V. Getting from Here to There:
Systemic Change

- Four Major Phases of System Change
- Some Key Elements in Making System Changes
- Considerations Related to New Initiatives
- A Logic Model
- Understanding Barriers to Change
- Steps in Establishing a Learning Support Component
- First Steps for a School-Community Collaboration
- About Change Agents
- Social Marketing, Data, and Systemic Change
- Standards and Accountability
How do we get from here to there?

Is this your change process?
A system is defined here as:

A dynamic entity

comprised of interdependent parts

(sets of related or interacting variables)

which function together for a specific purpose

and often change over time.
Four Major Phases of System Change

• Creating Readiness

• Initial Implementation (start-up & phase-in)

• Institutionalization (maintenance, sustainability)

• Ongoing Evolution & Creative Renewal
Some Key Elements in Making System Changes

(1) SOCIAL MARKETING 101
(Simple messages - the rhetoric of the new - necessary, but insufficient)

(2) VISION & COMMITMENT
A Comprehensive, Multifaceted, and Integrated Approach to Address Barriers to Student Learning & Promoting Healthy Development

(3) LEADERSHIP & INFRASTRUCTURE
- Administrative leads
  >district (e.g., assistant superintendent)
  >school site administrative lead (principal, AP)
- Board of Education (e.g., subcommittee)
- Resource Teams/Councils (school, cluster/complex, district)
- Organization Facilitators/Change Agents

(4) RESOURCES
- redeployment of current expenditures
  >Title XI of ESEA (5% of ESEA dollars for coordinated services)
  >IDEA (1% of special education dollars for coordinated services)
  >other “compensatory” education dollars
  >safe and drug free school dollars
  >general funds for student support services
- better integration of
  >community resources (including post secondary institutions)
  >grants

(5) CAPACITY BUILDING (esp. time, space, inservice education)
- including state holders
- intensive efforts during first phases of change require extra support and use of temporary mechanisms to facilitate changes
- need to address the problem of turnover and newcomers

Major system change is not easy, but the alternative is promoting a very unsatisfactory status quo.
New initiatives: Considerations related to planning, implementing, sustaining, and going-to-scale

**NATURE & SCOPE OF FOCUS**

<table>
<thead>
<tr>
<th>Intervention/Program Prototype Development</th>
<th>Adoption/Adaptation of the Prototype at a Particular Site</th>
<th>System-Wide Replication/Scale-Up</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Marketing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vision &amp; Policy Commitment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Partnership Negotiation &amp; Leadership Designation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure Enhance/Develop. (e.g., mechanisms for governance, steering, operation, coordination)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resources — Redeployed &amp; New (e.g., time, space, funds)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capacity Building (especially development of personnel &amp; addressing personnel mobility)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Standards, Evaluation, &amp; Accountability</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**SOME KEY FACETS**

**PHASES OF THE CHANGE PROCESS**

- Creating Readiness
- Initial Implementation
- Institutionalization
- Ongoing Evolution/Creative Renewal
It takes more than designing a program model!

<table>
<thead>
<tr>
<th><strong>Program Model</strong></th>
<th><strong>Model for Systemic Change</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt; Builds on vision for what schools <em>should</em> be doing and accomplishing.</td>
<td>&gt; Builds on understanding of the process and problems of implementing and sustaining major changes in a system such as a school district and its schools.</td>
</tr>
<tr>
<td>&gt; Vision is spelled out as a set of operations.</td>
<td>&gt; Such understanding is spelled out as a set of operations (phases, steps, tasks).</td>
</tr>
<tr>
<td>&gt; For any of this to lead to the beginnings of systemic change, it is necessary for a critical mass of key stakeholders to share the vision and agree to the operations.</td>
<td>&gt; For change to be successful, a critical mass of key stakeholders to work for change and to have essential support and guidance throughout the process.</td>
</tr>
<tr>
<td>&gt; Efforts to establish such a critical mass can encounter many barriers (from individuals who see change as a threat; from the institutionalized system)</td>
<td>&gt; Efforts to establish and maintain such a critical mass almost always encounter barriers (from individuals who see change as a threat; from the institutionalized system).</td>
</tr>
<tr>
<td>&gt; Steps must be undertaken to deal with such barriers</td>
<td>&gt; Steps must be undertaken to deal with such barriers</td>
</tr>
</tbody>
</table>
Developing a Logic Model for Interventions to Strengthen Young People, Schools, Families, & Neighborhoods

