An Introductory Packet

Working Collaboratively:
From School-Based Teams to
School-Community Connections
(Updated 2015)
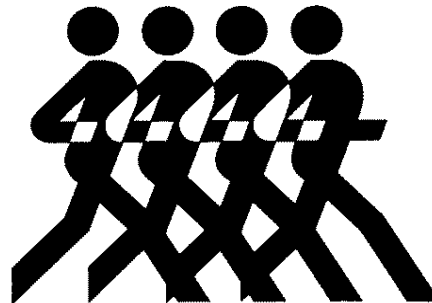
Working Collaboratively: From School-Based Teams to School-Community Connections

Preface

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Across the country, groups of people who often haven't worked together previously are combining their talents and resources to improve outcomes for children and youth. They often form groups called collaboratives.

This packet provides some guidance for what makes such collaborative efforts successful and what gets in the way. It is designed as an introduction to the nature and scope of working collaboratively at various levels of intervention. Specifically, the content focuses on clarifying that

- collaboration is a process for carrying out delineated functions

- accomplishing different functions often require different mechanisms or structures

- data can help enhance collaboration

- sustaining collaborative endeavors over time requires attending to systemic change.

Also included in this packet are a set of resources to draw on in developing effective ways to work together to strengthen children and youth, families, schools, and communities.

Material highlighted in this document are drawn from a wide variety of resources. In particular, sections are drawn from a Technical Assistance Guide entitled: *Fostering Family and Community Involvement through Collaboration with Schools* prepared by our Center Co-directors for the Northwest Regional Education Laboratory's National Resource Center for Safe Schools (http://smhp.psych.ucla.edu/publications/44 guide 7 fostering school family and community involvement.pdf).

Introduction

- Collaboration: A Growing Movement Across the Country

- What Do We Mean When We Say Collaboration

- About Working Together with Others at Schools to Enhance Programs and Resources

- School Community Collaboration: State of the Art

Collaboration: A Growing Movement Across the Country

Various levels and forms of family, community, school, and higher education collaboration are being tested, including state-wide initiatives across the country. Some cataloguing has begun, but there is no complete picture of the scope of activity.

It is clear that the trend among major demonstration projects at the school-neighborhood level is to incorporate health, mental health, and social services into *centers* (including 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. The aims are to improve coordination and eventually integrate many programs and enhance their linkages to school sites. There are projects to (a) improve access to health (e.g., immunizations, substance abuse programs, asthma care, pregnancy prevention) and social services (e.g., foster care, family preservation, child care), (b) expand after school academic, recreation, and enrichment programs (e.g., tutoring, youth sports and clubs, art, music, museum and library programs) (c) build wrap around services and systems of care for special populations (e.g., case management and specialized assistance), (d) reduce delinquency (truancy prevention, conflict mediation, violence prevention), (e) enhance transitions to work/career/postsecondary education (mentoring, internships, career academies, job placement), and (f) improve schools and the community improvement through adopt-a-school programs, use of volunteers and peer supports, and neighborhood coalitions.

Such "experiments" have been prompted by diverse initiatives:

- some are driven by school reform

- some are connected to efforts to reform community health and social service agencies

- some stem from the youth development movement

- a few arise from community development initiatives.

1

What do we mean when we say *COLLABORATION*?

Collaboration is not about meeting together.

Collaboration involves working together in ways that improve intervention effectiveness and efficiency.

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 additional 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)

The *functions* may 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 ongoing learning and renewal and for bringing new arrivals up to speed

- defining standards and ensuring accountability

The *mechanisms* or *structure* for collaborating may be:

- 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

In many situations where collaboration is the aim, working together requires a variety of stakeholders (e.g., school personnel, staff from community agencies, family members). Inevitably, this requires developing ways to work together that enable participants to overcome their particular arenas of advocacy in order to pursue a shared agenda and achieve a collective vision.

Defining Collaboration and Its Purposes

The hallmark of collaboration is a formal agreement among participants to establish an autonomous structure to accomplish goals that would be difficult to achieve by any of the participants 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 set of goals. A collaborative structure requires shared governance (power, authority, decision making, accountability) and of as weaving together of a set of resources for use in pursuit of the shared vision and goals. It also requires building well-defined working relationships to connect and mobilize resources, such as financial and social capital, and to use these resources in planful and mutually beneficial ways.

Growing appreciation of social capital has resulted in collaboratives expanding to include a wide range of stakeholders (people, groups, formal and informal organizations). The political realities of local control have further expanded collaborative bodies to encompass local policy makers, representatives of families, nonprofessionals, and volunteers.

Any effort to connect home, community, and school resources must embrace a wide spectrum of stakeholders. In this context, collaboration becomes both a desired process and an outcome. That is, the intent is to work together to establish strong working relationships that are enduring. However, family, community, and school collaboration is not an end in itself. It is a turning point meant to enable participants to pursue increasingly potent strategies for strengthening families, schools, and communities.

As defined above, true collaboratives are attempting to weave the responsibilities and resources of participating stakeholders together to create a new form of unified entity. For our purposes here, any group designed to connect a school, families, and other entities from the surrounding neighborhood is referred to as a "school-community" collaborative. Such groups can encompass a wide range of stakeholders. For example, collaboratives may include agencies and organizations focused on providing programs for education, literacy, youth development, and the arts; health and human services; juvenile justice; vocational education; and economic development. They also may include various sources of social and financial capital, including youth, families, religious groups, community based organizations, civic groups, and businesses.

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

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

As should be evident by now, collaborative efforts differ in terms of purposes adopted and functions pursued. They also differ in terms of a range of other dimensions. For example, they may vary in their degree of formality, time commitment, breadth of the connections, as well as the amount of systemic change required to carry out their functions and achieve their purposes.

Because family, community, and school collaboration can differ in so many ways, it is helpful to think in terms of categories of key factors relevant to such arrangements. Below are *some key dimensions relevant to family-community-school collaborative arrangements*.

Key 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*
    • for enhancing case management
    • for enhancing use of resources
  B. *Major systemic reform*
    • to enhance coordination
    • for organizational restructuring
    • for transforming system structure/function

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*

About Working Together with Others
at Schools
to Enhance Programs and Resources

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

For any school program to improve, there must be both individual and group efforts. Group efforts may focus on planning, implementation, evaluation, advocacy, and involvement in shared decision making related to policy and resource deployment. In working together to enhance existing programs, group members look for ways to improve communication, cooperation, coordination, and integration within and among programs. Through collaborative efforts, they seek to (a) enhance program availability, access, and management of care, (b) reduce waste stemming from fragmentation and redundancy, (c) redeploy the resources saved, and (d) improve program results.

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

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

Despite all this, the fact remains that no organization can be truly effective if everyone works in isolation. And it is a simple truth that there is no way for schools to play their role in addressing barriers to student learning and enhancing healthy development if a critical mass of stakeholders do not work together towards a shared vision. There are policies to advocate for, decisions to make, problems to solve, and interventions to plan, implement, and evaluate.

Obviously, true collaboration involves more than meeting and talking. The point is to work together in ways that produce the type of actions that result in effective programs. For this to happen, steps must be taken to ensure that committees, councils, and teams are formed in ways that ensure they can be effective. This includes providing them with the training, time, support, and authority to carry out their role and functions. It is when such matters are ignored that groups find themselves meeting and meeting, but going nowhere.

Formal opportunities for working together at schools often take the form of committees, councils, teams, and various other groups. There are many such mechanisms which are and others that should be concerned with addressing barriers to learning and promoting healthy development. These include school-site shared decision making bodies, school improvement planning groups, budget committees, teams that review students referred because of problems and that manage care, quality review bodies, and program planning and management teams.

To be effective, collaborative mechanisms require careful planning and implementation to accomplish well-delineated functions and specific tasks and thoughtful, skillful, and focused facilitation. Without all this, collaborative efforts rarely can live up to the initial hope. Even when they begin with great enthusiasm, poorly facilitated working sessions quickly degenerate into another ho-hum meeting, more talk but little action, another burden, and a waste of time. This is particularly likely to happen when the emphasis is mainly on the unfocused mandate to "collaborate," rather than on moving an important vision and mission forward through effectively working on carefully defined functions and tasks.

School Community Collaboration: State of the Art

As noted, various forms of school-community collaboration are being tested around the country. Such efforts not only provide services, they seem to encourage schools to open their doors in ways that enhance family involvement. Families using school-based centers are described as becoming interested in contributing to school and community by providing social support networks for new students and families, teaching each other coping skills, participating in school governance, helping create a psychological sense of community, and so forth.

Michael Knapp (1995) notes that contemporary literature on school-linked services is heavy on advocacy and prescription and light on findings. As a descriptive aid, the accompanying table outlines some key dimensions of school-community collaborative arrangements.

Joy Dryfoos (1995) encompasses the trend to develop school-based primary health clinics, youth service programs, community schools, and other similar activity under the rubric of *full service schools* (adopting the term from Florida legislation). Her review stresses:

> Much of the rhetoric in support of the full service schools concept has been presented in the language of *systems change*, calling for radical reform of the way educational, health, and welfare agencies provide services. Consensus has formed around the goals of one-stop, seamless service provision, whether in a school- or community-based agency, along with empowerment of the target population. ... most of the programs have moved services from one place to another; for example, a medical unit from a hospital or health department relocates into a school through a contractual agreement, or staff of a community mental health center is reassigned to a school ... But few of the school systems or the agencies have changed their governance. The outside agency is not involved in school restructuring or school policy, nor is the school system involved in the governance of the provider agency. The result is not yet a new organizational entity, but the school is an improved institution and on the path to becoming a different kind of institution that is significantly responsive to the needs of the community.

The New Futures Initiative represents one of the most ambitious efforts. Thus, reports from the on-site evaluators are particularly instructive. White and Wehlage (1995) detail the project's limited success and caution that its deficiencies arose from defining collaboration mainly in institutional terms and failing to involve community members in problem solving. This produced "a top-down strategy that was too disabled to see the day-by-day effects of policy." They conclude:

> Collaboration should not be seen primarily as a problem of getting professionals and human service agencies to work together more efficiently and effectively. This goal, though laudable, does not respond to the core problems .... Instead, the major issue is how to get whole communities, the *haves* and the *have-nots*, to engage in the difficult task of community development" (pp. 36-37).

The need is for school-community collaborations that can complement and enhance each other and evolve into comprehensive, integrated approaches. Such approaches do more than improve access to health and human services. They address a wide array of the most prevalent barriers to learning -- the ones that parents and teachers know are the major culprits interfering with the progress of the majority of students.

Clearly, moving toward a comprehensive, integrated approach for addressing barriers to learning and enhancing healthy development involves *fundamental* systemic reform.. Central to such reform are policies and strategies that counter fragmentation of programs and services by integrating the efforts of school, home, and community. Required are

- policy shifts that establish a truly comprehensive, integrated approach as primary and essential to reform efforts

- systemic changes designed to create an appropriate infrastructure upon which to build such an approach

- designing and implementing change processes that can get us from here to there.

All this, of course, has immediate implications for altering priorities related to the daily work life of professionals who provide health and human services and other programs designed to address barriers to learning in schools and communities.

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I. Collaboration: Working Together to Enhance Impact

A.   Community Outreach and Collaborative Engagement

B.   Building and Maintaining Effective Collaboratives

C   Addressing Barriers to Collaboration

D.   Getting From Here to There

E.   Some Aids and Tools
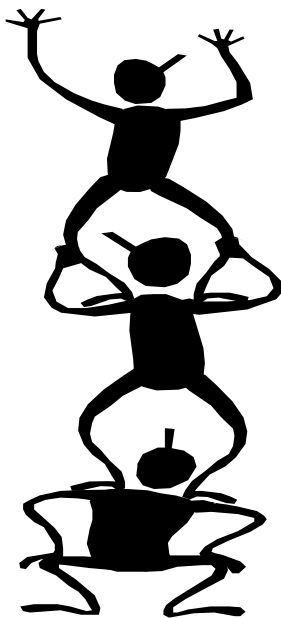
Community Outreach and Collaborative Engagement

...while teaching is the most important in-school factor affecting student achievement, family and neighborhood characteristics matter more. The research consensus has been clear and unchanging for more than a decade: at most, teaching accounts for about 15 percent of student achievement outcomes, while socioeconomic factors account for about 60 percent.... Acknowledging connections between the economy, poverty, health and brain function is not an attempt to 'excuse' failing school bureaucracies and classroom teachers; rather, it is a necessary prerequisite for authentic school reform... ...inequality does matter. ... In the face of this reality, educators put up a valiant fight, and some succeed. The deck is stacked against them.

