indicates, ongoing evolution also is fostered by evaluation designed to document accomplishments and provide feedback designed to improve quality.

Formative and Summative Evaluation. Eval- uation of a prototype, involves more than determining efficacy for students. 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 prototypes and policy (General Accounting Office, 1989). To facilitate program development and organizational change in the early phases of the process, the primary orientation for evaluation is *formative* -- especially focused on data gathering and analyses that can help improve procedures. Most of what is written about educational and psychosocial intervention, however, is oriented to *summative* evaluation and to measuring outcomes for individuals, especially reading achievement scores. Replicating a restructuring prototype involves not only changing individuals but changing organizations and systems. Thus, both individuals and systems must be evaluated. With respect to effectiveness of efforts to replicate school restructuring prototypes, the immediate focus is on the successful replication of the prototype itself. Ultimately, of course, effectiveness must be evaluated in terms of student outcomes.

All this presumes existence of appropriate mechanisms to provide and analyze essential information. In this respect, a scale-up project's staff usually must help establish the foundation for evaluation by creating an evaluation team. Moreover, capacity building efforts must be designed to prepare designated stakeholders for planning an evaluation and conducting it in ways that help evolve the prototype.

Pursuing Results. Increased concern over accountability has advanced the way evaluation is conceived (Posavac & Carey, 1989; Rossi & Freeman, 1989; Scriven, 1993; Sechrest & Figueredo, 1993; Shadish Jr., Cook, & Leviton, 1991; Stake, 1967; Stufflebeam & Webster, 1983; Weiss, 1995). At the same time, social and political forces have shaped the whole enterprise and in the process have narrowed the way professionals, clients, policymakers, under-writers, and the general public think about *program* evaluation. A prevailing cry is for

specific evidence of effectiveness – usually in terms of readily measured immediate benefits – and for cost containment. Although understandable in light of the unfilled promise of so many programs and the insatiable demands on limited public finances, such simplistically conceived demands ignore the complexities of developing and scaling-up prototypes.

Because of the increased interest in accountability, many complex aims are broken down into specific objectives. Indeed, short-range *objectives* stated in measurable terms generally assume a central role in planning. However, short-range objectives are not ends in themselves; they are a small part of a particular goal and aim and sometimes are prerequisites for moving on to a goal. It is essential not to lose sight of the fact that many specific objectives are relatively small, unrepresentative, and often unimportant segments of the most valued aims society has for its citizens – and that citizens have for themselves.

The problem is well exemplified by the narrow focus found in reviews, analyses, and reanalyses of data on early education (e.g., see Albee & Gullotta, 1997; Bond & Compas, 1989; Dryfoos, 1990; Durlak, 1995; Elias, 1997; Mitchell, Seligson, & Marx, l989; Schorr, 1988; Slavin, Karweit, & Madden, 1989; Weissberg, Gullotta, Hamptom, Ryan, & Adams, 1997). As such work demonstrates, overemphasis on evaluating the efficacy of underdeveloped prototypes draws resources away from formative evaluation.

The process of evaluating results is costly in terms of financial investment, the negative psychological impact on those evaluated, and the ways it can inappropriately reshape new approaches. Cost-effective outcomes cannot be achieved in the absence of effective prototype development and research. *Premature* efforts to carry out comprehensive summative evaluations clearly are not cost-effective. Any reading and writing program will show poor results if it is evaluated before teachers have mastered its application. None of this, of course, is an argument against evaluating results. Rather, it is meant to underscore concerns and encourage greater attention to addressing them.

With specific respect to scale-up, the first accomplishment is the replication itself: Have all facets been implemented? How completely has each been implemented? at how many locations?. The next set of results are any indications of progress for students, such as improvements in attitudes toward school, health, attendance, behavior, and academic achievement. A final set of evaluation concerns is the degree to which student outcomes approximate societal standards.

Lessons Learned. Once a prototype is established, care must be taken to avoid developing outcome evaluation as an adversarial process. Because of the political realities related to accountability, one of the most perplexing facets to negotiate is the time frame for summative evaluation. The more complex the prototype, the longer it takes and the costlier it is to implement and evaluate. Schools usually want quick processes and results and, of course, rarely can afford costly innovations or lengthy diffusion activity. Compromises are inevitable but must arrived at with great care not to undermine the substance of proposed changes.

The psychology of evaluation suggests that an overemphasis on "accountability" tends to produce negative reactions. One possible way to counter this may be to conceive evaluation as a way for every stakeholder to self-evaluate as a basis for quality improvement and as a way of getting credit for all that is accomplished. Unfortunately, as accountability pressures increase, we find that replication of prototypes are guided more by what can be measured than by long-range aims. That is, demands for immediate accountability reshape practices so that the emphasis shifts to immediate and readily measured objectives and away from fundamental purposes. Over time, this inappropriately leads to radical revision of the underlying rationale for a prototype.

Concluding Comments

Those who set out to change schools and schooling are confronted with two enormous tasks. The first is to develop prototypes; the second involves large-scale replication. One without the other is insufficient. Yet considerably more attention is paid to developing and validating prototypes than to delineating and testing scale-up processes. Clearly, it is time to correct this deficiency. The ideas presented in this article are meant to stimulate work on the problem and thereby to advance the cause of educational reform.

Finally, in fairness to those who labor for educational reform, we all must remember that the quality of schooling, family life, and

community functioning spirals up or down as a function of the quality of the ongoing transactions among each. Thus, scale-up efforts related to educational reform must take place within the context of a political agenda that addresses ways to strengthen the family and community infrastructure through strategies that enhance economic opportunity, adult literacy, and so forth. What we need are policies to develop, demonstrate, and scale-up comprehensive, multifaceted, integrated approaches that can effectively address barriers to development, learning, and teaching.

Note:

1. There is an extensive literature in this area. See: Argyris (1993), Barth (1990), Bass (1997), Bass & Avolio (1994), Connor & Lake (1988), Cunningham & Gresso (1993), Donahoe (1993), Elmore & Associates (1990), Fullan & Stiegelbauer (1991) Heller (1990), Hollander & Offermann (1990) House (1996), Lewis (1989), Lieberman & Miller (1990), Maton & Salem (1995), Miles & Louis (1990), Murphy (1991), Newmann (1993), Replication and Program Services (1993), Sarason (1990, 1996), Schlechty (1990), Schmuck & Runkel (1985), Smith & O'Day (1991), Waterman (1987), and Wehlage, Smith, & Lipman (1992).

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Appendix E

Example of a Five Year Plan

One school recently began working on a 5 year plan for developing a comprehensive, multifaceted approach to addressing barriers to student learning (an enabling or Learning Supports component). The sketch is a bit rough, but it provides a sense of one sites thinking and could readily be adapted.