(1) What is our vision and long-term aims?
(2) What are the existing resources that might be woven together to make better progress toward the vision?
(3) What general intervention functions and major tasks need to be implemented?
(4) What structure /strategies are needed to carry out the functions and tasks (including governance and resource management)?
(5) What are the implications for (re)deploying existing resources and requesting additional revenues?
(6) What systemic changes are needed and what is the plan for accomplishing these (e.g., rethinking policy about current reforms; leadership for change and other change agent mechanisms)
# Understanding Barriers to Change

## Individuals

Some may be reluctant/resistant because they have little motivation for change or may have a strong aversion to change (avoidance motivation).

**Basic motives:**

- to feel competent
- to feel self-determining
- to feel related to others

What is proposed may be viewed as providing little opportunity to enhance such feelings or as threat to such feelings.

## Systems

- The “proposed” vision is not understood or not adopted.
- The understanding of the processes and problems of system change is inadequate.
- Commitment of stakeholders is insufficient.
- Policies for adopting program model are not appropriately established.
- Policies to support system change are not appropriately established.
- Leadership for the program model is insufficient.
- Leadership (i.e., change agents) for the change process is insufficient.
- Capacity building is insufficient
- Stakeholder turnover is not handled effectively.
Steps in Establishing a Learning Support or Enabling Component at a School
At any site, key stakeholders and their leadership must understand and commit to restructuring; commitment must be reflected in policy statements and creation of an infrastructure that ensures the necessary leadership and resources.

**Orientation and Creating Readiness**

1) Build interest and consensus for developing the learning support (enabling) component

2) Introduce basic ideas to relevant groups of stakeholders

3) Establish a policy framework -- the leadership group at a school should make a policy commitment that adopts a comprehensive, multifaceted, and cohesive approach to enabling learning by addressing barriers to learning as a primary and essential component of school improvement

4) Identify a site leader (equivalent to the leader for the instructional component) to ensure policy commitments are carried out

**Start-up and Phase-in: Building an Infrastructure and Putting it to Work**

5) Establish and provide leadership training for a steering group and other change agents to guide component development

6) Formulate specific start-up and phase-in plans

7) Establish a site-based resource-oriented mechanism (e.g., a Resource Coordinating Team) and train those who staff it

8) Organize learning support activity into a delineated set of intervention arenas and develop standing work groups for each area to begin mapping and analyzing resources and formulating initial recommendations for enhancing intervention systems;
9) Refine school infrastructure so that learning supports (enabling) component is fully integrated with the instructional and management components

10) Develop ad hoc work groups to enhance component visibility, communication, sharing, and problem solving

11) Attempt to fill program/service gaps and pursue economies of scale through outreach designed to establish formal collaborative linkages with other schools in the feeder pattern and with district-wide and community resources

12) Establish a system for quality improvement and evaluation of impact

**Maintenance and Evolution: Toward Refinement, Increased Outcome Efficacy, and Creative Renewal**

13) Plan for maintenance

14) Develop strategies for maintaining momentum and progress

15) Generate creative renewal
What Are Some of the First Steps for a School-Community Collaborative?

(1) Adopting a Comprehensive Vision for the Collaborative

- Collaborative leadership builds consensus that the aim 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 “brief 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 ongoing 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.)
ABOUT CHANGE AGENTS

Change Agent & Catalytic Facets of Leadership Roles

• Promote commitment to vision and outcomes – (“social marketing” of broad vision from day one)

• Facilitate
   > initial agreements -- on program content, strategies, and system changes
   > ongoing refinement of agreements

• Facilitate initial implementation of program and systemic change

• Build Capacity -- coach, mentor, teach
  (create a good fit by matching motivation and capability)

• Ensure a focus on sustainability and scale-up

Adapted from Rust and Freidus (2001) Guiding School Change: The Role and Work of Change Agents, Teachers College Press.
CHANGE AGENTS: CHALLENGES & TENSIONS