Goldstein (2011)

Historically, schools serving impoverished families trapped in America's 'ghettos' have been resistant to community participation. Enhanced participation is critically needed, however, if long-term urban school-reform projects and efforts to develop more empowering, community-supporting forms of pedagogy are to succeed.

Schutz (2006)

While schools represent a key commodity in communities, too many are viewed as "islands" with no bridges to and from the mainland. This works against addressing barriers to learning and teaching – especially in poor neighborhoods.

Schools are more effective and caring places when they are an integral and positive part of the community. For schools to be seen as such, they must take steps to engage and collaborate with many community stakeholders to address barriers to learning and teaching and strengthen the fabric of family and community life.

Moreover, schools and the community in which they reside are dealing with multiple, interrelated concerns, such as poverty, child development, literacy, violence, crime, safety, substance abuse, housing, and employment. A potent approach requires multifaceted and collaborative efforts.

The goal is to maximize mutual benefits, including better student progress, positive socialization of the young, higher staff morale, improved use of resources, an enhanced sense of community, community development, and more. In the long run, the aims are to strengthen students, schools, families, and neighborhoods.

Currently, school outreach to the community has a highly limited focus. Policy and related funding initiatives mostly support efforts to link community social services and physical and mental health services to schools. After school programs also involve community providers. In addition, some schools recruit volunteers and solicit other forms of resource contributions, as well as encouraging positive votes for school-related ballot measures. The downside of such well-meaning outreach is that it narrows thinking about transforming student and learning supports and about the role and functions of school-community collaboration.

WHAT RESOURCES ARE IN THE COMMUNITY?

Researchers have mapped a wide range of community entities whose missions overlap that of the local schools (see Exhibit 7.1). Districts/schools need to consider outreach to the full range of resources that exist, especially in neighborhoods where poverty reigns.

Exhibit 7.1
Appreciating the Range of Community Resources for Outreach

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)

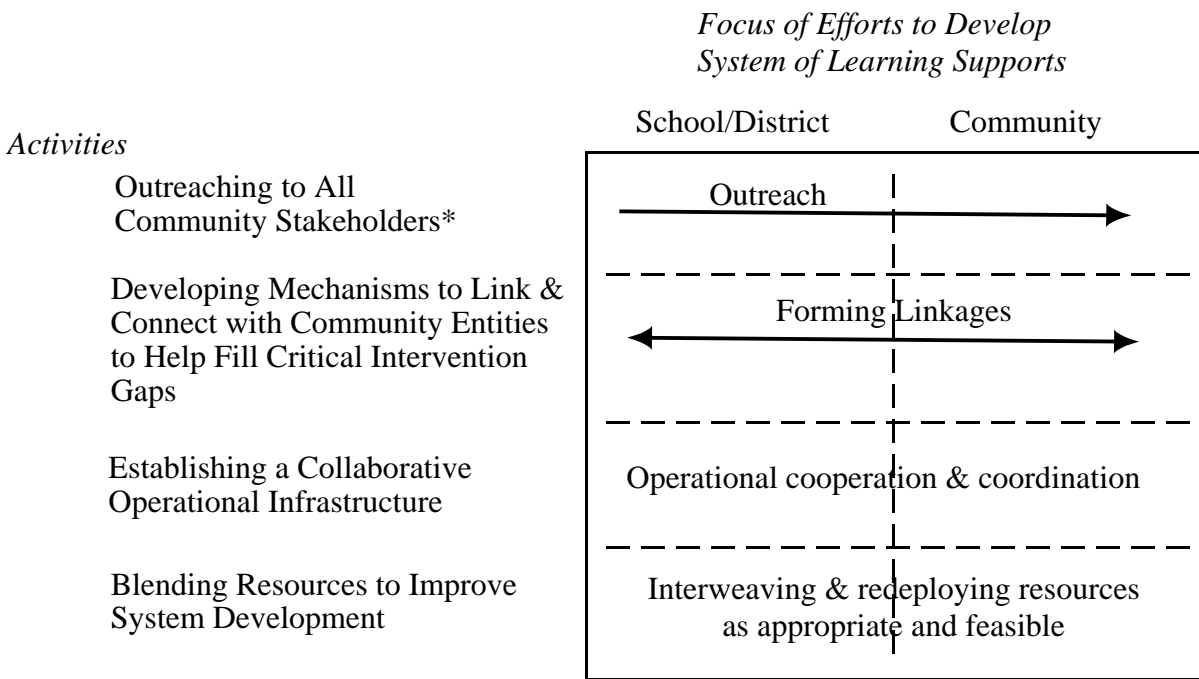*Media*
    (e.g., newspapers, TV & radio, local assess cable)

Family members, local residents, senior citizens groups

School/district efforts to enhance community connections can encompass four types of activities: (1) outreaching to a broad range of community entities, (2) developing immediate links and connections with community resources that can help fill critical intervention gaps for addressing shared problems, (3) establishing an effective operational infrastructure for a school-community collaborative and (4) blending/weaving/redeploying school and community resources where feasible to help with system development (see Exhibit 7.2).

In practice, all four activities often are not pursued, especially when the focus is mainly on connecting a few community services to a school. However, all are vital in developing a unified and comprehensive system of student and learning supports.

Exhibit 7.2
Framework for Schools and Community Collaboration in Developing a Unified and Comprehensive System of Learning Supports

*Focus of Efforts to Develop
System of Learning Supports*

Activities

	School/District	Community
Outreaching to All Community Stakeholders*	Outreach →	
Developing Mechanisms to Link & Connect with Community Entities to Help Fill Critical Intervention Gaps	← Forming Linkages →	
Establishing a Collaborative Operational Infrastructure	Operational cooperation & coordination	
Blending Resources to Improve System Development	Interweaving & redeploying resources as appropriate and feasible	

*Outreach is to all available community resources and decision makers (e.g., those associated with public and private agencies, colleges and universities, artists and cultural institutions, businesses and professional organizations, and service, volunteer, faith-based organizations).

Note: Because community resources in many neighborhoods are sparse, a school-by-school approach often leads to inequities (e.g., the first school to contact an agency might tie up all that a given agency can bring to a school). Therefore, district leadership needs to (a) help develop mechanisms that connect a "family" of schools (e.g., a high school feeder pattern, schools in the same neighborhood) and (b) play a role in outreaching and connecting community resources equitably to schools. A family of schools also provides a good nucleus for creating a school-community collaborative (see discussion later in this chapter and in Part III).

Below are examples of strategies related to pursuing the activities highlighted in Exhibit 7.2.

Outreach to the Community:
- a social marketing campaign to inform and invite participation of all community stakeholders with respect to
  >district and school plans to work with the community to address barriers to
    student success and develop a cohesive and comprehensive system and
  >the variety of opportunities for involvement at schools

- interventions to (re)engage students and families who don't interact with the school on a regular basis (e.g., the disengaged, truants, dropouts)

- outreach to specific stakeholder groups to recruit a steady increase in the number of volunteers available to the schools

Developing Mechanisms to Link and Connect with Community Entities:
- using school improvement planning to include a focus on analyzing and filling critical gaps in efforts to develop a unified and comprehensive system of learning supports

- establishing and training a multi-school workgroup to focus on recruiting and equitably integrating individuals and agencies who have resources that can help fill critical gaps

Establishing a Formal Collaborative and Building an Operational Infrastructure:
- identifying community stakeholders who are interested in establishing a school-community collaborative

- formulating aims, short-term goals, and immediate objectives

- organizing participants into an effective operational infrastructure and establishing formal working agreements (e.g., MOUs) about roles and responsibilities

- forming and training workgroups to accomplish immediate objectives

- monitoring and facilitating progress

Blending Resources to Improve System Development:
- mapping school and community resources used to address barriers to student success

- analyzing resource use to determine redundancies and inefficiencies

- identifying ways resources can be redeployed and interwoven to meet current priorities

Analyses related to school improvement can use the framework in Exhibit 7.2 and the self-study survey in Appendix C to identify next steps for enhancing school-community connections. Immediate priorities usually involve establishing policy and operational mechanisms for (a) a broad based social marketing outreach campaign aimed at connecting with a wide range of community entities and initiating work with those who indicate interest and (b) exploring the feasibility of building a school-community collaborative.

Social Marketing Outreach and Initiating Community Engagement

A social marketing campaign can begin simply with a press release, website and email announcements, and circulars distributed through local businesses and agencies. The initial focus is on informing the community about the positive work at the school and letting them know about the need and opportunities for community involvement.

Social marketing and outreach are ongoing processes. One facet involves prioritizing and strategically focusing on specific entities. Common priorities stress establishing ongoing working relationships with

- sources from which a multifaceted volunteer pool can be recruited (Review Exhibit 6.4 and see Exhibit 7.3 for the many ways volunteers can help at schools. Note: While home involvement can fill some volunteer roles and functions, adding the wider range of talents found throughout the community helps fill many gaps and broadens perspectives about community engagement.)

- community agencies that can fill critical gaps in supports for transitions (e.g., after school programs) and student and family special assistance (e.g., social services and physical and mental health)

- a wide range of community resources that can provide learning opportunities (It is a truism that learning is neither limited to what is formally taught nor to time spent in classrooms and at school; anyone in the community might be a contributing teacher and mentor who provides learning opportunities, such as service learning, internships, job-shadowing.)

Social marketing also can be directed at students and families who don't interact with the school on a regular basis, such as truants, dropouts, uninvolved families (See Chapter 9 for discussion of the type of special assistance and accommodations required to re-engage the disconnected.)

> Multifaceted and authentic outreach to engage the community convey the message that schools are not islands. Opening up school sites as places where the community can engage in learning, recreation, enrichment, and connect with services they need can accelerate the impact of social marketing and outreach. Combining school and community resources heightens feasibility for opening up on-campus opportunities. Over time, the impact of these efforts can enhance school climate and lead to schools becoming the heart of the community.

<div style="border: 3px solid red;">

Exhibit 7.3
    The Many Roles for Volunteers in the Classroom and Throughout the School

I. Welcoming and Social Support

    A. In the Front Office
            1. Greeting and welcoming
            2. Providing information to those who come to the front desk
            3. Escorting guests, new students/families to destinations on the campus
            4. Orienting newcomers

    B. Staffing a Welcoming Club
            1. Connecting newly arrived parents with peer buddies
            2. Helping develop orientation and other information resources for newcomers
            3. Helping establish newcomer support groups

II. Working with Designated Students in the Classroom

    A. Helping to orient new students

    B. Engaging disinterested, distracted, and distracting students

    C. Providing personal guidance and support for specific students in class to help them stay focused and engaged

III. Providing Additional Opportunities and Support in Class and on the Campus as a Whole – including helping develop and staff additional

    A. Recreational activity

    B. Enrichment activity

    C. Tutoring

    D. Mentoring

IV. Helping Enhance the Positive Climate Throughout the School – including Assisting with "Chores"

    A. Assisting with Supervision in Class and Throughout the Campus

    B. Contributing to Campus "Beautification"

    C. Helping to Get Materials Ready

</div>

Toward Developing a School-Community Collaborative

With a view to establishing an effective school-community collaborative, the early priority is to create a workgroup charged with developing an operational infrastructure for the collaborative. As the prototype illustrated in Exhibit 7.4 indicates, mechanisms are needed to provide oversight, leadership, capacity building, and ongoing support as the collaborative plans and implements strategic actions. Establishing such an infrastructure requires translating policy into authentic agreements about shared mission, vision, decision making, priorities, goals, roles, functions, resource allocation, redeployment, and enhancement, strategic implementation, evaluation, and accountability.

A guidebook is available for establishing a productive collaborative (see *School-Community Partnerships: A Guide* – http://smhp.psych.ucla.edu/pdfdocs/guides/schoolcomm.pdf .)