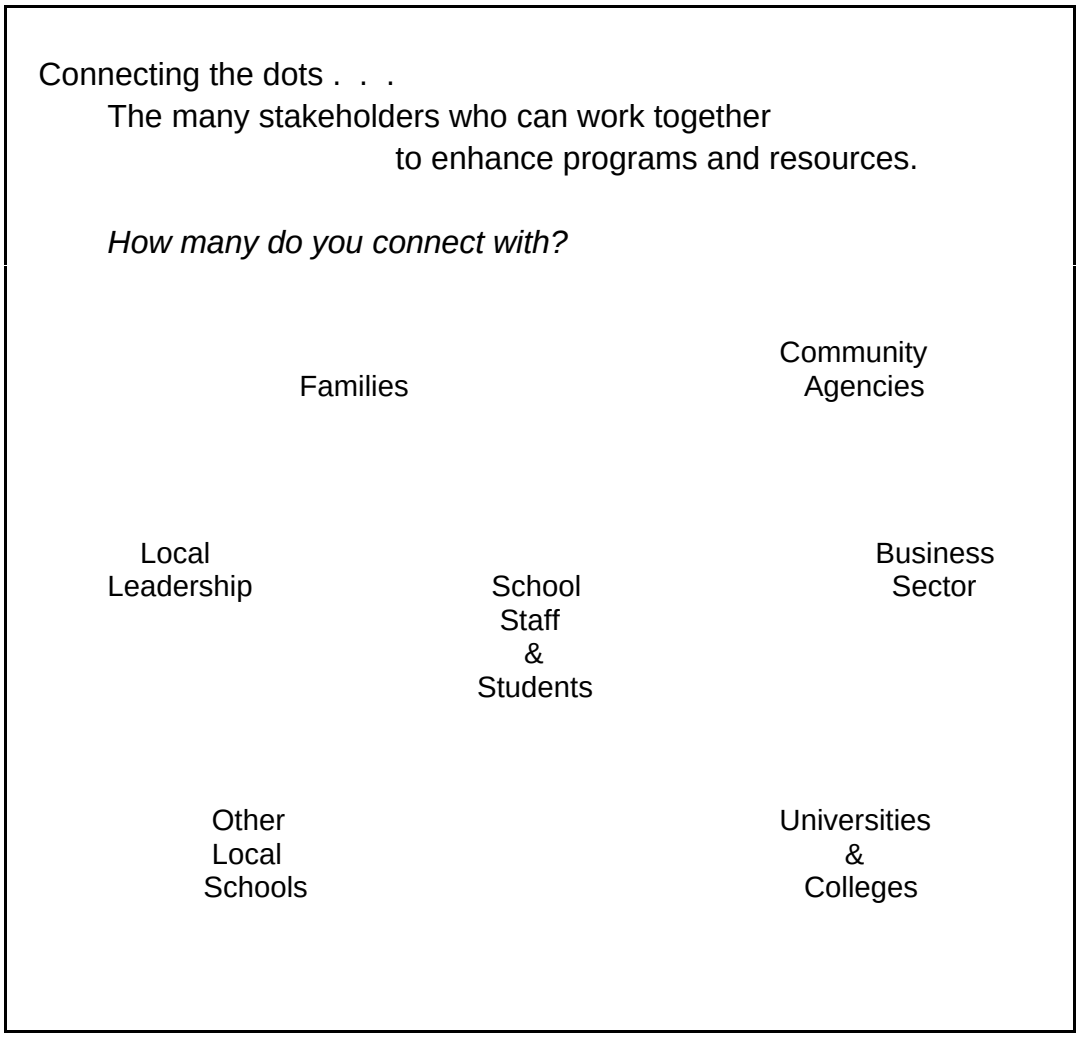
Learning Supports Component	Year 1	Year 2	Year 3	year 4	year 5
General Component Development					
>policy	>governance authority prepares written policy	>additional policies as needed; initial draft of guidebooks; strategic plan for sustainability, replication, and scale-up	>District reviews policies and explores matters related to sustainability, replication and scale-up; draft of guidebook circulated for revision	>If approved, full replication in feeder schools	>ensuring sustainability of what has been developed and ongoing involvement related to replication and scale-up
>use of systemic change facilitator	>training of facilitator	>additional training as necessary	>additional training & write-up of training process for the guidebook	>additional training & revision of guidebook write-up of training process	>participation in training of other facilitators for replication/scale-up
>infrastructure *adm. & staff leads *support personnel *resource coord. team *feeder pattern Council	>facilitator initiates infrastructure develop. *job descriptions developed & initial training for new roles & functions *team functions defined & team members trained; initial implementation of team *orientation of support staff at feeder schools; discussion of each school developing a coordinating *team* in preparation of establishing a feeder pattern *council*	>monitoring of infrastructure to improve functioning (including additional training for leads, staff, community-based/ linked participants, feeder pattern staff; newcomers training) *council functions defined & members trained	>ongoing monitoring of infrastructure to improve functioning; revise guidebook discussion of infrastructure based on lessons learned; newcomer training	>ongoing monitoring of infrastructure to improve functioning and revise guidebook; newcomer training	>ongoing monitoring of infrastructure to improve functioning; use of demonstration for replication/scale-up
>stakeholder involvement	>training re. learning support concepts and resources for all concerned stakeholders	>in-depth training for subgroups of key stakeholders	>in-depth training for subgroups of key stakeholders; revise guidebook related to stakeholder involvement based on lessons learned	>in-depth training for subgroups of key stakeholders; revise guidebook related to stakeholder involvement based on lessons learned	>in-depth training for subgroups of key stakeholders; involve key stakeholders in promoting replication/scale-up
>capacity building	>allocation of appropriate budget, space, equipment, time, etc.	>expansion of program activity related to all 6 areas based on identified priorities; allocation of appropriate resources for expansion	>ongoing expansion of program activity related to all 6 areas based on identified priorities; allocation of appropriate resources for expansion; guidebook revisions	>ongoing expansion of program activity related to all 6 areas based on identified priorities; allocation of appropriate resources for expansion; guidebook revisions	>ongoing expansion of program activity related to all 6 areas based on identified priorities; allocation of appropriate resources for expansion; guidebook revision; use of demonstrations for replication/scale-up

Enhancing Classroom Capacity for Addressing Problems & Promoting Healthy Development	>Identify who will take a lead role in this area; >identify rep. for resource coord. team >training of staff to *work together to promote social-emotional develop. *use accommodative strategies, peers, and volunteers to enhance support and address problems >train of support and special education personnel for working directly in classrooms	>analysis of patterns of referrals for special assistance in order to plan targeted approaches for reducing the need for referrals >continued staff development with respect to engaging students who are not highly motivated and re-engaging students who are manifesting avoidance motivation	>Additional staff training related to deepening understanding of personalizing instruction and offering special assistance in the classroom as needed; >cross-disciplinary training to enhance staff functioning	>Continued staff development; outreach to feeder schools to enhance their staff development	>Ongoing inservice >Use of classroom demonstrations in relation to replication and scale-up
Increasing Parent/Home Involvement	>Identify who will take a lead role in this area; >identify rep. for resource coord. team >training of staff to understand a expanded view of home involvement >Begin Parent Academies & home meetings >Establish process for incorporating family member volunteers at the school	>Expand use of family member volunteers >Update family needs' assessment as an aid in establishing priorities for expanding programs in this area >Train parents who represent the Learning Supports Component in working with the school's governance authority >Expand adult educ. opportunities	>Expand and enhance opportunities for families to access adult education, job training (as feasible, at school and in the immediate neighborhood) >Initiate some career ladders for family members at the school and in the neighborhood	>Continued staff development; outreach to feeder schools to enhance their staff development	>Ongoing inservice >Use of classroom demonstrations in relation to replication and scale-up
Enhancing Support for Transitions	>Identify who will take a lead role in this area; >identify rep. for resource coord. team >Develop welcoming and social support progs. for newcomers – students, families, and staff >Develop articulation programs (into kinder.; grade-to-grade; from elementary to middle) >Develop after-school and intersession progs. >Training of staff related to the above	>Work with Feeder Pattern Council to enhance articulation programs (including welcoming and social support) >Expand school-to-higher educ./career programs >Develop before school program to provide recreation and enrichment and minimize tardiness >Expand after-school and intersession programs >Ongoing staff devel.	>Analyze mobility and dropout patterns for family of schools and develop programs to target system weaknesses and vulnerable students >Develop recess and lunch programs for recreation, enrich., & to minimize negative student interactions >Develop Community Service and job opportunities >Enhance mentoring through increasing links with business and higher educ. settings >Ongoing staff devel.	>Enhance transition programs for movement back and forth from special education >Continued staff development; outreach to feeder schools to enhance their staff development	>Ongoing inservice >Use of classroom demonstrations in relation to replication and scale-up

Expanding Crisis Response and Prevention	>Identify who will take a lead role in this area; >identify rep. for resource coord. team >upgrade crisis team >review and improve safe school plan and crisis response plan >training of staff for *crisis response *crisis aftermath supp *crisis prevention	>Connect with feeder pattern schools to coordinate crisis training and response >Establish access to emergency assistance	>With community stakeholders, analyze neighborhood and school safety and develop safe passages procedures and a safe neighborhood plan	>Expand feeder pattern crisis prevention program (e.g., to address stakeholder involvement in preventing, bullying, abuse, suicide) >Continued staff development	>Ongoing inservice >Use of classroom demonstrations in relation to replication and scale-up
Enhancing Special Assistance for Students and Families	>Identify who will take a lead role in this area >identify rep. for resource coord. team >review and improve systems for special assistance to minimize referrals, triage, care and resource management, referrals >map and communicate to all stakeholders info on all services at the school and in the community >integrate representatives of all community providers who work at or with the school >coordinate with feeder schools to integrate responses to families >training of staff related to the above	>Analyze referrals for special assistance to identify priorities for developing prevention and early-after-onset programs >Based on the analysis of needs and resource assessments, identify major gaps in special assistance, set priorities, and work with stakeholders to outreach to District, feeder schools, public and private agencies, higher education, etc. to fill gaps >Develop mutual support groups and outreach strategies that will appeal to family members not easily involved at school >ongoing staff development	>Continue to work with stakeholders to outreach to the District, feeder schools, public and private agencies, higher education, etc. to fill gaps >Weaving together all available resources, expand hours for providing special assistance to students and families (after school, evenings, weekends) >Explore idea of a Family Resource Center for the feeder pattern >ongoing staff development	>Enhance special education programs and their coordination and work with general education to enhance successful inclusion >Continued staff development; outreach to feeder schools to enhance their staff development	>Ongoing inservice >Use of classroom demonstrations in relation to replication and scale-up
Enhancing Involvement and Linkage with the Community	>Identify who will take a lead role in this area >identify rep. for resource coord. team >map & communicate info on all community resources >Expand outreach programs to enhance involvement & linkage w/ community >training of staff & community stakeholders	>Enhance breadth of involvements, work on reducing inappropriate redundancies by enhancing collaboration >Identify areas in which neighborhood resources can strengthen the school and the school can strengthen the neighborhood >ongoing training	>Formalize partnerships with community resources and clarify their roles in governance >Focus on expanding opportunities for career and economic development of families >ongoing training for staff and community stakeholders	>Continued staff development; outreach to feeder schools to enhance their staff development	>Ongoing inservice >Use of classroom demonstrations in relation to replication and scale-up

Appendix F

Working with Others to Enhance Programs and Resources



Contents:

Two best friends were taking a walk in the woods when they saw a giant grizzly bear approaching them, erect, claws bared. Being the best of friends, they clung to one another for dear life.

But then one of the two disengaged, knelt to unlace his hiking boots, and hurriedly put on his running shoes.

I don't get it, his best friend said. *What can you hope to achieve? You and I both know there's no way you can outrun a grizzly bear.*

Silly, said his friend, *I don't have to outrun the bear. I only have to outrun you.*

Treat people as if they were
what they ought to be
and you help them become
what they are capable of being.
Goethe

Building Team Capacity

To be effective in working with another person (e.g., colleagues, students, parents), you need to build a positive relationship around the *tasks* at hand. Necessary ingredients in building a working relationship are:

- minimizing negative prejudgments about those with whom you work
- taking time to make connections
- identifying what will be gained from the collaboration in terms of mutually desired outcomes – to clarify the value of working together
- enhancing expectations that the working relationship will be productive – important here is establishing credibility with each other
- establishing a structure that provides support and guidance to aid task focus
- periodic reminders of the positive outcomes for students, staff, families, school, and community that have resulted from working together
- ensuring newcomers are welcomed into the process and are brought up-to-date in ways that don't delay ongoing efforts (e.g., through use of orienting materials – including use of technology as feasible).