• Where do the ideas come from? Is the change agent
  > Authoritative/Transmitting (Expertise) > Constructivist/Transacting (Shared Experience)
  > Creating a Vision > Developing a Vision
  > Teacher/Coach > Learner/Colleague
  > Outsider > Insider

• What’s driving the change process?
  > Extra-mural funds > Vision & Results Oriented
  > Technical Tinkering > Systemic Changes/Reculturing
  > Accountability indicators > Research
  > Quick Products > Real Pathways

• How is the change process being implemented?
  > Top down > Bottom up
  > Ensuring Mechanisms for Sustainability > Project mentality
  > Keeping the momentum with small group > Including Newcomers & bringing them up to speed
  > Building Dependence > Working oneself out of a job
  > Giving Support > Needing Support
Needed: A Change Agent

Someone needs to be designated specifically to facilitate the process of systemic change related to establishing a learning support or enabling component at a school and for a family of schools.

Because the process involves significant organizational change, the individual chosen has to have the full administrative support and the skills of a change agent.

We designate this essential change agent as

An Organization Facilitator
Organization Facilitator
A Temporary Change Agent Mechanism

At the School Level

• facilitates establishment of resource-oriented mechanism (e.g., School-Based Resource Team)

• facilitates initial capacity building (especially leadership training)

• provides support in implementing initial tasks (e.g., mapping and analyzing resources)

At the Complex Level

• facilitates establishment of resource-oriented mechanism (e.g., Complex Resource Council)

• facilitates initial capacity building

• provides support in implementing initial tasks
  > mapping
  > analyses
  > interface with neighborhood resources

Sequence

• focus first on establishing school infrastructure, then complex infrastructure

• focus first on complex, then each school

• focus simultaneously on establishing infrastructure at schools and complex
Examples of Task Activity for an Organizational Facilitator

> Infrastructure tasks

> Stakeholder capacity building

> Communication (visibility), coordination, integration

> Formative evaluation & rapid problem solving

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

The following page can be used to provide a quick introduction as a basis for discussion by school-community partners about the importance of social marketing to sustainability.

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

Social marketing is a tool for accomplishing social change.

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

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

Some Basic Marketing Concepts as Applied to Changing Schools and Communities

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

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

Social Marketing as an Aid in Creating Readiness for Change

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

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

I. School-Wide Culture/Climate

II. Classroom-Based

   Academic | Promotion of healthy development | Improvement & augmentation of regular support; Special assistance for learning, behavior, and emotional problems
   | (physical, social, emotional) |

III. Pull-Out to Another Classroom or to a Group

   Promotion of healthy development | Special assistance for learning, behavior, and emotional problems
   (physical, social, emotional) |

IV. Pull-Out for Individual Intervention

   Special assistance/treatment

V. Referral Out-of-School for special assistance/intensive treatment

Notes:

a. In mapping the science-based for the full range of interventions, it is important focus on more than school-owned interventions. That is, the mapping should include any related school-based interventions that involve engaged community partners (e.g., families, agencies, businesses, etc.).

b. The framework encompasses the full continuum of interventions we conceptualize as interconnected systems for 1) promoting healthy development & preventing problems, 2) intervening early-after-problem-onset, & 3) treatment of severe, pervasive, and chronic problems. Thus, it includes other categorizations that group interventions as universal, selected, or indicated and the approach that stresses primary, secondary, and tertiary prevention.
Using “Outsiders” Strategically as a Catalyst to Move Your Initiative Forward

A common mistake is to think about using “outsiders” simply as presenters at a meeting. Guest speakers or consultants brought in only to offer a keynote and/or present a set of ideas usually have little strategic value and impact.

On the following page are some points about how to use such “outsiders” in a strategic and catalytic way to move an initiative forward. Essentially, there are three strategic facets to consider:

(1) **Pre-event “priming”** – using the period before a scheduled special event to mobilize and engage key stakeholders and supporters

(2) **Event design and implementation** – plan and implement the “event”* to envelop the outsiders in a framework that ensures
   > social marketing of the initiative
   > presentation of a big picture context
   > presentation of ideas for how to get from here to there
   > mobilization of support
   > action planning of next steps
   > specific commitments are elicited for carrying out each of the next steps

(3) **Follow-through** – ensuring next steps are accomplished successfully and that the initiative continues to move forward.