Exhibit 7.4

Prototype of a School-Community Collaborative Operational Infrastructure[1]

Paid Staff
for carrying out daily
functions/tasks
(e.g., an Executive
Director and an
assistant)

Steering Group
(e.g., drives the initiative, uses
political clout to solve problems)

Who should be at the table?
schools[2] - community[3] - families[4]

Collab.
Body

Ad Hoc Work Groups
for pursuing *process* functions/tasks
(e.g., mapping, capacity building, social
marketing)

Standing Work Groups
for pursuing *programmatic*
functions/tasks
(e.g., instruction, learning
supports, governance, community
organization, community development)

[1]Connecting the resources of schools, families, and a wide range of community entities through a formal collaborative facilitates developing a unified, comprehensive, and equitable system for addressing barriers to learning. Effectiveness, efficiencies, and economies of scale can be achieved by connecting a "family" (or complex) of schools (e.g., a high school and its feeder schools, schools in the same neighborhood). In a small community, the feeder pattern often is the school district.

[2]*Schools* = formal institutions responsible for formal education (e.g., pre-K, elementary, secondary, higher education entities). The intent is to interweave the resources of these institutions with community entities.

[3]*Community entities* = the many resources (public and private money, facilities, human and social capital) that can be brought to the table (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 in the community.

[4]*Families* = representatives of all families in the community (not just representatives of organized family advocacy groups). The intent is to mobilize all the human and social capital represented by family members and other home caretakers of the young.

Interest in connecting school and community resources is growing at an exponential rate. A temporary connection often is established in the wake of a crisis or to address a particular problem. In the long-run, however, school-community connections must be driven by a comprehensive vision about the shared role schools, communities, and families can play in strengthening youngsters, families, schools, and neighborhoods. Such a vision encompasses safe schools and neighborhoods, positive development and learning, personal, family, and economic well-being, and more.

While outreach to make informal linkages is relatively simple, establishing major long-term formal working relationships is not easy. Such connections require formal and institutionalized systemic changes to enable sharing of a wide spectrum of responsibilities and resources.

From the perspective of transforming student and learning supports, we caution against *limiting* school-community connections to co-locating a few service agencies on a few school sites. Such an approach tends to downplay what is needed to effectively address barriers to learning and teaching and undervalues the role of existing school resources and other human and social capital found in homes and communities. Remember that increasing access to a few more services is only one facet of developing a unified and comprehensive system for enhancing equity of opportunity.

For more specific examples of ways to enhance *Community Involvement and Engagement*, see the self-study survey in Appendix C. (Also accessible at http://smhp.psych.ucla.edu/pdfdocs/toolsforpractice/communityoutreachsurvey.pdf**)**

For Free and Easily Accessed Online Resources Related to
Community Involvement and Engagement

See our Center's Quick Finds on

Community Outreach for Involvement and Support
    >http://smhp.psych.ucla.edu/qf/commoutreach.htm

Collaboration - School, Community, Interagency; community schools
    >http://smhp.psych.ucla.edu/qf/p1201_01.htm

Also see related topics listed on the Quick Find menu
    >http://smhp.psych.ucla.edu/quicksearch.htm

Can you define collaboration for me?   *Sure! Collaboration is an unnatural act between nonconsenting adults.*

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**Building and
Maintaining Effective
Collaboratives**

*Systemic changes
are essential . . .*

*and this requires
policy buy-in
and leadership*

From a policy perspective, efforts must be made to guide and support the building of collaborative bridges connecting school, family, and community. For schools not to marginalize such efforts, the initiative must be fully integrated with school improvement plans. There must be policy and authentic agreements. Although formulation of policy and related agreements take considerable time and other resources, their importance cannot be overemphasized. Failure to establish and successfully maintain effective collaboratives probably is attributable in great measure to proceeding without the type of clear, high level, and long-term policy support that ends the marginalization of initiatives to connect families-communities-schools.

Given that all involved parties are committed to building an effective collaboration, the key to doing so is an appreciation that the process involves significant systemic changes. Such an appreciation encompasses both a vision for change and an understanding of how to effect and institutionalize the type of systemic changes needed to build an effective collaborative infrastructure. The process requires changes related to governance, leadership, planning and implementation, and accountability. For example:

- Existing governance must be modified over time. The aim is shared decision making involving school and community agency staff, families, students, and other community representatives.

- High level leadership assignments must be designated to facilitate essential systemic changes and build and maintain family-community-school connections.

- Mechanisms must be established and institutionalized for analyzing, planning, coordinating, integrating, monitoring, evaluating, and strengthening collaborative efforts.

Evidence of appropriate policy support is seen in the adequacy of funding for *capacity building* to (a) accomplish desired system changes and (b) ensure the collaborative operates effectively over time. Accomplishing systemic changes requires establishment of temporary facilitative mechanisms and providing incentives, supports, and training to enhance commitment to and capacity for essential changes. Ensuring effective collaboration requires institutionalized mechanisms, long-term capacity building, and ongoing support.

19

Creating Readiness for Collaboration and New Ways of Doing Business

Matching motivation and capabilities. Success of efforts to establish an effective collaborative depends on stakeholders' motivation and capability. Substantive change is most likely when high levels of positive energy 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. This calls for strategies that establish and maintain an effective match with the motivation and capabilities of involved parties.

Motivational readiness. 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). Sufficient time *must* be spent creating motivational readiness of key stakeholders and building their capacity and skills.

And 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.

A note of caution. In marketing new ideas, it is tempting to accentuate their promising attributes and minimize complications. For instance, in negotiating agreements for school connections, school policy makers frequently are asked simply to sign a memorandum of understanding, rather than involving them in processes that lead to a comprehensive, informed commitment. Sometimes they agree mainly to obtain extra resources; sometimes they are motivated by a desire to be seen by constituents as doing *something* to improve the school. This can lead to premature implementation, resulting in the form rather than the substance of change.

Building from Localities Outward

In developing an effective collaborative, an infrastructure of organizational and operational mechanisms at all relevant levels are required for oversight, leadership, capacity building, and ongoing support (e.g., see version of Exhibit on next page). Such mechanisms are used to (a) make decisions about priorities and resource allocation, (b) maximize systematic planning, implementation, maintenance, and evaluation, (c) enhance and redeploy existing resources and pursue new ones, and (d) nurture the collaborative. At each level, such tasks require pursuing a proactive agenda.

An effective family-community-school 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.

Exhibit – About Collaborative Infrastructure

*Basic Collaborative Infrastructure**

steering group
(e.g., drives the initiative, uses
political clout to solve problems)

staff work group**
for pursuing *operational*
functions/tasks
(e.g., daily planning,
implementation, & eval.)

Collab.
Body

ad hoc work groups
for pursuing *process* functions/tasks
(e.g., mapping, capacity building,
social marketing)

standing work groups
for pursuing *programmatic*
functions/tasks
(e.g., instruction, learning
supports, governance, community
organization, community develop.)
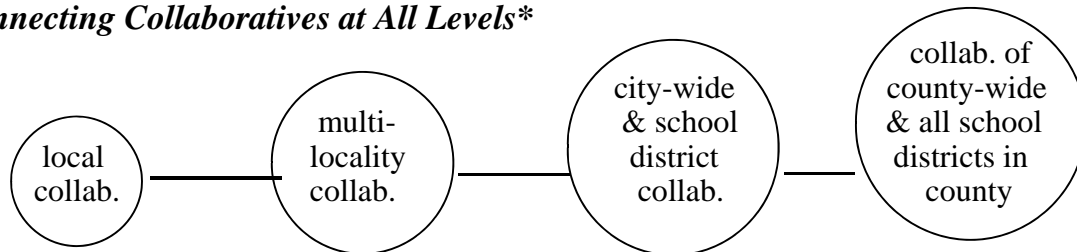
Who should be at the table?
>families[1]
>schools[2]
>communities[3]

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

*Connecting Collaboratives at All Levels**

local
collab.

multi-
locality
collab.

city-wide
& school
district
collab.

collab. of
county-wide
& all school
districts in
county

*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 (or "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.

[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.

Mechanisms

Family-school-community collaborations require development of a well-conceived infrastructure of mechanisms that are appropriately sanctioned and endorsed by governing bodies. Besides basic resources, key facets of the infrastructure are designated leaders (e.g., administrative, staff) and work group mechanisms (e.g., resource- and program-oriented teams).

At the most basic level, the focus is on connecting families and community resources with one school. At the next level, collaborative connections may encompass a cluster of schools (e.g., a high school and its feeder schools) and/or may coalesce several collaboratives to increase efficiency and effectiveness and achieve economies of scale. Finally, "system-wide" (e.g., district, city, county) mechanisms can be designed to provide support for what each locality is trying to develop.

Steering mechanism

All collaboratives need a core team who agree to steer the process. These must be competent individuals who are highly motivated – not just initially but over time. The complexity of collaboration requires providing continuous, personalized guidance and support to enhance knowledge and skills and counter anxiety, frustration, and other stressors. This entails close monitoring and *immediate* follow-up to address problems.

A resource-oriented collaborative body for a local school & neighborhood

Local collaborative bodies should be oriented to enhancing and expanding resources. This includes such functions as reducing fragmentation, enhancing cost-efficacy by analyzing, planning, and redeploying resources, and then coordinating, integrating, monitoring, evaluating, and strengthening ongoing systemic organization and operations. Properly constituted with school, home, and community representatives, such a group develops an infrastructure of work teams to pursue collaborative functions. To these ends, there must be (a) adequate resources (time, space, materials, equipment) to support the infrastructure, (b) opportunities to increase ability and generate a sense of renewed mission, and (c) ways to address personnel turnover quickly so new staff are brought up to speed. Because work or task groups usually are the mechanism of choice, particular attention must be paid to increasing levels of competence and enhancing motivation of all stakeholders for working together. More generally, stakeholder development spans four stages: orientation, foundation-building, capacity-building, and continuing education.

*A multi-locality
collaborative*

Because adjoining localities have common concerns, they may have programmatic activity that can use the same resources. Many natural connections exist in catchment areas serving a high school and its feeder schools. For example, the same family often has children attending all levels of schooling at the same time. In addition, some school districts and gencies already pull together several geographically-related clusters to combine and integrate personnel and programs. Through coordination and sharing at this level, redundancy can be minimized and resources can be deployed equitably and pooled to reduce costs.

Toward these ends, a multi-locality collaborative can help (a) coordinate and integrate programs serving multiple schools and neighborhoods, (b) identify and meet common needs for stakeholder development, and (c) create linkages and enhance collaboration among schools and agencies. Such a group can provide a broader-focused mechanism for leadership, communication, maintenance, quality improve-ment, and ongoing development of a comprehensive continuum of programs and services. With respect to linking with community resources, multi-locality collaboratives are especially attractive to community agencies that often don't have the time or personnel to link with individual schools.

One natural starting point for local and multi-locality collaboratives are the sharing of need-assessments, resource mapping, analyses, and recommendations for addressing community-school violence and developing prevention programs and safe school and neighborhood plans.

*System-wide...
mechanisms to
steer collaborative
efforts & support
capacity building*

At the system-wide level, the need is for policy, guidance, leadership, and assistance to ensure localities can establish and maintain collaboration and steer the work toward successful accomplishment of desired goals. Development of system-wide mechanisms should reflect a clear conception of how each supports local activity. Key at this level is system-wide leadership with responsibility and accountability for maintaining the vision, developing strategic plans, supporting capacity building, and ensuring coordination and integration of activity among localities and system-wide. Other functions at this level include evaluation, encompassing determination of the equity in program delivery, quality improvement reviews of all mechanisms and procedures, and review of results.

A Team for System Development and to Manage Resources

Most school health and human service programs (as well as compensatory and special education programs) are developed and function in relative isolation of each other. Available evidence suggests this produces fragmentation which, in turn, results in waste and limited efficacy. National, state, and local initiatives aimed at increasing coordination and integration of community services are just beginning to direct school policy makers to a closer look at school-owned services. At the same time, school practitioners are realizing that since they can't work any harder, they must work smarter. For some, working smarter translates into new strategies for system development (including coordinating, integrating, and redeploying resources). Such efforts are reflected in new (a) processes for mapping and analyzing resources and needs and (b) mechanisms for system development, resource coordination, and enhancement. (Space precludes discussing the topic here, but all efforts to work smarter obviously can be enhanced through appropriate use of advanced technology.)

The literature on system development makes it clear that a first step in countering fragmentation involves "mapping" resources by identifying what exists at a site (e.g., clarifying programs, personnel, services that are in place to support students, families, and staff). A comprehensive form of "needs assessment" is generated as resource mapping is paired with surveys of the unmet needs of students, their families, and school staff.