All of this, of course, assumes that adequate funds are allocated for capacity building related to both accomplishing desired systemic changes and enhancing intervention quality over time.

On the following pages are some points about planning and facilitating effective team meetings.

Planning and Facilitating Effective Meetings

Forming a Working Group

- There should be a clear statement about the group's mission.
- Be certain that members agree to pursue the stated mission and, for the most part, share a vision.

- Pick someone who the group will respect and who either already has good facilitation skills or will commit to learning those that are needed.
- Provide training for members so they understand their role in keeping a meeting on track and turning talk into effective action..
- Designate processes (a) for sending members information before a meeting regarding what is to be accomplished, specific agenda items, and individual assignments and (b) for maintaining and circulating record of decisions and planned actions (what, who, when).

Meeting Format

- Be certain there is a written agenda and that it clearly states the purpose of the meeting, specific topics, and desired outcomes for the session.
- Begin the meeting by reviewing purpose, topics, desired outcomes, eta. Until the group is functioning well, it may be necessary to review meeting ground rules.
- Facilitate the involvement of all members, and do so in ways that encourage them to focus specifically on the task. The facilitator remains neutral in discussion of issues.
- Try to maintain a comfortable pace (neither too rushed, nor too slow; try to start on time and end on time but don't be a slave to the clock).
- Periodically review what has been accomplished and move on the next item.
- Leave time to sum up and celebrate accomplishment of outcomes and end by enumerating specific follow up activity (what, who, when). End with a plan for the next meeting (date, time, tentative agenda). For a series of meetings, set the dates well in advance so members can plan their calendars.

Some Group Dynamics to Anticipate

- *Hidden Agendas* – All members should agree to help keep hidden agendas in check and, when such items cannot be avoided, facilitate the rapid presentation of a point and indicate where the concern needs to be redirected.
- *A Need for Validation* – When members make the same point over and over, it usually indicates they feel an important point is not being validated. To counter such disruptive repetition, account for the item in a visible way so that members feel their contributions have been acknowledged. When the item warrants discussion at a later time, assign it to a future agenda.
- *Members are at an Impasse* – Two major reasons groups get stuck are: (a) some new ideas are needed to "get out of a box" and (b) differences in perspective need to be aired and resolved. The former problem usually can be dealt with through brainstorming or by bringing in someone with new ideas to offer; to deal with conflicts that arise over process, content, and power relationships employ problem solving and conflict management strategies (e.g., accommodation, negotiation, mediation).
- *Interpersonal Conflict and Inappropriate Competition* – These problems may be corrected by repeatedly bringing the focus back to the goal – improving outcomes for students/families; when this doesn't work; restructuring group membership may be necessary.
- *Ain't It Awful!* – Daily frustrations experienced by staff often lead them to turn meetings into gripe sessions. Outside team members (parents, agency staff, business and/or university partners) can influence school staff to exhibit their best behavior.

Making Meetings Work

A good meeting is task focused and ensures that task are accomplished in ways that:

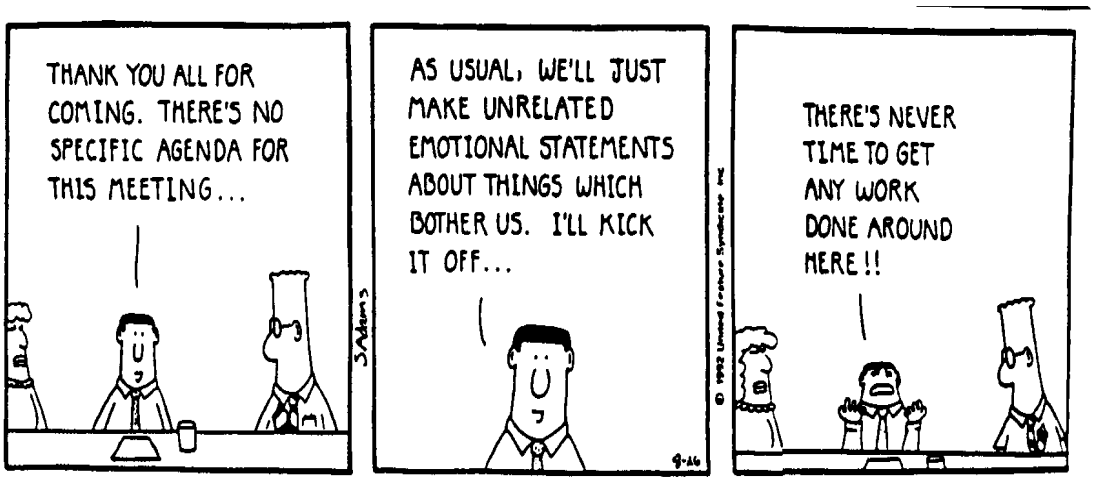
>are efficient and effective
>reflect common concerns and priorities
>are implemented in an open, noncritical, nonthreatening manner
>turn complaints into problems that are analyzed in ways that lead to plans for practical solutions
>feel productive (produces a sense of accomplishment and of appreciation)

About Building Relationships and Communicating Effectively

- convey empathy and warmth (e.g., this involves working to understand and appreciate what others are thinking and feeling and transmitting a sense of liking them)

- convey genuine regard and respect (e.g., this involves transmitting real interest and interacting in ways that enable others to maintain a feeling of integrity and personal control)

- talk with, not at, others – active listening and dialogue (e.g., this involves being a good listener, not being judgmental, not prying, and being willing to share experiences as appropriate)



"*Another* meeting? There goes the last lunch break I could have taken this school year"

Differences as a Problem

In pursuing school-community partnerships, staff must be sensitive to a variety of human, school, community, and institutional differences and learn strategies for dealing with them. With respect to working with youngsters and their parents, staff members encounter differences in

- sociocultural and economic background and current lifestyle
- primary language spoken
- skin color
- sex
- motivation for help

and much more.

Comparable differences are found in working with each other.

In addition, there are differences related to power, status, and orientation.

And, for many newcomers to a school, the culture of schools in general and that of a specific school and community may differ greatly from other settings where they have lived and worked.

For staff, existing differences may make it difficult to establish effective working relationships with youngsters and others who effect the youngster. For example, many schools do not have staff who can reach out to those whose primary language is Spanish, Korean, Tagalog, Vietnamese, Cambodian, Armenian, and so forth. And although workshops and presentations are offered in an effort to increase specific cultural awareness, what can be learned in this way is limited, especially when one is in a school of many cultures.

There also is a danger in prejudgments based on apparent cultural awareness. There are many reports of students who have been victimized by professionals who are so sensitized to cultural differences that they treat fourth generation Americans as if they had just migrated from their cultural homeland. Obviously, it is desirable to hire staff who have the needed language skills and cultural awareness and who do not rush to prejudge.

Given the realities of budgets and staff recruitment, however, schools and agencies cannot hire a separate specialist for all the major language, cultural, and skin color differences that exist in a school and community.

Nevertheless, the objectives of accounting for relevant differences while respecting individuality can be appreciated and addressed.

Differences as a Barrier

"You don't know what it's like to be poor."

"You're the wrong color to understand."

"You're being culturally insensitive."

"How can a woman understand a male student's problems?"

"Male therapists shouldn't work with girls who have been sexually abused."

"I never feel that young professionals can be trusted."

"Social workers (nurses/MDs/ psychologists/teachers) don't have the right training to help these kids."

"How can you expect to work effectively with school personnel when you understand so little about the culture of schools and are so negative toward them and the people who staff them?"

"If you haven't had alcohol or other drug problems, you can't help students with such problems."

"If you don't have teenagers at home, you can't really understand them."

"You don't like sports! How can you expect to relate to teenagers?"

You know, it's a tragedy in a way
that Americans are brought up to think
that they cannot feel
for other people and other beings
just because they are different.
Alice Walker

As part of a working relationship, differences can be complementary and helpful – as when staff from different disciplines work with and learn from each other.

> Differences become a barrier to establishing effective working relationships when negative attitudes are allowed to prevail. Interpersonally, the result generally is conflict and poor communication.

For example, differences in status, skin color, power, orientation, and so forth can cause one or more persons to enter the situation with negative (including competitive) feelings. And such feelings often motivate conflict.

Many individuals (students, staff) who have been treated unfairly, been discriminated against, been deprived of opportunity and status at school, on the job, and in society use whatever means they can to seek redress and sometimes to strike back. Such an individual may promote conflict in hopes of correcting power imbalances or at least to call attention to a problem.

Often, however, power differentials are so institutionalized that individual action has little impact.

It is hard and frustrating to fight an institution.

It is much easier and immediately satisfying to fight with other individuals one sees as representing that institution.

However, when this occurs where individuals are supposed to work together, those with negative feelings may act and say things in ways that produce significant barriers to establishing a working relationship. Often, the underlying message is "you don't understand," or worse yet "you probably don't want to understand." Or, even worse, "you are my enemy."

It is unfortunate when such barriers arise between students and those trying to help them; it is a travesty when such barriers interfere with the helpers working together effectively. Staff conflicts detract from accomplishing goals and contribute in a major way to "burn out."

Exhibit

Understanding Barriers to Effective Working Relationships

Barriers to Motivational Readiness

Efforts to create readiness for change can build consensus but can't mobilize everyone. Some unmobilized individuals simply will not understand proposed changes. More often, those who do not support change are motivated by other considerations.