*An event may be conceived as one central event (perhaps divided into sections) over several hours or a day, or it may be a series of sessions involving different subgroups of stakeholders. From the perspective of using outsiders effectively, the first session should include all parties so that the big picture presentation is given just once. Then, the outsiders might be scheduled to interface with subgroups to accomplish strategic objectives later in the day or on the following day.
Readiness for Systemic Change

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

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

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

Review the following benchmarks as a basis for discussing the readiness of your district, school, and community to move in new directions for student support.
### I. Orienting Stakeholders

A. Basic ideas and relevant research base are introduced to key stakeholders using "social marketing" strategies
   - school administrators
   - school staff
   - families in the community
   - business stakeholders

B. Opportunities for interchange are provided & additional in-depth presentations are made to build a critical mass of consensus for systemic changes

C. Ongoing evaluation of interest is conducted until a critical mass of stakeholders indicate readiness to pursue a policy commitment

D. Ratification and sponsorship are elicited from a critical mass of stakeholders

### II. Establishing Policy Commitment & Framework

A. Establishment of a high level policy and assurance of leadership commitment

B. Policy is translated into an inspiring vision, a framework, and a strategic plan that phases in changes using a realistic time line

C. Policy is translated into appropriate resource allocations (leadership, staff, space, budget, time)

D. Establishment of incentives for change (e.g., intrinsically valued outcomes, expectations for success, recognitions, rewards)

E. Establishment of procedural options that reflect stakeholder strengths and from which those expected to implement change can select strategies they see as workable

F. Establishment of an infrastructure and processes that facilitate change efforts

G. Establishment of a change agent position

H. Establishment of temporary infrastructure mechanisms for making systemic changes

I. Initial capacity-building – developing essential skills among stakeholders to begin implementation

J. Benchmarks are used to provide feedback on progress and to make necessary improvements
For schools, any systemic changes to enhance learning supports must develop

>>a standards-base

>>an accountability framework
A Set of Guidelines for a School’s Student Support Component

The following set of guidelines outlines and, in a real sense, define a vision for new directions for student support.

And, the guidelines provide a first step in developing standards for a comprehensive, multifaceted, and cohesive approach to addressing barriers to student learning.

The underlying rationale and related research references for each element of the outline are in a document that can be downloaded at –
Guidelines for a Student Support Component*

1. Major Areas of Concern Related to Barriers to Student Learning

1.1 Addressing common educational and psychosocial problems

(e.g., learning problems; language difficulties; attention problems; school adjustment and other life transition problems; attendance problems and dropouts; social, interpersonal, and familial problems; conduct and behavior problems; delinquency and gang-related problems; anxiety problems; affect and mood problems; sexual and/or physical abuse; neglect; substance abuse; psychological reactions to physical status and sexual activity; physical health problems)

1.2 Countering external stressors

(e.g., reactions to objective or perceived stress/demands/crisis/deficits at home, school, and in the neighborhood; inadequate basic resources such as food, clothing, and a sense of security; inadequate support systems; hostile and violent conditions)

1.3 Teaching, serving, and accommodating disorders/disabilities

(e.g., Learning Disabilities; Attention Deficit Hyperactivity Disorder; School Phobia; Conduct Disorder; Depression; Suicidal or Homicidal Ideation and Behavior; Post Traumatic Stress Disorder; Anorexia and Bulimia; special education designated disorders such as Emotional Disturbance and Developmental Disabilities)
2. **Timing and Nature of Problem-Oriented Interventions**

2.1 Primary prevention

2.2 Intervening early after the onset of problems

2.3 Interventions for severe, pervasive, and/or chronic problems

3. **General Domains for Intervention in Addressing Students’ Needs and Problems**

3.1 Ensuring academic success and also promoting healthy cognitive, social, emotional, and physical development and resilience (including promoting opportunities to enhance school performance and protective factors; fostering development of assets and general wellness; enhancing responsibility and integrity, self-efficacy, social and working relationships, self-evaluation and self-direction, personal safety and safe behavior, health maintenance, effective physical functioning, careers and life roles, creativity)

3.2 Addressing external and internal barriers to student learning and performance

3.3 Providing social/emotional support for students, families, and staff

*(cont.)*

*Adapted from: Mental Health in Schools: Guidelines, Models, Resources, and Policy Considerations* a document developed by the Policy Leadership Cadre for Mental in Schools. The underlying rationale and related research references for each element of the outline are detailed in separate documents that are available and downloadable from the Center for Mental Health in Schools at UCLA.