Based on analyses of what is available, effective, and needed, strategies can be formulated for filling critical gas and enhancing resources. These focus on (a) better ways to use existing resources and (b) outreach to link with additional resources at other schools, district sites, and in the community. (The process of outreach to community agencies is made easier where there is policy and organization supporting school-community collaboration. However, actual establishment of formal connections remains complex and is becomes more difficult when publicly-funded community resources dwindle.)

Perhaps the most valuable aspect of mapping and analyzing resources is that the products provide a sound basis for system development, improving cost-effectiveness, and ending the marginalization of student and learning supports. In schools and community agencies, there is acknowledged redundancy stemming from ill-conceived policies and lack of coordination. These facts do not translate into evidence that there are pools of unneeded personnel; they simply suggest there are resources that can be used in different ways to address unmet needs. Given that additional funding for reform is hard to come by, such redeployment of resources is the primary answer to the ubiquitous question: *Where will we find the funds?*

An example of a mechanism designed to reduce fragmentation and enhance resource availability and use (with a view to enhancing cost-efficacy) is seen in the concept of a *learning supports development leadership.* Creation of such a team at school and district levels provides mechanisms for starting to weave together existing school and community resources and encourage services and programs to function in an increasingly cohesive way.

A learning supports leadership team differs from teams created to review individual students (such as a student study team or a teacher assistance team). That is, its focus is not on specific cases, but on system development and clarifying resources and their best use. In doing so, it

<div align="right">(cont.)</div>

provides what often is a missing mechanism for developing, managing, and enhancing *a unified, comprehensive, and equitable system* to address barriers to learning and teaching and re-engage disconnected students. For example, this type of mechanism can be used to weave together school resources focused on such problems as on-campus violence, substance abuse, depression, and eating disorders. Such a team can be assigned responsibility for (a) mapping and analyzing activity and resources with a view to improving coordination, (b) ensuring there are effective systems for referral, case management, and quality assurance, (c) guaranteeing appropriate procedures for effective management of programs and information and for communication among school staff and with the home, and (d) exploring ways to redeploy and enhance resources – such as clarifying which activities are nonproductive and suggesting better uses for the resources, as well as reaching out to connect with additional resources in the school district and community.

Although a learning supports leadership team might be created solely around psychosocial programs, such a mechanism is meant to bring together representatives of all major programs and services supporting a school's instructional component (e.g., guidance counselors, school psychologists, nurses, social workers, attendance and dropout counselors, health educators, special education staff, bilingual program coordinators). This includes representatives of any community agency that is significantly involved at the school. It also includes the leadership of one of the site's administrators, and the energies and expertise of regular classroom teachers, non-certificated staff, parents, and older students. Where creation of "another team" is seen as a burden, existing teams can be asked to broaden their scope. Teams that already have a core of relevant expertise, such as student study teams, teacher assistance teams, and school crisis teams, have demonstrated the ability to extend their focus to resource coordination.

Properly constituted, trained, and supported, a learning supports leadership team can complement 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 enhancing healthy development. Having at least one representative from the team (e.g., an adminstrative leader for learning supports) on the school's governing and planning bodies helps ensure system development and that essential programs and services are maintained, improved, and increasingly integrated with classroom instruction.

Local Schools Working Together

To facilitate resource coordination and enhancement among a complex or family of schools (e.g., a high school and its feeder middle and elementary schools), a learning supports leadership *council* can be established by bringing together representatives of each school's learning supports leadership *team*. Such a complex of schools needs to work together to garner economies of scale, provide a mechanism to help ensure cohesive and equitable deployment of resources, and because schools in a given locale try to establish linkages with the same community resources. Also, they often are concerned with the same families (e.g., a family often has children at each level of schooling).

I. Collaboration: Working together to Enhance Impact:
   B. Building and Maintaining Effective Collaboratives (cont.)

The Exhibit on the next page illustrates the various linkages described above. While the emphasis in the Exhibit is on the types of mechanisms that schools can establish, the eventual goal is to create effective and long-lasting school, home, and community collaboratives. Such collaboratives bring together the range of stakeholders needed to braid resources and facilitate the type of systemic changes that can maximize the likelihood of sustaining valued initiatives. Well-designed Learning Supports Leadership Councils can meld with an existing neighborhood collaborative or can be the foundation for establishing such a collaborative if none exists.

Connecting Resources Across a Family of Schools, a District, and Community-Wide

High Schools

Middle Schools

Elementary Schools

Learning Supports Leadership Team
Learning Supports Leadership Team
Learning Supports Leadership Team
Learning Supports Leadership Team
Learning Supports Leadership Team
Learning Supports Leadership Team

Learning Supports Leadership Team
Learning Supports Leadership Team
Learning Supports Leadership Team
Learning Supports Leadership Team
Learning Supports Leadership Team
Learning Supports Leadership Team

Learning Supports Leadership *Council*

Learning Supports Leadership *Council*

School District Management & Governance Bodies

Community Resources Planning & Governing Agents

For more on details on rethinking the *operational infrastructure*, see

http://smhp.psych.ucla.edu/pdfdocs/infrastructure/anotherinitiative-exec.pdf
http://smhp.psych.ucla.edu/pdfdocs/studentsupport/toolkit/aidk.pdf

For examples of job descriptions for administrative leader for learning supports, see http://smhp.psych.ucla.edu/toolkitb4.htm

For an aid in mapping and analyzing resources, see
http://smhp.psych.ucla.edu/summit2002/tool%20mapping%20current%20status.pdf

Addressing Barriers to Collaboration

The following excerpts from Kathleen Cotton's (1997) article entitled "School Community Collaboration" in *Prevention Forum* still ring true.

When discussing the need for school-community collaboration to address a range of problems experienced by students and families, two subjects require attention: the nature of the problems themselves; and the current inability of human services organizations, including schools, to respond adequately to these problems.

... Probably the single most significant factor motivating schools and community groups (social service agencies, business, neighborhood associations, etc.). To collaborate on behalf of children and families in need is the recognition that resources are scarce and unlikely to become more plentiful in the near future.

... Dunkle and Nash (1989) assert that "developing integrated relationships" is about as easy as dancing with an octopus, with each agency or organization a 'tentacle.'" In looking at a high risk teenager:
- An educator sees a *student* in danger of dropping out
- A health-care provider sees *a patient* at risk of having a low-birth weight baby
- A social-service worker sees *a client* who may require public assistance
- A juvenile justice worker sees a potential *runaway*
- An employment specialist sees a *trainee* needing multiple services
- A community or religious leader sees the troubled *offspring* of a personal friend

These "categorical or discrete definitions of problems," (SEDL 1990b) result in programs being given responsibility to address only one problem area or one audience. This, in turn, gives rise to several related barriers to collaboration, as identified by Gold (1985):

- *Organizational autonomy.* Collaboration poses a challenge to the organizational habit of setting priorities without regard to the perspectives of other organizations

- *Singular perspectives.* The tendency of each organization to have a very limited view of clients and their needs can impede collaboration, as does the use of jargon that is not meaningful outside each organization's narrow confines

- *Differing mandates and procedures.* These can lead to a lack of understanding and/or respect for the constraints under which other organizations must operate

- *Competing/Adversary relationships.* Social service organizations may be in competition with one another for clients or funds, be charged with evaluating each other's performance, or have a history of friction with one another -- all of which can be expected to interfere with collaboration

"No one," observes Weiss (1984), "will admit that he or she *does not want cooperation* or a working partnership."

Even when schools, social service agencies, and other organizations overcome their initial resistance to sharing information and pooling at least some of their resources, other barriers often present themselves. Guthrie and Guthrie (1990), Pathfinder (1987), Robinson (1985), and Weiss (1984) invite potential collaborators to watch out for pitfalls such as:

- *No action; talk only.* Gatherings become gripe sessions and participants fail to stay focused on tangible results

- *Agency representatives create another layer of bureaucracy* by forming an interagency "czar" or "superagency," and the focus on service delivery is lost

- *One agency dominates* proceedings, leaving other members feeling they have little influence

- Some members' participation is characterized by *competitiveness, cynicism, a preference for working alone, and/or hidden agendas* for personal advancement

- Efforts may be afflicted by the "Terrible T's" -- Tradition, Turf, (lack of) Trust, (lack of) Time, and Trouble (feeling it is too much trouble to overcome complacent and resistant attitudes)

[Excerpts from Kathleen Cotton's (1997) article entitled "School Community Collaboration" in *Prevention Forum*]

(continued from previous page)

Of the prospect of true collaboration-- among social service agencies and between these agencies and the schools -- Sylvester (1990) writes: It sounds remarkably simple. It is remarkably difficult. In order to provide ... comprehensive and cohesive services to at-risk children and their families ... the school and social service bureaucracies must overcome years of differing traditions. People who have never worked together must form teams. Schools must open their doors to outsiders, and social service agencies must relinquish control of some activities. Then, in order to make it all work on a large-scale basis. there must be fundamental institutional changes in the way programs are funded, in the way professionals are trained, and in the way outcomes of education and social service programs are measured.

 . . .

What makes for a sense of community? Chavis, et al. (1986) and McMillan and Chavis (1986) tell us that a sense of community is derived from perceptions of membership, influence, fulfillment of needs, and emotional connection.

Membership includes a sense of boundaries, emotional safety, sense of belonging, and personal investment. These aspects work together to determine who is part of the community and who is not.

Influence refers both to the community's power to affect the individuals and organizations within it and to the power of the individuals and organizations to affect decisions which have community wide impact.

Fulfillment of needs refers to the members of a community having values and needs that are similar enough to one another that the community as a whole can organize its need-meeting activities and set priorities.

Shared emotional connection pertains to the capacity of a community to give its members positive ways to interact, important events to share, positive means of resolving events, and opportunities to honor members.

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More About Barriers to Collaboration

Marginalization is the fundamental barrier

Collaboration is a developing process . . .

it must be continuously nurtured, facilitated, and supported, and special attention must be given to overcoming institutional & personal barriers

*B*arriers to collaboration arise from a variety of institutional and personal factors. A fundamental institutional barrier to family-community-school collaboration is the degree to which efforts to establish such connections are *marginalized* in policy and practice. The extent to which this is the case can be seen in how few resources most schools deploy to build effective collaboratives.

Even when a collaboration is initiated, the matters addressed usually are marginalized. For example, many groups spend a great deal of effort on strategies for increasing client access to programs and services and reducing the fragmentation associated with piecemeal, categorically funded programs (e.g., programs to reduce learning and behavior problems, substance abuse, violence, school dropouts, delinquency, and teen pregnancy). However, problems of access and fragmentation stem from marginalization, and this barrier remains a major deterrent to successful collaboration.

Institutional barriers are seen when existing policy, accountability, leadership, budget, space, time schedules, and capacity building agendas are nonsupportive of efforts to use collaborative arrangements effectively and efficiently to accomplish desired results. Nonsupport may simply take the form of benign neglect. More often, it stems from a lack of understanding, commitment, and/or capability related to establishing and maintaining a potent infrastructure for working together and for sharing resources. Occasionally, nonsupport takes the ugly form of forces at work trying to actively undermine collaboration.

Examples of institutional barriers include:

- policies that mandate collaboration but do not enable the process by reconciling divergent accountability pressures that interfere with using resources optimally

- policies for collaboration that do not provide adequate resources and time for leadership and stakeholder training and for overcoming barriers to collaboration

- leadership that does not establish an effective infrastructure (including mechanisms such as a steering group and work/task groups)

- differences in the conditions and incentives associated with participation (including the fact that meetings usually are set during the work day and community agency and school participants salary usually is in effect during attendance, while family member are expected to volunteer their time)

On a personal level, barriers mostly stem from practical deterrents, negative attitudes, and deficiencies of knowledge and skill. These vary for different stakeholders but often include problems related to work schedules, transportation, childcare, communication skills, understanding of differences in organizational culture, accommodations for language and cultural differences, and so forth.

Other barriers arise because of inadequate attention to factors associated with systemic change. How well an innovation such as a collaborative is implemented depends to a significant degree on the personnel doing the implementing and the motivation and capabilities of participants. Sufficient resources and time must be redeployed so they can learn and carry out new functions effectively. And, when newcomers join, well-designed procedures must be in place to bring them up to speed.