Individuals who value the current state of affairs and others who don't see the value of proposed changes can be expected to be apathetic and reluctant and perhaps actively resistant from the outset. The same is true for persons who expect that change will undermine their status or make unwanted demands on them. (And as the diffusion process proceeds, the positive motivation of others may subside or may even become negative if their hopes and positive expectations are frustrated or because they find they are unable to perform as other expect them to. This is especially apt to occur when unrealistic expectations have been engendered and not corrected.)

It is a given that individuals who are not highly motivated to work productively with others do not perform as well as they might. This is even more true of individuals with negative attitudes. The latter, of course, are prime candidates for creating and exacerbating problems. It is self-defeating when barriers arise that hinder stakeholders from working together effectively. And conflicts contribute to collaborative failure and burn out.

In encounters with others in an organization, a variety of human, community, and institutional *differences* usually can be expected. Moreover, organizational settings foster an extensive range of interpersonal *dynamics*. Certain dynamics and differences motivate patterns of poor communication, avoidance, and conflict.

Differences & Dynamics

Differences that may become sources of unproductive working relationships include variations in sociocultural and economic background, current lifestyle, primary language spoken, skin color, gender, power, status, intervention orientation, and on and on. Many individuals (students, parents, staff) who have been treated unfairly, discriminated against, or deprived of opportunity and status at school, on the job, and in society use whatever means they can to seek redress and sometimes to strike back. Such individuals may promote conflict in hopes of correcting long-standing power imbalances or to call attention to other problems. And even when this is not so and even when there are no other serious barriers initially, common dynamics arise as people work together. Examples of interfering dynamics include excessive dependency and approval seeking, competition, stereotypical thinking and judgmental bias, transference and counter-transference, rescue-persecution cycles, resistance, reluctance, and psychological withdrawal.

Differences and dynamics become barriers to effective working relationships with colleagues and clients when they generate negative attitudes that are allowed to prevail. Fortunately, many barriers are preventable and others can be dealt with quickly if appropriate problem solving mechanisms are in place. Thus, a central focus in designing strategies to counter problems involves identifying how to address the motivational barriers to establishing and maintaining productive working relationships.

Reactions to Shifts in Power

In discussing power, theoreticians distinguish "power over" from "power to" and "power from." *Power over* involves explicit or implicit dominance over others and events; *power to* is seen as increased opportunities to act; *power from* implies ability to resist the power of others.*

(cont.)

Exhibit (cont.)

Understanding Barriers to Effective Working Relationships

Efforts to restructure schools often are designed to extend the idea of "power to" by "empowering" all stakeholders.

Unfortunately, the complexities of *empowerment* have not been well addressed (e.g., distinctions related to its personal and political facets). As practiced, empowerment of some seems to disempower others. That is, empowering one group of stakeholders usually reduces the political power of another. On a personal level, empowering some persons seems to result in others *feeling* disempowered (and thus feeling threatened and pushed or left out). For example, individuals whose position or personal status in an organization has endowed them with power are likely to feel disempowered if their control or influence over activities and information is reduced; others feel disempowered simply by no longer being an "insider" with direct connections to key decision makers. And often, individuals who express honest concerns or doubts about how power is being redistributed may be written off as resistant.[**]

Another concern arises from the fact that the acquisition of power may precede the ability to use it effectively and wisely. To counter this, stakeholder development is an essential component of empowerment during the diffusion process.

Problems stemming from power shifts may be minimized. The time to begin is during the readiness phase of the diffusion process. Those who are to share power must be engaged in negotiations designed to ease the transition; at the same time, those who will be assuming power must be engaged in specific developmental activity. Ultimately, however, success in countering negative reactions to shifts in power may depend on whether the changes help or interfere with building a sense of community (a sense of relatedness and interdependence).

Faulty Infrastructure Mechanisms

Most models for restructuring education call for revamping existing organizational and programmatic infrastructures (e.g., mechanisms for governance, planning and implementation, coordination). Temporary mechanisms also are established to facilitate diffusion (e.g., steering and change teams). A well functioning infrastructure prevents many problems and responds effectively to those that do arise. An early focus of diffusion is on ensuring that the institutionalized and temporary infrastructure mechanisms are appropriately designed and functioning. The work of the change team and those who implement stakeholder development is essential in this regard. Each infrastructure mechanism has a role in building positive working relationships and in anticipating, identifying, and responding to problems quickly. Persons staffing the infrastructure must learn to perform specific functions related to these concerns. Members of the change team must monitor how well the infrastructure is functioning with regard to these concerns and take steps to address deficiencies.

[*]In What's wrong with empowerment (*American Journal of Community Psychology, 21*), S. Riger (1993) notes: "the concept of empowerment is sometimes used in a way that confounds a sense of efficacy or esteem (part of "power to") with that of actual decision-making control over resources ("power over"). Many intervention efforts aimed at empowerment increase people's power to act, for example, by enhancing their self-esteem, but do little to affect their power over resources and policies."

[**]Riger also cautions: "If empowerment of the disenfranchised is the primary value, then what is to hold together societies made up of different groups? Competition among groups for dominance and control without the simultaneous acknowledgement of common interests can lead to a conflict like we see today in the former Yugoslavia. . . . Does empowerment of disenfranchised people and groups simultaneously bring about a greater sense of community and strengthen the ties that hold our society together,or does it promote certain individuals or groups at the expense of others, increasing competitiveness and lack of cohesion?"

Overcoming Barriers Related to Differences

When the problem is **only** one of poor skills, it is relatively easy to overcome. Most motivated professionals can be directly taught ways to improve communication and avoid or resolve conflicts that interfere with working relationships.

There are, however, no easy solutions to overcoming deeply embedded negative attitudes. Certainly, a first step is to understand that the nature of the problem is not differences per se but negative perceptions stemming from the politics and psychology of the situation.

It is these perceptions that lead to

(1) prejudgments that a person is bad because of an observed difference

and

(2) the view that there is little to be gained from working with that person.

Thus, minimally, the task of overcoming negative attitudes interfering with a particular working relationship is twofold.

To find ways

(1) to counter negative prejudgments (e.g., to establish the credibility of those who have been prejudged)

and

(2) to demonstrate there is something of value to be gained from working together.

Building Rapport and Connection

To be effective in working with another person (student, parent, staff), you need to build a positive relationship around the **tasks** at hand.

Necessary ingredients in building a working relationship are

* minimizing negative prejudgments about those with whom you will be working

* taking time to make connections

* identifying what will be gained from the collaboration in terms of mutually desired outcomes -- to clarify the value of working together

* enhancing expectations that the working relationship will be productive -- important here is establishing credibility with each other

* establishing a structure that provides support and guidance to aid task focus

* periodic reminders of the positive outcomes that have resulted from working together

With specific respect to **building relationships** and **effective communication**, three things you can do are:

* convey empathy and warmth (e.g., the ability to understand and appreciate what the individual is thinking and feeling and to transmit a sense of liking)

* convey genuine regard and respect (e.g., the ability to transmit real interest and to interact in a way that enables the individual to maintain a feeling of integrity and personal control)

* talk with, not at, others -- active listening and dialogue (e.g., being a good listener, not being judgmental, not prying, sharing your experiences as appropriate and needed)

Finally, watch out for ego-oriented behavior (yours and theirs) -- it tends to get in

the way of accomplishing the task at hand.

Accounting for Cultural, Racial, and Other Significant Individual and Group Differences

All interventions to address barriers to learning and promote healthy development must consider significant individual and group differences.

In this respect, discussions of diversity and cultural competence offer some useful concerns to consider and explore. For example, the Family and Youth Services Bureau of the U.S. Department of Health and Human Services, in a 1994 document entitled *A Guide to Enhancing the Cultural Competence of Runaway and Homeless Youth Programs,* outlines some baseline assumptions which can be broadened to read as follows:

Those who work with youngsters and their families can better meet the needs of their target population by enhancing their competence with respect to the group and its intragroup differences.

Developing such competence is a dynamic, on-going process -- not a goal or outcome. That is, there is no single activity or event that will enhance such competence. In fact, use of a single activity reinforces a false sense of that the "problem is solved."

Diversity training is widely viewed as important, but is not effective in isolation. Programs should avoid the "quick fix" theory of providing training without follow-up or more concrete management and programmatic changes.

Hiring staff from the same background as the target population does not necessarily ensure the provision of appropriate services, especially if those staff are not in decision-making positions, *or* are not themselves appreciative of, or respectful to, group and intragroup differences.

Establishing a process for enhancing a program's competence with respect to group and intragroup differences is an opportunity for positive organizational and individual growth.

(cont.)

The Bureau document goes on to state that programs:

> are moving from the individually-focused "medical model" to a clearer understanding of the many external causes of our social problems ... why young people growing up in intergenerational poverty amidst decaying buildings and failing inner-city infrastructures are likely to respond in rage or despair. It is no longer surprising that lesbian and gay youth growing up in communities that do not acknowledge their existence might surrender to suicide in greater numbers than their peers. We are beginning to accept that social problems are indeed more often the problems of society than the individual.
>
> These changes, however, have not occurred without some resistance and backlash, nor are they universal. Racism, bigotry, sexism, religious discrimination, homophobia, and lack of sensitivity to the needs of special populations continue to affect the lives of each new generation. Powerful leaders and organizations throughout the country continue to promote the exclusion of people who are "different," resulting in the disabling by-products of hatred, fear, and unrealized potential.
>
> ... We will not move toward diversity until we promote inclusion ... Programs will not accomplish any of (their) central missions unless ... (their approach reflects) knowledge, sensitivity, and a willingness to learn.