The first is at:

The second is at:
4. Specialize Student and Family Assistance (Individual and Group)

4.1 Assessment for initial (first level) screening of problems, as well as for diagnosis and intervention planning (including a focus on needs and assets)

4.2 Referral, triage, and monitoring/management of care

4.3 Direct services and instruction

(e.g., primary prevention programs, including enhancement of wellness through instruction, skills development, guidance counseling, advocacy, school-wide programs to foster safe and caring climates, and liaison connections between school and home; crisis intervention and assistance, including psychological and physical first-aid; prereferral interventions; accommodations to allow for differences and disabilities; transition and follow-up programs; short- and longer-term treatment, remediation, and rehabilitation)

4.4 Coordination, development, and leadership related to school-owned programs, services, resources, and systems – toward evolving a comprehensive, multifaceted, and integrated continuum of programs and services

4.5 Consultation, supervision, and inservice instruction with a transdisciplinary focus

4.6 Enhancing connections with and involvement of home and community resources (including but not limited to community agencies)

(cont.)
5. **Assuring Quality of Intervention**

5.1 Systems and interventions are monitored and improved as necessary

5.2 Programs and services constitute a comprehensive, multifaceted continuum

5.3 Interveners have appropriate knowledge and skills for their roles and functions and provide guidance for continuing professional development

5.4 School-owned programs and services are coordinated and integrated

5.5 School-owned programs and services are connected to home & community resources

5.6 Programs and services are integrated with instructional and governance/management components at schools

5.7 Program/services are available, accessible, and attractive

5.8 Empirically-supported interventions are used when applicable

5.9 Differences among students/families are appropriately accounted for (e.g., diversity, disability, developmental levels, motivational levels, strengths, weaknesses)

5.10 Legal considerations are appropriately accounted for (e.g., mandated services; mandated reporting and its consequences)

5.11 Ethical issues are appropriately accounted for (e.g., privacy & confidentiality; coercion)

5.12 Contexts for intervention are appropriate (e.g., office; clinic; classroom; home)

6. **Outcome Evaluation and Accountability**

6.1 Short-term outcome data

6.2 Long-term outcome data

6.3 Reporting to key stakeholders and using outcome data to enhance intervention quality
Delineating Standards for an Enabling/Learning Support Component

An Enabling or Learning Support component is an essential facet of a comprehensive school design. This component is intended to enable all students to benefit from instruction and achieve high and challenging academic standards. This is accomplished by providing a comprehensive, multifaceted, and integrated continuum of support programs and services at every school as reflected in the Guidelines for a Student Support Component.

Districts must be committed to supporting and guiding capacity building to develop and sustain such a comprehensive approach in keeping with the standards.

In developing standards for an Enabling or Learning Support Component, the Guidelines for a Learning Support Component provide one tool. Another tool is provided by the following set of five general standards that can be developed into a full set of standards and quality indicators.

Once developed, all personnel in a district and other stakeholders should use the standards to guide development of this essential facet of school improvement efforts. In particular, the standards should guide decisions about direction and priorities for redesigning the infrastructure, resource allocation, redefining personnel roles and functions, stakeholder development, and specifying accountability indicators and criteria.

Meeting standards is a shared responsibility. District and school leaders, staff, and all other concerned stakeholders work together to identify learning support needs and how best to address barriers to learning. The district and schools provide necessary resources, implement policies and practices to encourage and support appropriate interventions, and continuously evaluate the quality and impact of the Component.
Five Major Standards for an Effective Enabling/Learner Support Component

**Standard 1**

An Enabling or Learning Support Component is intended to address barriers to learning and teaching and promote healthy development. It encompasses a full continuum of programs and services designed to enable learning and well-being so that all students have an equal opportunity to succeed at school.