Collaboration requires creative problem-solving

In bringing schools and community agencies to the same table, it is a given that there will be problems related to the differences in organizational mission, functions, cultures, bureaucracies, and accountabilities. Considerable effort will be required to teach each other about these matters. When families are at the table, power differentials are common, especially when low-income families are involved and are confronted with credentialed and titled professionals. Working collaboratively requires overcoming these barriers. This is easier to do when all stakeholders are committed to learning to do so. It means moving beyond naming problems to careful analysis of why the problem has arisen and then moving on to creative problem solving.

Another Type of Barrier

When collaboratives are not well-conceived and carefully developed, they generate additional barriers to their success. In too many instances, so-called collaborations have amounted to little more than collocation of community agency staff on school campuses. Services continue to function in relative isolation from each other, focusing on discrete problems and specialized services for individuals and small groups. Too little thought has been given to the importance of meshing (as contrasted with simply linking) community services and programs with existing school owned and operated activity. The result is that a small number of youngsters are provided services that they may not otherwise have received, but little connection is made with families and school staff and programs. Because of this, a new form of fragmentation is emerging as community and school professionals engage in a form of parallel play at school sites. Moreover, when "outside" professionals are brought into schools, district personnel may view the move as discounting their skills and threatening their jobs. On the other side, the "outsiders" often feel unappreciated. Conflicts arise over "turf," use of space, confidentiality, and liability. School professionals tend not to understand the culture of community agencies; agency staff are rather naive about the culture of schools.

Overcoming Barriers Related to Differences

Participants in a collaborative, must be sensitive to a variety of human and institutional differences and learn strategies for dealing with them. These include differences in

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

In addition, there are differences related to power, status, and orientation. And, for many, the culture of schools and community agencies and organizations will differ greatly from other settings where they have lived and worked. Although workshops and presentations may be offered in an effort to increase specific cultural awareness, what can be learned in this way is limited, especially when one is in a community of many cultures. There also is a danger in prejudgments based on apparent cultural awareness. It is desirable to have the needed language skills and cultural awareness; it is also essential not to rush to judgement.

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 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, 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 those we are trying to help; it is a travesty when such barriers interfere with helpers working together effectively. Conflicts among collaborative members detract from accomplishing goals and contribute in a major way to "burn out."

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 (a) prejudgments that a person is bad because of an observed difference and (b) 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 involves finding ways to counter negative prejudgments (e.g., to establish the credibility of those who have been prejudged) and demonstrate there is something of value to be gained from working together.

Build *Working* Relationships

To be effective in working with others, you need to build a positive *working* relationship around the **tasks** at hand. Necessary ingredients 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.

A Note of Caution

Without careful planning, implementation, and capacity building, collaborative efforts will rarely live up to the initial hope. For example, formal arrangements for working together often take the form of committees and meetings. To be effective, such sessions require thoughtful and skillful facilitation. Even when they begin with great enthusiasm, poorly facilitated working sessions quickly degenerate into another meeting, more talk but little action, another burden, and a waste of time. This is particularly likely to happen when the emphasis is mainly on the unfocused mandate to "collaborate," rather than on moving an important vision and mission forward through effective working relationships.

Most of us know how hard it is to work effectively with a group. Staff members can point to the many committees and teams that drained their time and energy to little avail. Obviously true collaboration involves more than meeting and talking. The point is to work in ways that produce the type of actions that result in effective programs. For this to happen, steps must be taken to ensure that committees, councils, and teams are formed in ways that maximize their effectiveness. This includes providing them with the training, time, support, and authority to carry out their role and functions. It is when such matters are ignored that groups find themselves meeting but going nowhere. (The Exhibit on the following pages offers some guidelines for planning and facilitating effective meetings.

Exhibit

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.

Planning and Facilitating Effective Meetings (cont.)

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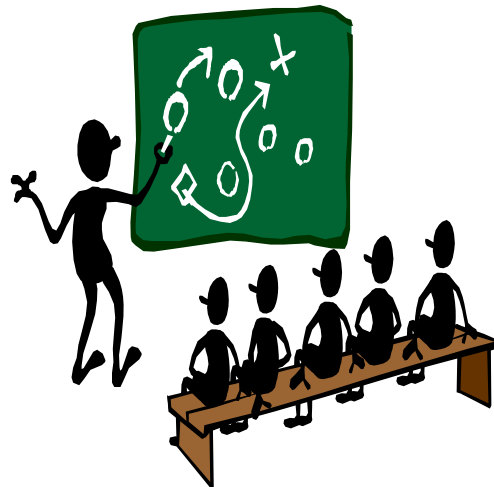
Accounting for Cultural, Racial, and
Other Significant Individual and Group Differences

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. ... Programs will not accomplish any of (their) central missions unless ... (their approach reflects) knowledge, sensitivity, and a willingness to learn.

<div style="text-align: right">Family and Youth Services Bureau, U.S. Department of Health and Human Services</div>

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 has 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.

<div style="text-align: right">(Cont.)</div>

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.

Our Center has a variety of resources *Cultural Concerns in Addressing Barriers to Learning.*
For example, see the links to resources we have developed and to many from other resources
around the world by goiing to the following Quick Finds:

>*Cultural Competence and Related Issues* –
http://smhp.psych.ucla.edu/qf/culturecomp.htm

>*Diversity, Disparities, and Promoting Health Equitably* –
http://smhp.psych.ucla.edu/qf/diversity.htm

>*Immigrant Students and Mental Health* –
http://smhp.psych.ucla.edu/qf/immigrantkids.htm

>*Mental Health in Schools in Other Countries* –
http://smhp.psych.ucla.edu/qf/mhinternational.html

>*Native American Students* – http://smhp.psych.ucla.edu/qf/nativeamericans.htm

Getting From Here to There

T he following have been highlighted as some basic reasons to underscore so that those exploring the idea of collaborating with schools at least understand why they it is worth making the effort:

- *Health and social service agencies.* Staff of these agencies greatly value their connections with the schools. Since virtually all young people pass through the schools, schools can provide human service agency staff access to the community's young people and, through them, to families experiencing needs . . . .

- *Colleges and universities.* Higher education representatives want to avoid expenditures for remediation and develop-mental courses. . . . Also, they stand to increase their enrollments if they assist in the development of capable high school graduates who value further education. Work with the public schools enables higher education personnel to keep abreast of educational issues and developments...

- *Parents and community members.* These individuals naturally want to assure a wide range of life choices and economic self-sufficiency for the community's young people. In the case of older community members, offering support and sharing experience with young people can increase their sense of worth and productivity . . . .

- *Business and industry.* Business representatives have cited . . . their desire for a competitive workforce and for a pool of qualified potential employees. According to a 1987 National Alliance of Business report, "The second most often cited reason for a business selecting a particular location is the quality of the schools." Other motivators include a desire to reduce taxes and welfare costs by reducing unemployment . . . .

- *Members of neighborhood organizations* typically support close relationships with the schools as a means of increasing community cohesiveness and gaining support and involvement for community projects (Cotton, 1997).

Because building and maintaining effective collaboratives requires systemic changes, the process of getting from here to there is a bit complex. The process often requires knowledge and skills not currently part of the professional preparation of those called on to act as change agents. For example, few school or agency 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 develop and institutionalize the type of mechanisms required for effective collaboration.

Substantive change requires paying considerable attention to enhancing both stakeholder motivation and capability and ensuring there are appropriate supports during each phase of the change process. It is essential to account for the fullness of the processes required to build authentic agreements and commitments. These involve strategies that ensure there is a common vision and valuing of proposed innovations and attention to relationship building, clarification of mutual expectations and benefits, provision for rapid renegotiation of initial agreements, and much more. Authentic agreements require ongoing modification that account for the intricacies and unanticipated problems that characterize efforts to introduce major innovations into complex systems. Informed commitment is strengthened and operationalized through negotiating and renegotiating formal agreements among various

stakeholders. Policy statements articulate the commitment to the innovation'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.

Change in the various organizational and familial cultures represented in a collaborative evolve slowly in transaction with specific organizational and programmatic changes. Early in the process the emphasis needs to be 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 this readiness involves tasks designed to produce fundamental changes in the culture that characterizes schools and community agencies, while accommodating cultural differences among families.

We are confronted with insurrmountable opportunities
Pogo

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. 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 efforts to change, such as a governance mechanism that adopts strategies for improving organizational health, (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) taking steps to institutionalize support mechanisms that maintain and evolve changes and generate periodic renewal. An understanding of concepts espoused by community psychologists such as empowering settings and enhancing a sense of community also can make a critical difference. Such concepts stress the value of open, welcoming, inclusive, democratic, and supportive processes.

(cont.)

39

Mechanisms for Systemic Change

It helps to think in terms of four key *temporary* systemic change mechanisms. These are: (1) a site-based *steering* mechanism to guide and support systemic change activity, (2) a *change agent* 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, (3) a *change team* (consisting of key stakeholders) that has responsibility for coalition building, implementing the strategic plan, and maintaining daily oversight (including problem solving, conflict resolution, and so forth), and (4) *mentors* and *coaches* who model and teach specific elements of new approaches. Once systemic changes have been accomplished effectively, all temporary mechanisms are phased out – with any essential new roles and functions assimilated into regular structural mechanisms.

Steering the change process

When it comes to connecting with schools, systemic change requires shifts in policy and practice at several levels (e.g., a school, a "family" of schools, a school district). Community resources also may require changes at several levels. 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 among 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 & change team

Building on what is known about organizational change, it is well to designate and properly train a change agent to facilitate the process of getting from here to there). During initial implementation of a collaborative infrastructure, tasks and concerns must be addressed expeditiously. To this end, an trained agent for change plays a critical role. One of the first functions is to help form and train a change *team*. Such a team (which includes various work groups) consists of personnel representing specific programs, administrators, union reps, and staff and other stakeholders skilled in facilitating problem solving and mediating conflicts. This composition provides a blending of agents for change who are responsible and able to address daily concerns.

Mentors & 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. The designated change agent is among the first providing mentorship. The change team must also helps identify mentors who have relevant expertise. 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.

**A Bit More About
the Functions of a
Change Agent
and Change Team**

Regardless of the nature and scope of the work, a change agent's core functions require an individual whose background and training have prepared her/him to understand

- *the specific systemic changes (content and processes) to be accomplished* (In this respect, a change agent must have an understanding of the fundamental concerns underlying the need for change.)

- how to work with a site's stakeholders as they restructure their programs.

As can be seen in the Exhibit on the following pages, 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 "cross disciplinary training")

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

- formative evaluation and rapid problem solving

- ongoing support

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 the initial implementation stage, 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.

Exhibit

Examples of Task Activity for a Change Agent

1. Infrastructure tasks

  (a) Works with governing agents to further clarify and negotiate agreements about
- policy changes
- participating personnel (including administrators authorized to take the lead for systemic changes)
- time, space, and budget commitments

  (b) Identifies several representatives of stakeholder groups who agree to lead the change team

  (c) Helps leaders to identify members for change, program, and work teams and prepare them to carry out functions

2. Stakeholder development

  (a) Provides general orientations for governing agents

  (b) Provides leadership coaching for site leaders responsible for systemic change

  (c) Coaches team members (e.g., about purposes, processes)

> Examples: At a team's first meeting, the change agent offers to provide a brief orientation (a presentation with guiding handouts) and any immediate coaching and specific task assistance team facilitators or members may need. During the next few meetings, the change agent and/or coaches might help with mapping and analyzing resources. Teams may also need help establishing processes for daily interaction and periodic meetings.

  (d) Works with leaders to ensure presentations and written information about infrastructure and activity changes are provided to all stakeholders

3. Communication (visibility), coordination, and integration

  (a) Determines if info on new directions (including leadership and team functions and membership) has been written-up and circulated. If not, the change agent determines why and helps address systemic breakdowns; if necessary, effective processes are modeled.

  (b) Determines if leaders and team members are effectively handling priority tasks. If not, the change agent determines why and helps address systemic breakdowns; if necessary, effective processes are modeled.

Exhibit (cont.)