In their discussion of "The Cultural Competence Model," Mason, Benjamin, and Lewis* outline five cultural competence values which they stress are more concerned with behavior than awareness and sensitivity and should be reflected in staff attitude and practice and the organization's policy and structure. In essence, these five values are

(1) *Valuing Diversity* -- which they suggest is a matter of framing cultural diversity as a strength in clients, line staff, administrative personnel, board membership, and volunteers.

(2) Conducting Cultural Self-Assessment -- to be aware of cultural blind spots and ways in which one's values and assumptions may differ from those held by clients.

(3) *Understanding the Dynamics of Difference* -- which they see as the ability to understand what happens when people of different cultural backgrounds interact.

(4) *Incorporating Cultural Knowledge* -- seen as an ongoing process.

(5) *Adapting to Diversity* -- described as modifying direct interventions and the way the organization is run to reflect the contextual realities of a given catchment area and the sociopolitical forces that may have shaped those who live in the area.

*I*n *Families and the Mental Health System for Children and Adolescence*, edited by C.A. Heflinger & C.T. Nixon (1996). CA: Sage Publications.

One Other Observation

Finally, it is essential to remember that **individual differences** are the most fundamental determinant of whether a good relationship is established. This point was poignantly illustrated by the recent experience of the staff at one school.

> A Korean student who had been in the U.S.A. for several years and spoke comprehensible English came to the center seeking mental health help for a personal problem. The center's policy was to assign Korean students to Asian counselors whenever feasible. The student was so assigned, met with the counselor, but did not bring up his personal problem. This also happened at the second session, and then the student stopped coming.
>
> In a follow-up interview conducted by a nonAsian staff member, the student explained that the idea of telling his personal problems to another Asian was too embarrassing.
>
> Then, why had he come in the first place?
>
> Well, when he signed up, he did not understand he would be assigned to an Asian; indeed, he had expected to work with the "blue-eyed counselor" a friend had told him about.

A Few References Related to Working Relationships

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K. Hooper-Briar & H.A. Lawson (1994) *Serving children, Youth and Families Through Interprofessional Collaboration and Service Integration: A Framework for Action.* Oxford, OH: Danforth Foundation and the Institute for Educational Renewal at Miami University.

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Appendix G

More About Barriers to Learning

Another way to discuss why children have problems at school is to think in terms of barriers to learning and what the role of schools should be in addressing such factors. Such a perspective blends well with a transactional view of the causes of human behavior because it emphasizes that, for a great many students, *external* not *internal* factors often are the ones that should be the primary focus of attention.

Implicit in democratic ideals is the intent of ensuring that *all* students succeed at school and that "no child is left behind." If all students came ready and able to profit from "high standards" curricula, then there would be little problem. But *all* encompasses those who are experiencing external and/or internal barriers that interfere with benefitting from what the teacher is offering. Thus, providing all students an equal opportunity to succeed requires more than higher standards and greater accountability for instruction, better teaching, increased discipline, reduced school violence, and an end to social promotion. It also requires addressing barriers to development, learning, and teaching (see Table 1).

The terrible fact is that too many youngsters are growing up and going to school in situations that not only fail to promote healthy development, but are antithetical to the process. Some also bring with them intrinsic conditions that make learning and performing difficult. At one time or another, most students bring problems with them to school that affect their learning and perhaps interfere with the teacher's efforts to teach. As a result, some youngsters at every grade level come to school unready to meet the setting's demands effectively. As long as school reforms fail to address such barriers in comprehensive and multifaceted ways, especially in schools where large proportions of students are not doing well, it is unlikely that achievement test score averages can be meaningfully raised.

In some geographic areas, many youngsters bring a wide range of problems stemming from restricted opportunities associated with poverty and low income, difficult and diverse family circumstances, high rates of mobility, lack of English language skills, violent neighborhoods, problems related to substance abuse, inadequate health care, and lack of enrichment opportunities. Such problems are exacerbated as youngsters internalize the frustrations of confronting barriers and the debilitating effects of performing poorly at school. In some locales, the reality often is that over 50% of students manifest forms of learning, behavior, and emotional problems. And, in most schools in these locales, teachers are ill-prepared to address the problems in a potent manner.

Barriers (Risk Factors), Protective Buffers, & Promoting Full Development

Schools tend to address barriers to learning as a last resort. This is not surprising since their assigned mission is to educate, and school staff are under increasing pressure both to "leave no child behind" and avoid discussing matters that may sound like excuses for not doing so. The irony, of course, is that most school staff are painfully aware of barriers that must be addressed. Moreover, the widespread emphasis on high stakes testing not only underscores how many students are not performing well, but the degree to which such testing is adding another barrier that keeps some students from having an equal opportunity to succeed at school.

All this leads to concerns about what the role of schools is and should be in handling such problems. Critics point out that the tendency is for schools to be reactive – waiting until problems become rather severe and pervasive. At the same time, because schools have been accused of having a *deficit orientation* toward many youngsters, they have increasingly tried to avoid terms denoting risks and barriers or an overemphasis on remediation.

It is well that schools realize that a focus solely on fixing problems is too limited and may be counterproductive. Overemphasis on remediation can diminish efforts to promote healthy development, limit opportunity, and can be

Table 1

Barriers to Development and Learning

Based on a review of over 30 years of research, Hawkins and Catalano (1992) identify common risk factors that reliably predict such problems as youth delinquency, violence, substance abuse, teen pregnancy, and school dropout. These factors also are associated with such mental health concerns as school adjustment problems, relationship difficulties, physical and sexual abuse, neglect, and severe emotional disturbance. The majority of factors identified by Hawkins and Catalano are external barriers to healthy development and learning. Such factors are not excuses for anyone not doing their best; they are, however, rather obvious impediments, and ones to which no good parent would willingly submit his or her child. Below is our effort to synthesize various analyses of external and internal barriers.

*External Factors**

Community
- Availability of drugs
- Availability of firearms
- Community laws and norms favorable toward drug use, firearms, and crime
- Media portrayals of violence
- Transitions and mobility
- Low neighborhood attachment and community disorganization
- Extreme economic deprivation

Family
- Family history of the problem behavior
- Family management problems
- Family conflict
- Favorable parental attitudes and involvement in the problem behavior

School
- Academic failure beginning in late elementary school

Peer
- Friends who engage in the problem behavior
- Favorable attitudes toward the problem behavior

Internal Factors (biological and psychological)

Differences (e.g., being further along toward one end or the other of a normal developmental curve; not fitting local "norms" in terms of looks and behavior; etc.)

Vulnerabilities (e.g., minor health/vision/hearing problems and other deficiencies/deficits that result in school absences and other needs for special accommodations; being the focus of racial, ethnic, or gender bias; economical disadvantage; youngster and or parent lacks interest in youngster's schooling, is alienated, or rebellious; early manifestation of severe and pervasive problem/antisocial behavior)

Disabilities (e.g., true learning, behavior, and emotional disorders)

*Other examples of external factors include exposure to crisis events in the community, home, and school; lack of availability and access to good school readiness programs; lack of home involvement in schooling; lack of peer support, positive role models, and mentoring; lack of access and availability of good recreational opportunities; lack of access and availability to good community housing, health and social services, transportation, law enforcement, sanitation; lack of access and availability to good school support programs; sparsity of high quality schools.

motivationally debilitating to all involved. And undermining motivation works against resiliency in responding to adversity. One important outcome of the reaction to overemphasizing risks and problems is that increasing attention is being given to strengths, assets, resilience, and protective factors. Among the benefits of this focus is greater understanding of how some youngsters born into poverty overcome this potential barrier to success.

However, as Scales and Leffert (1999) indicate in their work on developmental assets, focusing just on enhancing assets is an insufficient approach.

> "Young people also need adequate food, shelter, clothing, caregivers who at the minimum are not abusive or neglectful, families with adequate incomes, schools where both children and teachers feel safe, and economically and culturally vibrant neighborhoods – not ones beset with drugs, violent crime, and infrastructural decay. For example, young people who are disadvantaged by living in poor neighborhoods are consistently more likely to engage in risky behavior at higher rates than their affluent peers, and they show consistently lower rates of positive outcomes (Brooks-Gunn & Duncan, 1997). Moreover, young people who live in abusive homes or in neighborhoods with high levels of violence are more likely to become both victims and perpetrators of violence (Garbarino, 1995)." As advocates have argued the merits of their respective positions about risks *vs.* assets and as terms such as resilience and protective factors are popularized, confusion and controversy have arisen. The following distinctions are offered in support of the position that the need is to address barriers, establish protective buffers, and promote full development.

Risk factors

One way to think about risks is in terms of potential external and internal barriers to development and learning. Research indicates that the primary causes for most youngsters' learning, behavior, and emotional problems are external factors (related to neighborhood, family, school, and/or peers). For a few, problems stem from individual disorders and differences. An appreciation of the research on the role played by external and internal factors makes a focus on such matters a major part of any comprehensive, multifaceted approach for addressing barriers to learning, development, and teaching (see Table 2).

Protective factors

Protective factors are conditions that *buffer* against the impact of barriers (risk factors). Such conditions may prevent or counter risk producing conditions by promoting development of neighborhood, family, school, peer, and individual strengths, assets, and coping mechanisms through special assistance and accommodations. The term *resilience* usually refers to an individual's ability to cope in ways that buffer. Research on protective buffers also guides efforts to address barriers (see Table 2).