**Standard 2**

An Enabling or Learning Support component should be conceived within a cohesive intervention framework, have effective administrative leadership, and be fully integrated with all other facets of a school’s improvement plan in order to avoid fragmentation and marginalization.
Standard 3

The Enabling or Learner Support Component draws on all relevant resources at a school, in a family of schools, district-wide, and in the home and community to ensure sufficient resources are mobilized for capacity building, implementation, filling gaps, and enhancing essential programs and services to enable student learning and well-being and strengthen families and neighborhoods.

Standard 4

Learning supports are applied in ways that promote use of the least restrictive and nonintrusive forms of intervention required to address problems and accommodate diversity.

Standard 5

The Learner Support Component is evaluated with respect to its impact on enabling factors, as well as increased student achievement.
Guidelines and Quality Indicators for Each Standard

*Standard 1* encompasses a guideline emphasizing the necessity of having a full continuum of programs and services in order to ensure all students have an equal opportunity for success at school. Included are programs designed to promote and maintain safety, programs to promote and maintain physical and mental health, school readiness and early school-adjustment services, expansion of social and academic supports, interventions prior to referral for special services, and provisions to meet specialty needs.

**Quality Indicators for Standard 1:**

- All programs and services implemented are based on state of the art best practices for addressing barriers to learning and promoting positive development.

- The continuum of programs and services ranges from prevention and early-age intervention – through responding to problems soon after onset -- to partnerships with the home and other agencies in meeting the special needs of those with severe, pervasive, or chronic problems.

- Routine procedures are in place to review the progress of the component's development and the fidelity of its implementation.
Standard 2 encompasses a guideline that programs and services should be evolved within a framework of delineated areas of activity (e.g., 5 or 6 major areas) that reflect basic functions schools must carry out in addressing barriers to student learning and promoting healthy development. A second guideline stresses that a school-based lead staff member and team should be in place to steer development of these areas at each school and ensure that all activities are implemented in an interdisciplinary well coordinated manner which ensures full integration into the instructional and management plan.

Quality Indicators for Standard 2:

- All programs/services are established with a delineated framework of areas of activity that reflect basic functions a school must have in place for addressing barriers to learning and promoting healthy development.

- At the school level, a resource-oriented team is functioning effectively as part of the school's infrastructure with responsibility for ensuring resources are deployed appropriately and used in a coordinated way. In addition, the team is facilitating (a) capacity building, (b) development, implementation, and evaluation of activity, and (c) full integration with all facets of the instructional and governance/management components.

- Routine procedures are in place to ensure all activities are implemented in a manner that coordinates them with each other and integrates them fully into the instructional and governance/management components.

- Ongoing professional development is (a) provided for all personnel implementing any aspect of the Enabling/Learner Support Component and (b) is developed and implemented in ways that are consistent with the district's Professional Development Standards.
Guidelines and Quality Indicators for Each Standard (cont.)

**Standard 3** encompasses a guideline underscoring that necessary resources must be generated by redeploying current allocations and building collaborations that weave together, in common purpose, families of schools, centralized district assets, and various community entities.

**Quality Indicators for Standard 3:**

- Each school has mapped and analyzed the resources it allocates for learner support activity and routinely updates its mapping and analysis.

- All school resources for learner supports are allocated and redeployed based on careful analysis of cost effectiveness.

- Collaborative arrangements for each family of schools are in place to (a) enhance effectiveness of learner supports and (b) achieve economies of scale.

- Centralized district assets are allocated in ways that directly aid capacity building and effective implementation of learner support programs and services at school sites and by families of schools.

- Collaborative arrangements are in place with a variety of community entities to (a) fill gaps in the Enabling/Learner Support Component, (b) enhance effectiveness, and (c) achieve economies of scale.
Guidelines and Quality Indicators for Each Standard (cont.)

**Standard 4** encompasses guidelines highlighting that enabling or learning support activity should be applied in all instances where there is need and should be implemented in ways that ensure needs are addressed appropriately, with as little disruption as feasible of a student's normal involvement at school.

**Quality Indicators for Standard 4:**

- Procedures are in routine use for gathering and reviewing information on the need for specific types of learner support activities and for establishing priorities for developing/implementing such activity.

- Whenever a need is identified, learner support is implemented in ways that ensure needs are addressed appropriately and with as little disruption as feasible of a student's normal involvement at school.