Examples of Task Activity for a Change Agent

(c) Determines if change, program, and work teams are being effective
(and if not, takes appropriate steps).
>For example, determines if resources have been
>• mapped
>• analyzed to determine
>>how well resources are meeting desired functions
>>how well programs and services are coordinated/integrated (with special
>>emphasis on maximizing cost-effectiveness and minimizing redundancy)
>>what activities need to be improved (or eliminated)
>>what is missing, its level of priority, and how and when to develop it
(d) Determines the adequacy of efforts made to enhance communication to and among
stakeholders and, if more is needed, facilitates improvements (e.g., ensures that
resource mapping, analyses, and recommendations are written-up and circulated)
(e) Determines if systems are in place to identify problems related to functioning
of the infrastructure and communication systems. If there are problems,
determines why and helps address any systemic breakdowns
(f) Checks on visibility of reforms and if the efforts are not visible, determines why
and helps rectify

4. Formative Evaluation and rapid problem solving

(a) Works with leaders and team members to develop procedures for formative
evaluation and processes that ensure rapid problem solving
(b) Checks regularly to be certain there is rapid problem solving. If not, helps
address systemic breakdowns; if necessary, models processes.

5. Ongoing Support

(a) Offers ongoing coaching on an "on-call" basis
For example: informs team members about ideas developed by others or provides expertise
related to a specific topic they plan to discuss.
(b) At appropriate points in time, asks for part of a meeting to see how things are
going and (if necessary) to explore ways to improve the process
(c) At appropriate times, asks whether participants have dealt with longer-range
planning, and if they haven't, determines what help they need
(d) Helps participants identify sources for continuing capacity building.

Remember:
   Effective family-community-school collaboration requires a cohesive set of policies

Cohesive policy will only emerge if current policies are revisited to reduce redundancy and redeploy school and community resources that are used ineffectively. Policy must

- move existing *governance* toward shared decision making and appropriate degrees of local control and private sector involvement – a key facet of this is guaranteeing roles and 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 maintain changes over time

- delineate high level *leadership assignments* and underwrite essential *leadership/management training* re. 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 family-school-community connections and related systems (focusing on analyzing, planning, coordinating, integrating, monitoring, evaluating, and strengthening ongoing efforts)

- provide adequate funds for *capacity building* related to both accomplishing desired system changes and enhancing intervention quality over time – a key facet of this is a major investment in staff recruitment and development using well-designed, and technologically sophisticated strategies for dealing with the problems of frequent turnover and diffusing information updates; another facet is an investment in technical assistance at all levels and for all aspects and stages of the work

- use a sophisticated approach to *accountability* that initially emphasizes data that can help develop effective approaches for collaboration in providing interventions and a results-oriented focus on short-term benchmarks and that evolves into evaluation of long-range indicators of impact. (As soon as feasible, move to technologically sophisticated and integrated management information systems.)

Such a strengthened policy focus allows stakeholders to build the continuum of interventions needed to make a significant impact in addressing the safety, health, learning, and general well being of all youngsters through strengthening youngsters, families, schools, and neighborhoods.

Clearly, major systemic changes are not easily accomplished. The many steps and tasks described throughout this work call for a high degree of commitment and relentlessness of effort.

The rationale for producing this packet is to increase the likelihood of achieving desired results. At the same time, awareness of the myriad political and bureaucratic difficulties involved in making major institutional changes, especially with sparse financial resources, leads to the caution that the type of approach described here is not a straightforward sequential process. Rather, the work of establishing effective collaboratives emerges in overlapping and spiraling ways.

The success of collaborations in enhancing school, family, and community connections is first and foremost in the hands of policy makers. If increased connections are to be more than another desired but underachieved aim of reformers, policymakers must understand the nature and scope of what is involved. They must deal with the problems of marginalization and fragmentation of policy and practice. They must support development of appropriately comprehensive and multifaceted school-community collaborations. They must revise policy related to school-linked services because such initiatives are 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, these initiatives help perpetuate an orientation that overemphasizes individually prescribed services, results in fragmented interventions, and undervalues the human and social capital indigenous to every neighborhood. This is 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.

Some Ways to Begin

(1) Adopting 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) Writing 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) Establishing 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) Starting 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) Developing 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) Moving 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 (The action plan will identify general functions and key tasks to be accomplished, necessary systemic changes, and how to get from here to there in terms of who carries out specific tasks, how, by when, who monitors, etc.)

For more on getting from here to there, see Making it Happen – Part III and also see the Appendices in *Transforming Student and Learning Supports: Developing a Unified, Comprehensive, and Equitable System* – http://smhp.psych.ucla.edu/pdfdocs/book/book.pdf

Some Aids and Tools

On the following pages are a few additional tools for use in establishing effective collaboratives.

- *Benchmarks for Monitoring and Reviewing Process and Progress*

- *Readiness Survey* – designed to

    >inform families, schools, and community stakeholders about the initiatives and broad collaborative 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 stakeholders with information that allows them to plan meetings

- *Gap Analyses and Building Consensus*

- *Mapping and Analyzing the Current Status of School-Community Resources and Collaboration*

Benchmarks for Monitoring and Reviewing Process and Progress

I. Creating Readiness	Date Started	Date Completed	Current Status
A. Steering committee established			
B. Orienting Stakeholders			
(1) 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 _____ _____			
(2) Opportunities for interchange are provided & additional in-depth presentations are made to build a critical mass of consensus for systemic changes			
(3) Ongoing evaluation of interest is conducted until a critical mass of stakeholders indicate readiness to pursue a policy commitment			
(4) Ratification and sponsorship are elicited from a critical mass of stakeholders			
C. Establishing Policy Commitment & Framework			
(1) Establishment of a high level policy and assurance of leadership commitment			
(2) Policy is translated into an inspiring vision, a framework, and a strategic plan that phases in changes using a realistic time line			
(3) Policy is translated into appropriate resource allocations (leadership, staff, space, budget, time)			
(4) Establishment of incentives for change (e.g., intrinsically valued outcomes, expectations for success, recognitions, rewards)			
(5) Establishment of procedural options that reflect stakeholder strengths and from which those expected to implement change can select strategies they see as workable			
(6) Establishment of an infrastructure and processes that facilitate change efforts			
(7) Establishment of a change agent position			
(8) Establishment of temporary infrastructure mechanisms for making systemic changes			
(9) Initial capacity-building – developing essential skills among stakeholders to begin implementation			

(10) Benchmarks are used to provide feedback on progress and to make necessary improvements in the process for creating readiness			

II. Start-up and Phase-in	**Date Started**	**Date Completed**	**Current Status**
A. Change Team members identified			
B. Leadership training for all who will be taking a lead in developing the collaborative			
C. Development of a phase-in plan			
D. Preparation for doing gap analysis >problem ("needs") assessment and analysis >mapping and analysis of resources & assets >identification of challenges & barriers			
E. Gap analysis, recommendations, & priority setting			
F. Strategic planning			
G. Action planning			
H. Establishment of ad hoc work groups			
I. Establishment of mechanisms for >communication, >problem solving >social marketing			
J. Outreach to other potential participants			

III. Institutionalization (maintaining/sustaining/ creative renewal)	**Date Started**	**Date Completed**	**Current Status**
A. Ratification by policy makers of long-range strategic plan of operation			
B. Establishment of regular budget support			
C. Leadership positions and infrastructure mechanisms incorporated into operational manuals			
D. Formation of procedural plans for ongoing renewal			

An overarching benchmark involves the monitoring of the implementation of evaluation plans.

49

Readiness Survey

CONNECTING FAMILIES-SCHOOL-COMMUNITY

Connecting the resources of families, schools, and the community is essential to enhancing community-wide safe and healthy development strategies. To move forward, we need your ideas:

1. We plan to have a series of meetings with various groups to share current activities and discuss ways these activities can be enhanced and expanded. 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?

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.

Gap Analyses and Building Consensus

A step toward longer-range strategic planning involves revisiting the "big picture" vision and what is currently taking place with the aim of clarifying significant gaps.

Such a gap analysis provides another basis for highlighted, in context, the need to have a long-range plan for developing a full continuum of systemic interventions and maintaining and renewing them.

Tool:

Gap Analysis/Building Consensus

Clarifying the Gap Between the 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.

Understanding the Big Picture: *Shared Hopes for the Future of Our Children,*
Families, Schools, and Neighborhood

Process (if done by group): "We have invited you to this session to help us better understand the local 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. *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."

- 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) What is the current vision for strengthening youngsters, families, schools, and the neighborhood?

(2) Where are things currently in terms of policy and practice priorities for accomplishing this?

(3) How does current vision/mission/policy address barriers to youngsters' learning and development?

(4) What is the nature and scope of the gap between the vision and the current state of affairs?

Mapping and Analyzing the Current Status of School-Community Resources and Collaboration

A basic function of any collaborative is to map and analyze activities and resources as a basis for understanding what exists and what doesn't and then formulating recommendations about priorities and resource (re)allocation. Such understanding contributes to a "big picture" perspective of assets and provides a basis for making decisions about next steps. Such mapping is done over time and in stages. In addition, as discussed on the following page, when mapping and analyses of such matters are done in depth, the processes become a major intervention for systemic change.

Included on the pages following the brief discussion are the following surveys (designed as self-study guides) and other tools to aid mapping, analysis, and resource management:

Family-Community-School Collaboration: Self-Study Surveys

>**Overview of Areas for Collaboration**

>**Overview of System Status for Enhancing Collaboration**

>**Collaboration to Strengthen the School**

>**Collaboration to Strengthen the Neighborhood**

The surveys are not evaluation tools. They afford a stimulus for discussion, analysis, reflection, and planning. Collaboratives can use them to identify specific areas for working together to enhance benefits for all stakeholders.
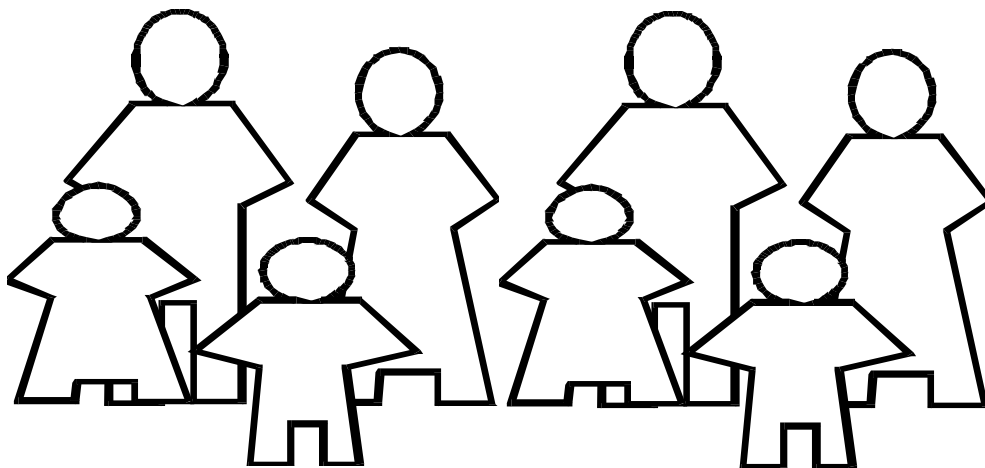
> To do this work, you need to be a combination
> of Mother Theresa, Machiavelli, and a CPA.
> Schorr, 2003

About Resource Mapping & Management

Careful use of resources is always a stated value. As funds tighten, it is an essential reality. In such times, it is especially the case that no policy maker wants to be seen as supporting programs that use resources poorly. And, at any time, it is to society's benefit when resources are used well and wisely.

Over the next few years, every school and community agency will be called upon to maximize the use of what in most cases are too limited resources. One focus will be on reducing fragmentation and redundancy stemming from ill-conceived policies and lack of coordination. Another focus will be on eliminating interventions that are clearly not effective. In doing all this, the opportunity should arise to redeploy resources to address unmet needs.

Redeployment, of course, should not be an ad hoc process. Analyses of what is already is in place and effective and what is needed provides the soundest basis not only for deployment and redeployment of resources, but also for formulating strategies to link and integrate with additional resources at other schools, district sites, and in the community. Such analyses also are critical to efforts to enhance intervention effectiveness, garner economies of scale, and thus enhance cost-effectiveness and efficiency.

Good analyses depend on amassing good data. With respect to resources for addressing barriers to learning, development, and teaching, this means detailing resources that are in place to support the strengthening students, families, schools, and neighborhoods.