Promoting full development

As often is stressed, being problem-free is not the same as being well-developed. Efforts to reduce risks and enhance protection can help minimize problems but are insufficient for promoting full development, well-being, and a value-based life. Those concerned with establishing

Table 2

Examples of Barriers to Learning/Development, Protective Buffers, & Promoting Full Development*

ENVIRONMENTAL CONDITIONS** **PERSON FACTORS****

I. Barriers to Development and Learning (Risk producing conditions)

Neighborhood	***Family***	***School and Peers***	***Individual***
>extreme economic deprivation >community disorganization, including high levels of mobility >violence, drugs, etc. >minority and/or immigrant status	>chronic poverty >conflict/disruptions/violence >substance abuse >models problem behavior >abusive caretaking >inadequate provision for quality child care	>poor quality school >negative encounters with teachers >negative encounters with peers &/or inappropriate peer models	>medical problems >low birth weight/ neurodevelopmental delay >psychophysiological problems >difficult temperament & adjustment problems

---

II. Protective Buffers (Conditions that prevent or counter risk producing conditions – strengths, assets, corrective interventions, coping mechanisms, special assistance and accommodations)

Neighborhood	***Family***	***School and Peers***	***Individual***
>strong economic conditions/ emerging economic opportunities >safe and stable communities >available & accessible services >strong bond with positive other(s) >appropriate expectations and standards >opportunities to successfully participate, contribute, and be recognized	>adequate financial resources >nurturing supportive family members who are positive models >safe and stable (organized and predictable) home environment >family literacy >provision of high quality child care >secure attachments – early and ongoing	>success at school >positive relationships with one or more teachers >positive relationships with peers and appropriate peer models >strong bond with positive other(s)	>higher cognitive functioning >psychophysiological health >easy temperament, outgoing personality, and positive behavior >strong abilities for involvement and problem solving >sense of purpose and future >gender (girls less apt to develop certain problems)

III. Promoting Full Development (Conditions, over and beyond those that create protective buffers, that enhance healthy development, well-being, and a value-based life)

Neighborhood	***Family***	***School and Peers***	***Individual***
>nurturing & supportive conditions >policy and practice promotes healthy development & sense of community	>conditions that foster positive physical & mental health among all family members	>nurturing & supportive climate school-wide and in classrooms >conditions that foster feelings of competence, self-determination, and connectedness	>pursues opportunities for personal development and empowerment >intrinsically motivated to pursue full development, well-being, and a value-based life

***For more on these matters, see:**

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Adelman, H.S. & Taylor, L. (1994). *On Understanding Intervention in Psychology and Education*. Westport, CT: Praeger.

****A reciprocal determinist view of behavior recognizes the interplay of environment and person variables.**

systems for promoting healthy development recognize the need for direct efforts to promote development and empowerment, including the mobilization of individuals for self-pursuit. In many cases, interventions to create buffers and promote full development are identical, and the pay-off is the cultivation of developmental strengths and assets. However, promoting healthy development is not limited to countering risks and engendering protective factors. Efforts to promote full development represent ends which are valued in and of themselves and to which most of us aspire (see Table 2).

Considerable bodies of research and theory have identified major correlates that are useful guideposts in designing relevant interventions. And, as the examples illustrate, there is a significant overlap in conceptualizing the various factors. Some risk factors (barriers) and protective buffers are mirror images; others are distinct. Many protective buffers are natural by-products of efforts to engender full development. From this perspective, addressing barriers to learning and development and promoting healthy development are two sides of the same coin. And, the best way to engender resilient behavior, individual assets, and healthy behavior in children and adolescents probably is to focus intervention on both sides of the coin.

In sum, we stress that a focus on addressing barriers to development and learning is not at odds with the "paradigm shift" that emphasizes assets, strengths, protective factors, and resilience. The value of promoting healthy development and primary prevention is both evident and in need of continuous advocacy. At the same time, we know that too many youngsters are growing up and going to school in situations that not only do not promote healthy development but are antithetical to the process.

Commitment to enhancing child and youth development and improving instruction can help redress these conditions. But, effective prevention also requires direct and comprehensive action designed to remove or at least minimize the impact of barriers – hostile environments, individual vulnerabilities, and true disabilities and disorders. Otherwise, such barriers will continue to interfere with youngsters benefiting from programs designed to promote development and provide the best possible instruction.

In addressing barriers to learning at schools, much of the intervention focus must be on enhancing the school-wide and classroomenvironment, and also connecting with the community to prevent problems and enhance every youngster's strengths. At the same time, for the few individuals who need something more, schools and communities, separately and working together, must provide essential supports and assistance. No paradigm shift can afford to ignore these matters or assume that they will be rectified if only schools will make a greater commitment to youth development. It's not a matter of either/or. It's not about a positive vs. a negative emphasis (or excusing or blaming anyone). And, it's not about what's wrong vs. what's right with kids. It is about developing and building on assets, strengths, protective factors, resilience. It also is about continuing to face up to the reality of major extrinsic barriers, as well as problem conditions that are intrinsic to or have become internalized by some youngsters. We all share the responsibility of promoting healthy development *and* addressing barriers.

Appendix H

Developing Standards and Expanding the Accountability Framework

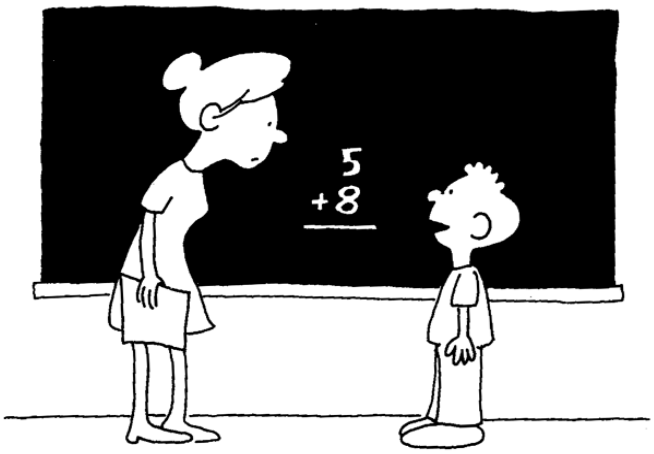
Those working on sustaining what a project has developed must also understand that school-reform across the country is "standards-based." Relatedly, they must appreciate how much accountability measures drive systems, and that for schools, the dominant emphasis is on improving academic performance as measured by achievement test scores.

Given these realities, efforts to enhance school-community approaches for addressing factors interfering with learning, parenting, and schooling must encompass work on delineating a set of standards and integrating them with instructional standards. And, to whatever degree is feasible, project staff should work to expand the accountability framework so that it supports the ongoing development of comprehensive, multifaceted approaches to addressing barriers and promoting healthy development.

Standards

Establishing *standards* is another facet of ensuring high levels of attention and support for developing comprehensive, multifaceted approaches. To illustrate a starting point in developing such a set of standards, the material in Exhibits 8 and 9 areadapted from a draft developed by the Memphis City Schools to provide standards, guidelines, and related quality indicators for their work.

Once the standards are formulated, they must be thoroughly incorporated in every school's improvement plan. This is a necessary step toward making the policy commitment visible at every school, and it establishes the framework for ensuring relevant accountability.



GOSH, MRS. THOMPSON, I WAS READY TO LEARN MATH YESTERDAY. TODAY I'M READY TO LEARN TO READ.

Exhibit 8

Example of Standards for an Enabling Component

Standards for an Enabling or Learner Support Component

An *Enabling* or *Learner Support component* is an essential facet of a comprehensive school design. This component is intended to enable *all* students to benefit from instruction and achieve high and challenging academic standards. This is accomplished by providing a comprehensive, multifaceted, and integrated continuum of support programs and services at every school. The district is committed to supporting and guiding capacity building to develop and sustain such a comprehensive approach in keeping with these standards.

All personnel in the district and other stakeholders should use the standards to guide development of such a component as an essential facet of school improvement efforts. In particular, the standards should guide decisions about direction and priorities for redesigning the infrastructure, resource allocation, redefining personnel roles and functions, stakeholder development, and specifying accountability indicators and criteria.

The following are 5 major standards for an effective Enabling or Learner Support component:

Standard 1. *The Enabling or Learner Support component encompasses an evolving range of research-based programs and services designed to enable student learning and well-being by addressing barriers to learning and promoting healthy development.*

Standard 2. *The Enabling or Learner Support Component is developed, coordinated, and fully integrated with all other facets of each school's comprehensive school improvement plan.*

Standard 3. *The Enabling or Learner Support Component draws on all relevant resources at a school, in a family of schools, district-wide, and in the home and community to ensure sufficient resources are mobilized for capacity building, implementation, filling gaps, and enhancing essential programs and services to enable student learning and well-being and strengthen families and neighborhoods.*

Standard 4. *Learning supports are applied in ways that promote use of the least restrictive and nonintrusive forms of intervention required to address problems and accommodate diversity.*

Standard 5. *The Enabling or Learner Support Component is evaluated with respect to its impact on enabling factors, as well as increased student achievement.*

Meeting these standards is a shared responsibility. District and school leaders, staff, and all other concerned stakeholders work together to identify learning support needs and how best to meet them. The district and schools provide necessary resources, implement policies and practices to encourage and support appropriate interventions, and continuously evaluate the quality and impact of the Enabling/Learner Support Component.

Exhibit 9

Guidelines and Quality Indicators for Each Standard

Standard 1 encompasses a guideline emphasizing the necessity of having a full continuum of programs and services in order to ensure all students have an equal opportunity for success at school. Included are programs designed to promote and maintain safety, programs to promote and maintain physical and mental health, school readiness and early school-adjustment services, expansion of social and academic supports, interventions prior to referral for special services, and provisions to meet specialty needs.