- Procedures are in routine use for gathering and reviewing data on how well needs are met; such data are used to inform decisions about capacity building, including infrastructure changes and personnel development.

**Standard 5** encompasses a guideline for accountability that emphasizes a focus on the progress of students with respect to the direct enabling outcomes each program and service is designed to accomplish, as well as by enhanced academic achievement.

**Quality Indicators for Standard 5:**

- Accountability for the learner support activity focuses on the progress of students at a school site with respect to both the direct enabling outcomes a program/service is designed to accomplish (measures of effectiveness in addressing barriers, such as increased attendance, reduced tardies, reduced misbehavior, less bullying and sexual harassment, increased family involvement with child and schooling, fewer referrals for specialized assistance, fewer referrals for special education, fewer pregnancies, fewer suspensions, and dropouts), as well as academic achievement.

- All data are disaggregated to clarify impact as related to critical subgroup differences (e.g., pervasiveness, severity, and chronicity of identified problems).

- All data gathered on learner support activity are reviewed as a basis for decisions about how to enhance and renew the Enabling/Learning Support Component.
Expanding the Framework for School Accountability

Indicators of positive Learning and Development

High Standards for Academics*
(measures of cognitive achievements, e.g., standardized tests of achievement, portfolio and other forms of authentic assessment)

High Standards for Learning/Development Related to Social & Personal Functioning*
(measures of social learning and behavior, character/values, civility, healthy and safe behavior)

Benchmark Indicators of Progress for “Getting from Here to There”

High Standards for Enabling Learning and Development by Addressing Barriers**
(measures of effectiveness in addressing barriers, e.g., increased attendance, reduced tardies, reduced misbehavior, less bullying and sexual harassment, increased family involvement with child and schooling, fewer referrals for specialized assistance, fewer referrals for special education, fewer pregnancies, fewer suspensions and dropouts)

“Community Report Cards”
- increases in positive indicators
- decreases in negative indicators

*Results of interventions for directly facilitating development and learning.

**Results of interventions for addressing barriers to learning and development.
Action Planning

*Enhancing Infrastructure to Address Key Functions*

Identify a series of next steps for improving how resources are mapped and analyzed and priorities are established for enhancing intervention.

If there are not good mechanisms for carrying out such key functions, be certain to identify steps for developing new mechanisms or enhancing the productivity of existing ones.

For each action step, be certain to specify what, who, when, and how.
## Work Sheet

### Clarifying Assets & Barriers Related to Making Systemic Changes

#### School Staff (including District Staff)

<table>
<thead>
<tr>
<th>Assets</th>
<th>Barriers</th>
</tr>
</thead>
<tbody>
<tr>
<td>(e.g., What talents, strengths, opportunities, etc. of the school staff can help?)</td>
<td>(e.g., What barriers may arise related to mobilizing school staff to help?)</td>
</tr>
</tbody>
</table>

#### Community Stakeholders (including family members and students)

<table>
<thead>
<tr>
<th>Assets</th>
<th>Barriers</th>
</tr>
</thead>
<tbody>
<tr>
<td>(e.g., What talents, strengths, opportunities, etc. of the community stakeholders can help?)</td>
<td>(e.g., What barriers may arise related to mobilizing community stakeholders to help?)</td>
</tr>
</tbody>
</table>
**Recommendations and Action Plan**

*What are your recommendations?*  

<table>
<thead>
<tr>
<th>What are your recommendations?</th>
<th>Supportive Points</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Action Plan:**

_What are the next steps to take in moving forward?_ (use attached matrix)
<table>
<thead>
<tr>
<th>Objectives</th>
<th>Specific Strategies</th>
<th>Who?</th>
<th>Timeline &amp; Monitoring</th>
<th>Concerns to be addressed</th>
</tr>
</thead>
<tbody>
<tr>
<td>(What immediate tasks need to be accomplished?)</td>
<td>(What are the specific ways each objective can be achieved?)</td>
<td>(Persons who are willing and able to carry out the strategies)</td>
<td>(When will each objective be accomplished? How and when will progress be monitored?)</td>
<td>(How will anticipated problems be averted or minimized?)</td>
</tr>
</tbody>
</table>

<p>| | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
I think we’re finally making progress!

But, unfortunately, our grant ends in three months.