Students, families, communities, and schools have a variety of resources (e.g., real estate, social and financial capital, programs and services) to address barriers and promote development. For example, in schools, there are programs and services ranging from Title I programs, through extra help for low performing students, to accommodations for special education students. In some places, the personnel and programs to support learning may account for as much as 30% of the resources at a school. However, because policy makers and school and community leaders have dealt with barriers to learning and development in such a marginalized manner, resources are deployed in fragmented and often wasteful and ineffective ways. The result of the marginalization is that improvement efforts continue to pay little attention to the need for and potential impact of rethinking how these resources can be used more effectively and how to prioritize planning to fill critical gaps.

Improving resource use and impact begins by (a) taking stock of the resources already being expended and (b) considering how these valuable resources can be used to the greatest effect. These matters involve a variety of functions and tasks we encompass under the rubric of *mapping and managing resources.*

Carrying out the functions and tasks related to mapping and managing resources is, in effect, an intervention for systemic change. For example:

- A focus on these matters highlights the reality that the school's current infrastructure probably requires some revamping to ensure the necessary functions are carried out (e.g., a resource-oriented mechanism focusing on resources is needed).

- By identifying and analyzing existing resources (e.g., personnel, programs, services, facilities, budgeted dollars, social capital), awareness is heightened of their value and potential for playing a major role in helping students engage and re-engage in learning at school.

- Analyses also lead to sophisticated recommendations for deploying and redeploying resources to improve programs, enhance cost-effectiveness, and fill programmatic gaps in keeping with well-conceived priorities.

- The products of mapping activities can be invaluable for "social marketing" efforts designed to show teachers, parents, and other community stakeholders all that the school is doing to address barriers to learning and promote healthy development

Enhanced appreciation of the importance of resource mapping and management may lead to a desire to accomplish the work quickly. Generally speaking, it is not feasible to do so because mapping usually is best done in stages and requires constant updating. Thus, most schools will find it convenient to do the easiest forms of mapping first and, then, build the capacity to do in-depth mapping over a period of months. Similarly, initial analyses and management of resources will focus mostly on enhancing understanding of what exists and coordination of resource use. Over time, the focus is on spread-sheet type analyses, priority recommendations, and braiding resources to enhance cost-effectiveness, and fill programmatic gaps.

See the outline on the next page,From: *Resource Mapping and Management to Address Barriers to Learning: An Intervention for Systemic Change.* (a TA packet available from the Center for Mental Health in Schools – downloadable at no cost from http://smhp.psych.ucla.edu)

About Resource Mapping and Management (cont.)

A. Why mapping resources is so important.

- To function well, every system has to fully understand and manage its resources. Mapping is a first step toward enhancing essential understanding, and done properly, it is a major intervention in the process of moving forward with enhancing systemic effectiveness.

B. Why mapping both school *and* community resources is so important.

- Schools and communities share
  - goals and problems with respect to children, youth, and families
  - the need to develop cost-effective systems, programs, and services to meet the goals and address the problems.
  - accountability pressures related to improving outcomes
  - the opportunity to improve effectiveness by coordinating and eventually integrating resources to develop a full continuum of systemic interventions

C. What are resources?

- Programs, services, real estate, equipment, money, social capital, leadership, infrastructure mechanisms, and more

D. What do we mean by mapping and who does it?

- A representative group of informed stakeholder is asked to undertake the process of identifying
  - what currently is available to achieve goals and address problems
  - what else is needed to achieve goals and address problems

E. What does this process lead to?

- Analyses to clarify gaps and recommend priorities for filling gaps related to programs and services and deploying, redeploying, and enhancing resources
- Identifying needs for making infrastructure and systemic improvements and changes
- Clarifying opportunities for achieving important functions by forming and enhancing collaborative arrangements
- Social Marketing

F. How to do resource mapping

- Do it in stages (start simple and build over time)
  - a first step is to clarify people/agencies who carry out relevant roles/functions
  - next clarify specific programs, activities, services (including info on how many students/families can be accommodated)
  - identify the dollars and other related resources (e.g., facilities, equipment) that are being expended from various sources
  - collate the various policies that are relevant to the endeavor
- At each stage, establish a computer file and in the later stages create spreadsheet formats
- Use available tools (see examples in this packet)

G. Use benchmarks to guide progress related to resource mapping

From: *Resource Mapping and Management to Address Barriers to Learning: An Intervention for Systemic Change.* (a TA packet available from the Center for Mental Health in Schools – downloadable at no cost from http://smhp.psych.ucla.edu)

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Family-Community-School Collaboration: Self-Study Surveys

Formal efforts to create collaboratives to strengthen youngsters, families, schools, and neighborhoods, 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 family/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 collaborations, 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 self-study surveys are used by stakeholders to map and analyze the current status of their efforts with a view to enhancing their work.

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. Such instruments also can be used as a form of program quality review.

In analyzing, the status of their collaboration, 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.

NOTE: These surveys undergo continuous improvement based on use and feedback. For the latest versions go to
http://smhp.psych.ucla.edu/pdfdocs/surveys/set1.pdf

>Overview of Areas for Collaboration

Indicate the status of collaboration 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	___	___	___	___

>Overview of System Status for Enhancing Collaboration

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 family-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 family-
   school-community partnerships?   DK 1 2 3 4 5

3. With respect to each entity involved in the family-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 family-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 family-school-community partnerships?   DK 1 2 3 4 5

6. Are there written descriptions available to give all stakeholders
   regarding current family-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

>Overview of System Status for Enhancing Collaboration (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
   Family-school-community partnerships?   DK 1 2 3 4 5

9. With respect to enhancing family-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 Collaborative Participants

For improving the school

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

_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____
_____   _____

>Collaboration to Strengthen the School

Indicate the status of partnerships between a given school or complex of schools and community stakeholders 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_____	___	___	___	___

>Collaboration to Strengthen the Neighborhood

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

Please indicate all items that apply

(name of school(s): _____)

Partnerships to improve

1. youth development programs

	Yes	Yes but more of this is needed	No	If no, is this something you want?
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

	Yes	Yes but more of this is needed	No	If no, is this something you want?
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

	Yes	Yes but more of this is needed	No	If no, is this something you want?
a. school-based/linked clinics for primary care	___	___	___	___
b. immunization clinics	___	___	___	___
c. communicable disease control programs	___	___	___	___
d. 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

	Yes	Yes but more of this is needed	No	If no, is this something you want?
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_____

II. Using Data and Sharing Information

A. Using Data for Planning, Implementation, & Evaluation

B. Examples of How Data are Being Used

C. Legal Issues Involved in Sharing Info

Using Data for Planning, Implementation, & Evaluation

All collaboratives need data to enhance the quality of their efforts and to monitor their outcomes in ways that promote appropriate accountability. While new collaboratives often do not have the resources for extensive data gathering, sound planning and implementation requires that some information be amassed and analyzed. And, in the process, data can be collected that will provide a base for a subsequent evaluation of impact. All decisions about which data are needed should reflect clarity about how the data will be used.

Whatever a collaborative's stated vision (e.g., violence prevention), the initial data to guide planning are those required for making a "gap" analysis. Of concern here is the gap between what is envisioned for the future and what exists currently. Doing a gap analysis requires understanding

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

- the nature of the problem(s) to be addressed (e.g., a "needs" assessment and analysis, including incidence reports from schools, community agencies, demographic statistics)

- available resources/assets (e.g., "assets" mapping and analysis; school and community profiles, finances, policies, programs, facilities, social capital)

- challenges and barriers to achieving the collaborative's vision.

The data for doing a gap analysis may already have been gathered and accessible by reviewing existing documents and records (e.g., previous needs assessments, resource directories, budget information, census data, school, police, hospital, and other organization's reports, grant proposals). Where additional data are needed, they may be gathered using procedures such as checklists, surveys, semi-structured interviews, focus group discussions, and observations.

In connection with planning and implementation, it is important to establish a set of benchmarks and related monitoring procedures. An example of such a set of benchmarks is offered in the previous section on aids and tools.

(cont.)

63

As soon as feasible, the collaborative should gather data on its impact and factors that need to be addressed to enhance impact. The focus should be on all arenas of impact – youngsters, families, schools, and neighborhoods (people, programs, and systems). The first emphasis should be on direct indicators related to the collaborative's goals and objectives. For example, if the primary focus is on violence reduction, then violence indicators are of greatest interest (e.g., incidence reports from schools, police, emergency rooms). The needs assessment data gathered initially provide a base level for comparison. In addition, if any positive changes in the schools, neighborhood, and homes have contributed to a reduction in violence, data should be gathered on these and on the role of the collaborative in bringing about the changes (see Exhibit on the next page).

Effective use of data maximizes use of resources

In planning the evaluation, it is essential to clarify what information is most relevant. This involves specifying intended outcomes and possible unintended outcomes. It also involves plans for assessing how well processes have been implemented and where improvements are needed.

Obviously, a well-designed information management system can be a major aid (e.g., storing and providing data on identified needs and current status of individuals and resources). As schools and agencies in the community enhance their systems, the collaborative should participate in the discussions so that helpful data are included and properly safeguarded. In this respect, advanced technology can play a major role (e.g., a computerized and appropriately networked information management system). Moreover, such systems should be designed to ensure data can be disaggregated during analysis to allow for appropriate baseline and subgroup comparisons (e.g., to make differentiations with respect to demographics, initial levels of motivation and development, and type, severity, and pervasiveness of problems).

Exhibit

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

Using Data for Social Marketing

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. All data on the collaborative's positive impact needs to be packaged and widely shared as soon as it is available. 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 aim, which 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).

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.

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

One caution: Beware of thinking of social marketing as just an event. It is tempting to plan a "big day" to bring people together to inform, share, involve, and celebrate. This can be a good thing if it is planned as one facet of a carefully thought ought strategic plan. It can be counterproductive if it is a one-shot activity that drains resources and energy and leads to a belief that "We did our social marketing."

Examples of How Data are Being Used

Because of the pressure on schools to improve student achievement, there are continuous calls for collaboratives to demonstrate they can help schools meet their accountabilities. A 2002 synthesis of the literature by Anne Hendersen and Karen Mapp illustrates one effort to make the case..*

*Published by the National Center for Family and Community Connections with Schools Southwest Educational Development Laboratory, 211 East Seventh Street, Austin, Texas 78701-3281 – Phone: 800.476.6861, Fax: 512.476.2286, Web: www.sedl.org/connections/ Email: connections@sedl.org

II. C

Legal Issues Involved in Sharing Info

Confidentiality is a major concern in collaboratives involving various community agencies and schools. It is both an ethical and a legal concern. All stakeholders must value privacy concerns and be aware of legal requirements to protect privacy. (See the Fact Sheet on the Family Educational Rights and Privacy Act on the next page.) At the same time, certain professionals have the legal responsibility to report endangering and illegal acts. Such reporting requirements naturally raise concerns about confidentiality and privacy protections.

Clearly, there is a dilemma. On the one hand, care must be taken to avoid undermining privacy (e.g., confidentiality and privileged communication); on the other hand, appropriate information should be available to enable schools and agencies and other collaborative members to work together effectively. It is tempting to resolve the dilemma by reasserting that all information should be confidential and privileged. Such a position, however, ignores the fact that failure to share germane information can seriously hamper efforts to help. For this reason, concerns about privacy must be balanced with a focus on how to facilitate appropriate sharing of information.

Responsible professionals want to avoid both surrendering the confidentiality surrounding their relationships and overreacting to necessary limitations on confidences

In trying to combat encroachments on privileged communication, interveners' recognize that the assurance of confidentiality and legal privilege are meant to protect privacy and help establish an atmosphere of safety and trust. At the same time, it is important to remember that such assurances are not meant to encourage anyone to avoid sharing important information with significant others. Such sharing often is essential to helping and to personal growth. (It is by learning how to communicate with others about private and personal matters that those being helped can increase their sense of competence, personal control, and interpersonal relatedness, as well as their motivation and ability to solve problems.)

In working with minors and their families it is important to establish the type or working relationship where they learn to take the lead in sharing information when appropriate. This involves enhancing their motivation for sharing and empowering them to share information when it can help solve problems. In addition, steps are taken to minimize the negative consequences of divulging confidences.

In working as a collaborative, it is essential for agencies and schools to share information: see example of authorization form on the last page of this section.