Quality Indicators for Standard 1:

- All programs and services implemented are based on state of the art best practices for addressing barriers to learning and promoting positive development.

- The continuum of programs and services ranges from prevention and early-age intervention – through responding to problems soon after onset -- to partnerships with the home and other agencies in meeting the special needs of those with severe, pervasive, or chronic problems.

- Routine procedures are in place to review the progress of the component's development and the fidelity of its implementation.

Standard 2 encompasses a guideline that programs and services should be evolved within a framework of delineated areas of activity (e.g., 5 or 6 major areas) that reflect basic functions schools must carry out in addressing barriers to student learning and promoting healthy development. A second guideline stresses that a school-based lead staff member and team should be in place to steer development of these areas at each school and ensure that all activities are implemented in an interdisciplinary well coordinated manner which ensures full integration into the instructional and management plan.

Quality Indicators for Standard 2:

- All programs/services are established with a delineated framework of areas of activity that reflect basic functions a school must have in place for addressing barriers to learning and promoting healthy development.

- At the school level, a resource-oriented team is functioning effectively as part of the school's infrastructure with responsibility for ensuring resources are deployed appropriately and used in a coordinated way. In addition, the team is facilitating (a) capacity building, (b) development, implementation, and evaluation of activity, and (c) full integration with all facets of the instructional and governance/ management components.

- Routine procedures are in place to ensure all activities are implemented in a manner that coordinates them with each other and integrates them fully into the instructional and governance/management components.

- Ongoing professional development is (a) provided for all personnel implementing any aspect of the Enabling/Learner Support Component and (b) is developed and implemented in ways that are consistent with the district's Professional Development Standards.

Guidelines and Quality Indicators for Each Standard (cont.)

Standard 3 encompasses a guideline underscoring that necessary resources must be generated by redeploying current allocations and building collaborations that weave together, in common purpose, families of schools, centralized district assets, and various community entities.

Quality Indicators for Standard 3:

1. Each school has mapped and analyzed the resources it allocates for learner support activity and routinely updates its mapping and analysis.

- All school resources for learner supports are allocated and redeployed based on careful analysis of cost effectiveness.
- Collaborative arrangements for each family of schools are in place to (a) enhance effectiveness of learner supports and (b) achieve economies of scale.
- Centralized district assets are allocated in ways that directly aid capacity building and effective implementation of learner support programs and services at school sites and by families of schools.
- Collaborative arrangements are in place with a variety of community entities to (a) fill gaps in the Component, (b) enhance effectiveness, and (c) achieve economies of scale.

Standard 4 encompasses guidelines highlighting that enabling or learner support activity should be applied in all instances where there is need and should be implemented in ways that ensure needs are addressed appropriately, with as little disruption as feasible of a student's normal involvement at school.

Quality Indicators for Standard 4:

- Procedures are in routine use for gathering and reviewing info on the need for specific types of learner support activities and for establishing priorities for developing/implementing such activity.
- Whenever a need is identified, learner support is implemented in ways that ensure needs are addressed appropriately and with as little disruption as feasible of a student's normal involvement at school.
- Procedures are in routine use for gathering and reviewing data on how well needs are met; such data are used to inform decisions about capacity building, including infrastructure changes and personnel development.

Standard 5 encompasses a guideline for accountability that emphasizes a focus on the progress of students with respect to the direct enabling outcomes each program and service is designed to accomplish, as well as by enhanced academic achievement.

Quality Indicators for Standard 5:

- Accountability for the learner support activity focuses on the progress of students at a school site with respect to both the direct enabling outcomes a program/service is designed to accomplish (measures of effectiveness in addressing barriers, such as increased attendance, reduced tardies, reduced misbehavior, less bullying and sexual harassment, increased family involvement with child and schooling, fewer referrals for specialized assistance, fewer referrals for special education, fewer pregnancies, fewer suspensions, and dropouts), as well as academic achievement.
- All data are disaggregated to clarify impact as related to critical subgroup differences (e.g., pervasiveness, severity, and chronicity of identified problems).
- All data gathered on learner support activity are reviewed as a basis for decisions about how to enhance and renew the Enabling/Learner Support Component.

Expanding the Accountability Framework for Schools

Systems are driven by what is measured for purposes of accountability. This is particularly so when systems are the focus of major reform. Under reform conditions, policy makers often want a quick and easy recipe to use. Thus, most of the discussion around accountability stresses making certain that program administrators and staff are held accountable to specific, short-term results. Little discussion wrestles with how to maximize the benefits (and minimize the negative effects) of accountability in improving complex, long-term outcomes. As a result, in too many instances, the tail wags the dog, the dog gets dizzy, and the citizenry doesn't get what it needs and wants.

School accountability is a good example of the problem. Accountability has extraordinary power to reshape schools – for good and for bad. The influence can be seen in classrooms everyday. With the increasing demands for accountability, teachers quickly learn what is to be tested and what will not be evaluated, and slowly but surely greater emphasis is placed on teaching what will be on the tests. Over time what is on the tests comes to be 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 being evaluated reflects all the important things we want students to learn in school. Unfortunately, this is not the case.

Current accountability pressures reflect values and biases that have led to evaluating a small range of basic skills and doing so in a narrow way. For students with learning, behavior, or emotional problems, this is of even greater concern when their school programs are restricted to improving skills they lack. When this occurs, 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.

Policy makers want schools, teachers, and administrators (and students and their families) held accountable for higher academic achievement. And, as everyone involved in school reform knows, the only measure that really counts is achievement test scores. These tests drive school accountability, and what such tests measure has become the be-all and end-all of what school reformers attend to. This produces a growing disconnect between the realities of what it takes to improve academic performance and where many policy makers and school reformers are leading the public.

This disconnect is especially evident in schools serving what are now being referred to as "low wealth" families. Such families and those who work in schools serving them have a clear appreciation of many barriers to learning that must be addressed so that the students can benefit from the teacher's efforts to teach. They stress that, in many schools, major academic improvements are unlikely until comprehensive and multifaceted approaches to address these barriers are developed and pursued effectively.

At the same time, it is evident to anyone who looks that there is no direct accountability for whether these barriers are addressed. To the contrary, when achievement test scores do not reflect an immediate impact for the investment, efforts essential for addressing barriers to development and learning often are devalued and cut.

Thus, rather than building the type of comprehensive, multifaceted, and integrated approach that can produce improved academic performance, prevailing accountability measures are pressuring schools to maintain a narrow focus on strategies whose face validity suggests a direct route to improving instruction. The implicit underlying assumption of most of these teaching strategies is that students are motivationally ready and able each day to benefit from the teacher's instruction. The

reality, of course, is that in too many schools the *majority* of youngsters are not motivationally ready and able and thus are not benefitting from the instructional improvements. For many students, the fact remains that there are a host of external interfering factors.

Logically, well designed, systematic efforts should be directed at addressing interfering factors. However, current accountability pressures override the logic and result in the marginalization of almost every initiative that is not seen as directly (and quickly) leading to academic gains. Ironically, not only does the restricted emphasis on achievement measures work against the logic of what needs to be done, it works against gathering evidence on how essential and effective it is to address barriers to learning in a direct manner.

All this leads to an appreciation of the need for an expanded framework for school accountability. A framework that includes direct measures of achievement and much more. The following figure highlights such an expanded framework.

As illustrated, there is no intent to deflect from the laser-like focus on accountability for meeting high standards related to academics. The debate will continue as to how best to measure outcomes in this arena, but clearly schools must demonstrate they are effective institutions for teaching academics.