A Guide to the Family Educational Rights and Privacy Act

[By Michael Medaris, Program Manager, OJJDP's Missing and Exploited Children's Program]

For many children, growing up in America isn't easy. Some are abused or neglected. Others lack proper nutrition or positive role models to emulate. Many live in impoverished neighborhoods that are rife with drugs and violent crime. Children are confronted daily with negative influences that jeopardize their opportunity to grow into healthy and productive citizens. The threats to children vary widely and no one agency has the expertise to effectively respond to all of them.

Growing concerns regarding delinquency, particularly violent juvenile crime, have prompted communities across America to reassess their juvenile justice systems. Many communities are broadening their juvenile justice system by including educators in the development of multiagency, interdisciplinary responses to at-risk and delinquent youth as part of this effort.

To implement comprehensive strategies for addressing juvenile delinquency, state and local agencies need the cooperation of schools in sharing information about students. Teachers can play a vital role in ensuring the delivery of needed interventions for troubled youth at the time such action is likely to be effective. While state laws generally govern the disclosure of information from juvenile court records, a federal law – the Family Educational Rights and Privacy Act (FERPA)—restricts disclosure of information from a student's education records. Enacted in 1974 and amended seven times since then, FERPA protects the privacy interests of parents and students by restricting the unwarranted disclosure of personally identifiable information from education records. Noncompliance with FERPA can result in the loss of federal education funds.

FERPA broadly defines an education record to include all records, files, documents, and other materials, such as films, tapes, or photographs, containing information directly related to a student that an education agency maintains. School officials should consider any personal student information to be an education record unless a statutory exception applies.

In 1994, the Improving America's Schools Act established what is known as the state law juvenile justice system exception. With that legislation, Congress recognized that schools can have a crucial role in extended juvenile justice systems by authorizing states to enact legislation permitting disclosure of education records under certain circumstances. Under this exception, educators may disclose information from a student's record when all of the following conditions are met: (1) State law specifically authorizes the disclosure; (2) the disclosure is to a state or local juvenile justice system agency; (3) the disclosure relates to the juvenile justice system's ability to provide preadjudication services to a student; and (4) state or local officials certify in writing that the institution or individual receiving the information has agreed not to disclose it to a third party other than another juvenile justice system agency.

With parental consent, educators can disclose information from a juvenile's education record at any time. Absent parental consent, FERPA authorizes disclosure only under specified circumstances. The chart on the back of this fact sheet provides a handy summary of situations in which disclosure can be made.

For Further Information

A more indepth look at FERPA and its impact on information sharing can be found in *Sharing Information: A Guide to the Family Educational Rights and Privacy Act and Participation in Juvenile Justice Programs.* This 1997 document is the result of collaboration between the U.S. Department of Justice's Office of Juvenile Justice and Delinquency Prevention (OJJDP) and the U.S. Department of Education's Family Policy Compliance Office (FPCO). Free copies of the *Guide* are available from the Juvenile Justice Clearinghouse (JJC) at 1-800-638-8736 or OJJDP's Web page at www.ncjrs.org/ojjhome.htm. *Information Sharing and the Family Educational Rights and Privacy Act* (FS-9639), an OJJDP Fact Sheet, is also available from JJC and OJJDP's Web page.

LONGFELLOW ELEMENTARY SCHOOL   **Sample Form**
3610 Eucalyptus Avenue   (**English Version**)
Riverside, California 92507
Interagency Project SMART Program
Authorization to Release Information

We have many services here at Longfellow to help you and your family. To receive this help and to make sure that you get all the help you and your family needs we may need to share information. I,_____
_____hereby authorize release of all records, documents and information on my son, my daughter, and/or my family which is or may come on file with the agencies here at Longfellow Elementary School/Project SMART.

The following agencies may or will provide the services:
  - The Youth Service Center   - GAIN Worker
  - Mental Health Counselor   - AFDC Eligibility Technicianr
  - Public Health Nurses   - MediCal Technician
  - Public Health Van   - Day Care
  - Social Worker   - The Family Advocate
  - Psychologist   - School personnel
  - State Evaluator

I understand that the following information may be released to the above stated providers:
         1.The full name and other identifying information regarding my child and our family.
         2.Recommendations to other providers for further assistance.
         3.Diagnostic and assessment information including psychological and psychiatric evaluations, medical
           histories, educational and social histories. These evaluations may include some or all family
           members.

The purpose of this disclosure shall be to facilitate service delivery to my child(ren) and my family. I further understand that the information generated or obtained by the project can be shared with the agencies or providers that are a part of this project.

I also understand that this Authorization for Release of Information will be in effect for the duration of services provided to my child(ren) and my family and will expire upon the termination of the services. I understand I can revoke this consent at any time and this consent shall be reviewed annually.

I certify that I have read and understood the consent of this form.
     _____**Yes, I agree to sign.**   _____**No, I do not agree to consent.**

Please list all children attending Longfellow School.

_____   _____
Parent or Guardian Name (Please Print)   **Parent or Guardian Signature**

_____   _____   _____
Student's Name   **Room #**   **Authorized Project SMART Staff**

_____   _____   _____
Students Name   **Room #**   **Date**

_____   _____
Student's Name   **Room #**

III. Sustaining Collaboration and Enhancing Funding

A. Sustainability Conceived as a Set of Logical Stages
   and Steps

B. Funding

Sustainability Conceived as a Set of Logical Steps

A dictionary definition indicates that *to sustain* is

to keep in existence;   to maintain;

to nurture;   to keep from failing;   to endure

A nother 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.

Note:

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 come 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.

Although the phases of systemic change are rather self-evident, the intervention steps are less so. As a guide for those working on sustainability and system change, we have drawn on a range of models to delineate key steps related to the first two phases. Part II offers some specific tools and aids related to each step.

Below, we highlight 16 steps (organized into four "stages"). Remember, this 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. More important than any set of steps is building a cadre of stakeholders who are motivationally ready and able to proceed. Thus, an overriding concern in pursuing each of these steps is to do so in ways that enhance stakeholders' readiness to make necessary systemic changes. 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.

Stage 1: Preparing the Argument for Sustaining Valued Functions

The process begins by ensuring that advocates for sustaining a project's functions understand the "big picture" context in which such functions play a role . Of particular importance is awareness of prevailing and pending policies, institutional priorities, and their current status. All major sustainability efforts must be framed within the big picture context. Thus, the first four steps involve:

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

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

(3)   Clarifying the functions and accomplishments the project initiative has contributed to the big picture 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

Stage 2: Mobilizing Interest, Consensus, and Support among Key Stakeholders

(5)   Identifying champions for the functions and clarifying the mechanism(s) for bringing supporters together to work on sustainability

(6)   Clarifying cost-effective strategies for sustaining functions
(e.g., 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)

(cont.)

72

(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, school boards, etc.

Stage 3: 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 ongoing big picture context. These include:

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

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

(6)   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.

Stage 4: Proceeding with Specific Systemic Changes

At this juncture, the next steps to save threatened functions involve:

(12) Assessing readiness to proceed with specific systemic changes

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

(14) Anticipating barriers and how to handle them

(15) Negotiating initial agreements (e.g., memoranda of understanding)

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

Funding

The central principle of all good financial planning:

> A program's rationale should drive the search for financing.
> Financing may be the engine, but it should not be the driver.

Thus:

- Financial strategies should be designed to support the *best strategies* for achieving improved outcomes.

- Financial strategies that cannot be adapted to program ends should not be used.

Because it is unlikely that a single financing approach will serve to support an agenda for major system changes:

- Draw from the widest array of resources.

- Braid and blend funds.

Remember:

> Financing is an art, not a science.

What are major financing strategies to address barriers to learning?

- Integrating: Making functions a part of existing activity—no new funds needed

- Redeploying: Taking existing funds away from less valued activity

- Leveraging: Clarifying how current investments can be used to attract additional funds

- Budgeting: Rethinking or enhancing current budget allocations

Where to look for financing sources/initiatives?

- All levels—local/state/federal

- Public and private grants/initiatives

- Education categorical programs (Safe and Drug Free Schools, Title I, Special Educ.)

- Health/Medicaid funding (including early periodic screening, diagnosis, and treatment)

Enhancing Financing

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

Opportunities to Enhance Funding

- reforms that enable redeployment of existing funds away from redundant and/or ineffective programs

- reforms that allow flexible use of categorical funds (e.g., waivers, pooling of funds)

- health and human service reforms (e.g., related to Medicaid, TANF, S-CHIP) that open the door to leveraging new sources of MH funding

- accessing tobacco settlement revenue initiatives

- collaborating to combine resources in ways that enhance efficiency without a loss (and possibly with an increase) in effectiveness (e.g., interagency collaboration, public-private partnerships, blended funding)

- policies that allow for capturing and reinvesting funds saved through programs that appropriately reduce costs (e.g., as the result of fewer referrals for costly services)

- targeting gaps and leveraging collaboration (perhaps using a broker) to increase extramural support while avoiding pernicious funding

- developing mechanisms to enhance resources through use of trainees, work-study programs, and volunteers (including professionals offering pro bono assistance).

For More Information

See the Center Quick Find on

>Financing and Funding – http://smhp.psych.ucla.edu/qf/p1404_02.htm

One of the links there is to:

>*Surfin' for Funds* – http://smhp.psych.ucla.edu/pdfdocs/fundfish.pdf

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CONCLUDING COMMENTS

Effective family-community-school collaboration requires a cohesive set of policies. Cohesive policy will only emerge if current policies are revisited to reduce redundancy and redeploy school and community resources that are used ineffectively. Policy must

- move existing *governance* toward shared decision making and appropriate degrees of local control and private sector involvement – a key facet of this is guaranteeing roles and 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 maintain changes over time

- delineate high level *leadership assignments* and underwrite essential *leadership/management training* re. 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 family-school-community connections and related systems (focusing on analyzing, planning, coordinating, integrating, monitoring, evaluating, and strengthening ongoing efforts)

- provide adequate funds for *capacity building* related to both accomplishing desired system changes and enhancing intervention quality over time – a key facet of this is a major investment in staff recruitment and development using well-designed, and technologically sophisticated strategies for dealing with the problems of frequent turnover and diffusing information updates; another facet is an investment in technical assistance at all levels and for all aspects and stages of the work

- use a sophisticated approach to *accountability* that initially emphasizes data that can help develop effective approaches for collaboration in providing interventions and a results-oriented focus on short-term benchmarks and that evolves into evaluation of long-range indicators of impact. (As soon as feasible, move to technologically sophisticated and integrated management information systems.)

Such a strengthened policy focus allows stakeholders to build the continuum of interventions needed to make a significant impact in addressing the safety, health, learning, and general well being of all youngsters through strengthening youngsters, families, schools, and neighborhoods.

Clearly, major systemic changes are not easily accomplished. The many steps and tasks described throughout this work call for a high degree of commitment and relentlessness of effort.

The rationale for producing this packet is to increase the likelihood of achieving desired results. At the same time, awareness of the myriad political and bureaucratic difficulties involved in making major institutional changes, especially with sparse financial resources, leads to the caution that the type of approach described here is not a straightforward sequential process. Rather, the work of establishing effective collaboratives emerges in overlapping and spiraling ways.

The success of collaborations in enhancing school, family, and community connections is first and foremost in the hands of policy makers. If increased connections are to be more than another desired but underachieved aim of reformers, policymakers must understand the nature and scope of what is involved. They must deal with the problems of marginalization and fragmentation of policy and practice. They must support development of appropriately comprehensive and multifaceted school-community collaborations. They must revise policy related to school-linked services because such initiatives are 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, these initiatives help perpetuate an orientation that overemphasizes individually prescribed services, results in fragmented interventions, and undervalues the human and social capital indigenous to every neighborhood. This is 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.

Resources

For additional resources on working collaboratively at schools and for school-community collaboration, see the following Center Quick Finds:

>Collaboration - School, Community, Interagency; community schools – http://smhp.psych.ucla.edu/qf/p1201_01.htm

>Community Outreach for Involvement and Support – http://smhp.psych.ucla.edu/qf/commoutreach.htm

>Involving Stakeholders – http://smhp.psych.ucla.edu/qf/stakeholders.htm

>Parent/Home Involvement and Engagement in Schools – http://smhp.psych.ucla.edu/qf/homework.htm

>Classroom/School Climate/Culture – http://smhp.psych.ucla.edu/qf/environments.htm

>Volunteers in Schools – http://smhp.psych.ucla.edu/qf/volunteers.html