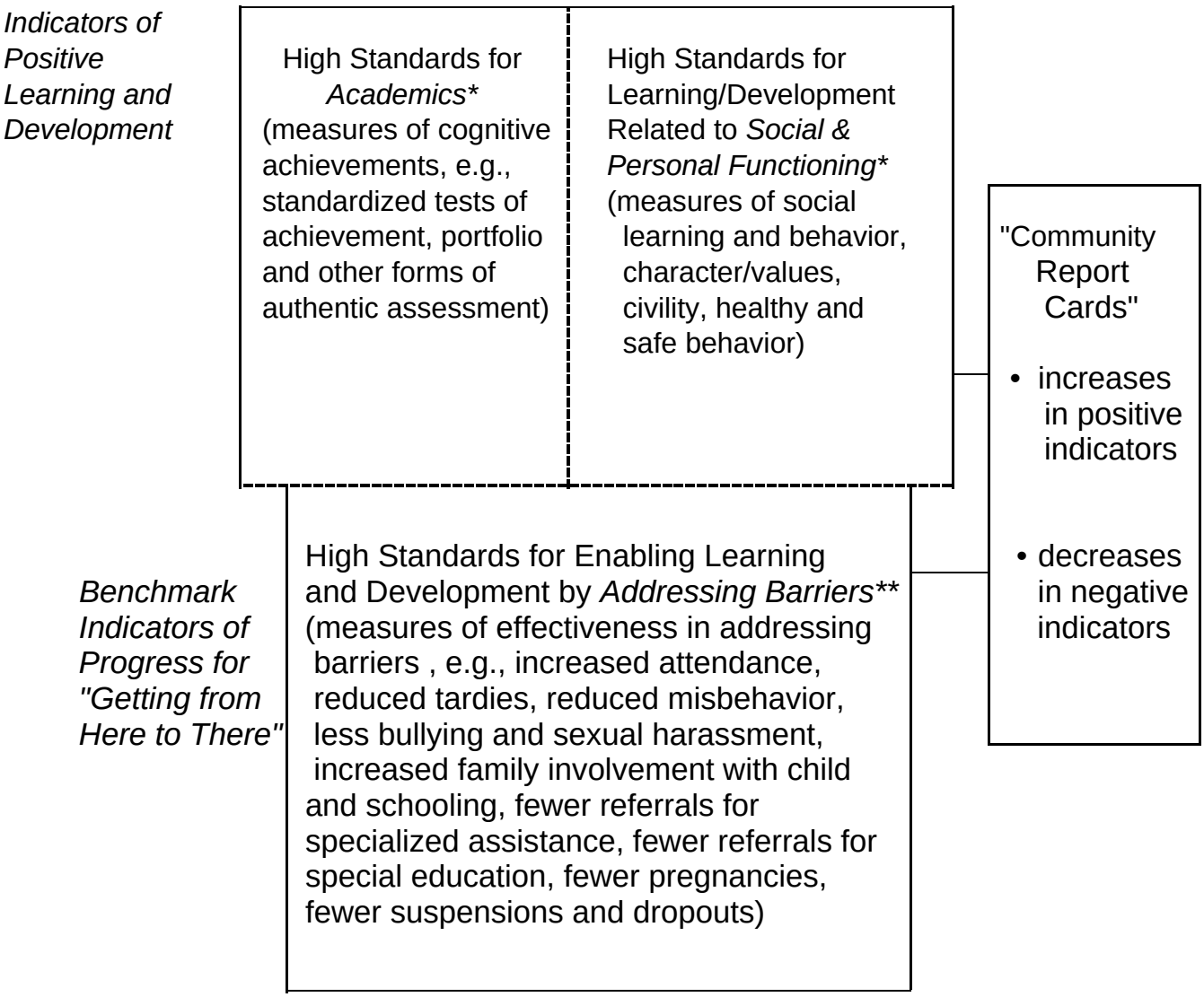
At the same time, it is time to acknowledge that schools also are expected to pursue high standards for promoting social and personal functioning, including enhancing civility, teaching safe and healthy behavior, and some form of "character education." Every school we visit has specific goals related to this arena of student development and learning. At the same time, it is evident that schools currently are not held accountable for this facet of their work. That is, there is no systematic evaluation or reporting of the work. Thus, as would be expected, schools direct their resources and attention mainly to what is measured. Given that society wants schools to attend to these matters and most professionals understand that personal and social functioning is integrally tied to academic performance, it is self-defeating not to hold schools accountable in this arena.

For schools where a large proportion of students are not doing well, it is also self-defeating not to attend to benchmark indicators of progress related to addressing barriers to learning. Teachers cannot teach children who are not in class. Therefore, increasing attendance, reducing tardiness, reducing problem behaviors, lessening suspension and dropout rates, and abating the large number of inappropriate referrals for special education all are essential indicators of school improvement and precursors of enhanced academic performance. Thus, the progress of school staff related to such matters should be measured and treated as a significant aspect of school accountability.

School outcomes, of course, are influenced by the well-being of the families and the neighborhoods in which they operate. Thus, the performance of any school must be judged within the context of the current status of indicators of community well-being, such as economic, social, and health measures. If those indicators are not improving or are declining, it is patently unfair to ignore these contextual conditions in judging school performance.

More broadly, it is unlikely the students in many economically depressed areas will perform up to high standards if the schools do not pursue a holistic, systemic, and collaborative approach to strengthening their students, families, the feeder pattern of schools, and the surrounding neighborhood. The Exhibit following the figure presents a range of indicators related to each of these concerns. In this context, we are reminded of Ulric Neisser's (1976) dictum: *Changing the individual while leaving the world alone is a dubious proposition.*

Figure 12. Expanding the Framework for School Accountability



*Results of interventions for directly facilitating development and learning.

**Results of interventions for addressing barriers to learning and development.

Exhibit 10

Other Indicators of Impact

Students

Increased knowledge, skills, & attitudes to enhance
- •acceptance of responsibility (including attending, following directions & agreed upon rules/laws)
- •self-esteem & integrity
- •social & working relationships
- •self-evaluation & self-direction/regulation
- •physical functioning
- •health maintenance
- •safe behavior

Reduced barriers to school attendance and functioning by addressing problems related to
- •health
- •lack of adequate clothing
- •dysfunctional families
- •lack of home support for student improvement
- •physical/sexual abuse
- •substance abuse
- •gang involvement
- •pregnant/parenting minors
- •dropouts
- •need for compensatory learning strategies

Families & Communities

Increased social and emotional support for families

Increased family access to special assistance

Increased family ability to reduce child risk factors that can be barriers to learning

Increased bilingual ability and literacy of parents

Increased family ability to support schooling

Increased positive attitudes about schooling

Increased home (family/parent) participation at school
Enhance positive attitudes toward school and community

Increased community participation in school activities

Increased perception of the school as a hub of community activities

Increased partnerships designed to enhance education & service availability in community

Enhanced coordination & collaboration between community agencies and school programs & services

Enhanced focus on agency outreach to meet family needs

Increased psychological sense of community

Programs & Systems

Enhanced processes by which staff and families learn about available programs and services and how to access those they need

Increased coordination among
services and programs

Increases in the degree to which staff work collaboratively
and programmatically

Increased services/programs at school site

Increased amounts of school and community collaboration

Increases in quality of services and programs because of improved systems for requesting, accessing, and managing assistance for students and families (including overcoming inappropriate barriers to confidentiality)

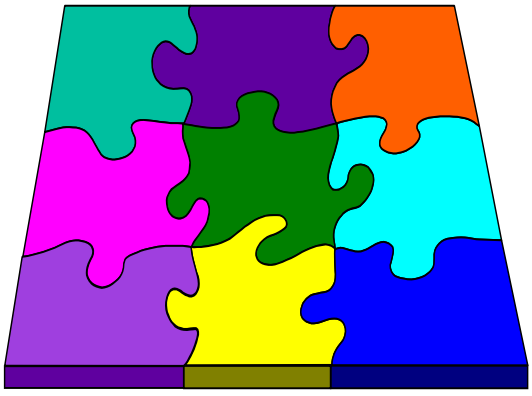
Establishment of a long-term financial base

Few would argue with the notion that ultimately school reform must be judged in terms of whether the academic performance of students improves significantly (approaching "high standards"). At the same time, it is essential that accountability encompasses all facets of a comprehensive and holistic approach to facilitate and enable development and learning.

Such an approach comprises programs designed to achieve high standards for learning related to social and personal functioning and those designed to address barriers to student learning. Currently, efforts in these arenas are given short shrift because they are not part of the accountability framework.

To be more specific, it is clear that concerns about social learning and behavior, character/values, civility, healthy and safe behavior, and other facets of youth development are not included when school accountability is discussed. Similarly, school programs/services designed to address barriers to student learning are not attended to in a major way in the prevailing accountability framework.

We suggest that "getting from here to there" in improving academic performance also requires expanding the accountability framework to include high standards and related accountability for activity to enable learning and development by addressing barriers. Among the accountability indicators ("benchmarks") for such programs are increased attendance, reduced tardies, reduced misbehavior, less bullying and sexual harassment, increased family involvement with child and schooling, fewer unnecessary referrals for specialized assistance, fewer inappropriate referrals for special education, and fewer pregnancies, suspension, and dropouts.



Stand still and
silently wait for
the world to go by –
and it certainly will!

To maintain a broad perspective of the reforms needed to address barriers to learning, we organize our thinking and materials around the following three categories:

Systemic Concerns

- Policy issues related to mental health in schools
- Mechanisms and procedures for program/service coordination
    - Collaborative Teams
    - School-community service linkages
    - Cross disciplinary training and interprofessional education
- Comprehensive, integrated programmatic approaches (as contrasted with fragmented, categorical, specialist oriented services)
- Issues related to working in rural, urban, and suburban areas
- Restructuring school support service
    - Systemic change strategies
    - Involving stakeholders in decisions
    - Staffing patterns
    - Financing
    - Evaluation, Quality Assurance
    - Legal Issues
- Professional standards

Programs and Process Concerns

- Clustering activities into a cohesive, programmatic approach
    - Support for transitions
    - Mental health education to enhance healthy development & prevent problems
    - Parent/home involvement
    - Enhancing classrooms to reduce referrals (including prereferral interventions)
    - Use of volunteers/trainees
    - Outreach to community
    - Crisis response
    - Crisis and violence prevention (including safe schools)
- Staff capacity building & support
    - Cultural competence
    - Minimizing burnout
- Interventions for student and family assistance
    - Screening/Assessment
    - Enhancing triage & ref. processes
    - Least Intervention Needed
    - Short-term student counseling
    - Family counseling and support
    - Case monitoring/management
    - Confidentiality
    - Record keeping and reporting
    - School-based Clinics

Psychosocial Problems

- Drug/alcoh. abuse
- Depression/suicide
- Grief
- Dropout prevention
- Learning problems
- School adjustment (including newcomer acculturation)
- Pregnancy prevention/support
- Eating problems (anorexia, bulim.)
- Physical/Sexual Abuse
- Neglect
- Gangs
- Self-esteem
- Relationship problems
- Anxiety
- Disabilities
- Gender and sexuality
- Reactions to chronic illness

Center for Mental Health in Schools, UCLA
Howard Adelman & Linda Taylor, Co-Directors

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We look forward to interacting with you and contributing to your efforts over the coming years. Should you want to discuss the center further, please feel free to call (310)825-3634 or e-mail us at smhp@ucla.edu

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