

**Effective Strategies
for Creating Safer Schools
and Communities**

Fostering
**School, Family,
and Community
Involvement**



THE GEORGE WASHINGTON UNIVERSITY
GRADUATE SCHOOL OF EDUCATION
AND HUMAN DEVELOPMENT



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Fostering School,

Effective Strategies for Creating

Family, and

Safer Schools and Communities

Community Involvement

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About the Effective Strategies for Creating Safer Schools and Communities Series

School safety requires a broad-based effort by the entire community, including educators, students, parents, law enforcement agencies, businesses, and faith-based organizations, among others. By adopting a comprehensive approach to addressing school safety focusing on prevention, intervention, and response, schools can increase the safety and security of students.

To assist schools in their safety efforts, the Hamilton Fish Institute on School and Community Violence and the Northwest Regional Educational Laboratory (NWREL) have revised this series of five guidebooks intended to build a foundation of information that will assist schools and school districts in developing safe learning environments. The series identifies several components that, when effectively addressed, provide schools with the foundation and building blocks needed to create and maintain safe schools. Written in collaboration with leading national experts, these resources will provide local school districts with information and resources that support comprehensive safe school planning efforts.

Each guide provides administrators and classroom practitioners with a glimpse of how fellow educators are addressing issues, overcoming obstacles, and attaining success in key areas of school safety. They will assist educators in obtaining current, reliable, and useful information on topics that should be considered as they develop safe school strategies and positive learning environments. As emphasized in *Threat Assessment in Schools: A Guide to Managing Threatening Situations and to Creating Safe School Climates*, a joint publication of the U.S. Secret Service and the U.S. Department of Education, creating cultures and climates of safety is essential to the prevention of violence in school. Each guidebook retains this message as a fundamental concept.

Under No Child Left Behind, the education law signed in January 2002, violence prevention programs must meet specified principles of effectiveness and be grounded in scientifically based research that provides evidence that the program to be used will reduce violence and illegal drug use. Building on the concept in No Child Left Behind—that all children need a safe environment in which to learn and achieve—these guides explain the importance of selecting research-based programs and strategies. The guides also outline a sample of methods for addressing and solving safety issues schools may encounter.

About this series (continued)

Creating Schoolwide Prevention and Intervention Strategies, by Jeffrey Sprague, is intended to put the issue of schoolwide violence prevention in context for educators and outline an approach for choosing and creating effective prevention programs. The guide covers the following topics:

- Why schoolwide prevention strategies are critical
- Characteristics of a safe school
- Four sources of vulnerability to school violence
- How to plan for strategies that meet school safety needs
- Five effective response strategies
- Useful Web and print resources

School Policies and Legal Issues Supporting Safe Schools, by Thomas Hutton and Kirk Bailey, is a practical guide to the development and implementation of school district and school policies that support safe schools. Section 1 provides an overview of legal and practical considerations to keep in mind and to address with local legal counsel when developing policies at the district level to prevent violence. Section 2 addresses specific situations and issues that may arise and discusses how the framework set forth in Section 1 bears on these questions.

Ensuring Quality School Facilities and Security Technologies, by Tod Schneider, is intended to help educators and other members of the community understand the relationship between school safety and school facilities, including technology. The guide covers the following topics:

- Crime Prevention Through Environmental Design (CPTED)
- Planning To Address CPTED: Key Questions To Ask
- Security Technology: An Overview
- Safety Audits and Security Surveys

The Role of Mental Health Services in Promoting Safe and Secure Schools, by Krista Kutash and Albert Duchnowski, explores the role of mental health services in developing and maintaining safe schools. The guide provides an overview of research-based school mental health models and offers guidance for school personnel and others on implementing mental health-related services, including the role that federal, state, and district policies play and the need for community involvement.

About this series (continued)

Fostering School, Family, and Community Involvement, by Howard Adelman and Linda Taylor, provides an overview of the nature and scope of collaboration, explores barriers to effectively working together, and discusses the processes of establishing and sustaining the work. It also reviews the state of the art of collaboration around the country, the importance of data, and some issues related to sharing information.

The Hamilton Fish Institute on School and Community Violence and the Northwest Regional Educational Laboratory hope that the guides in this series assist your school and its partners in creating a safe, positive learning environment for the children you serve.

About the Authors

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Over the years, Adelman and Taylor have worked together pursuing theory, research, practice, training, and policy related to educational, psychosocial, and mental health problems. This work has involved them in schools and communities across the country. The current focus of their work is on policies, practices, and large-scale systemic reform initiatives to enhance school, community, and family connections to address barriers to learning and teaching, re-engage students in classroom instruction, and promote healthy development through comprehensive, multifaceted, and integrated approaches. This work includes facilitating the national New Directions for Student Support initiative.

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Introduction:

The Basics of School-Family-Community Collaboration

Overview

This guidebook provides a perspective and resources for enhancing home, community, and school collaboration as part of comprehensive safe school and school improvement planning. Schools are more effective and caring places when they are an integral part of the community. This contributes to enhanced academic performance, fewer discipline problems, higher staff morale, and improved use of resources. For communities, collaboration with schools can strengthen students, their families, their schools, and the community in which they live.

In preparing the guidebook, we drew on the growing body of resources in this area, as well as on our work over the last 30 years. While we have cited just a few references in the text, we have included a set of Additional Readings both as a resource and as an acknowledgment of the many works that have informed what we share here.



How To Use This Guide

This guidebook provides an overview of the nature and scope of collaboration, explores barriers to effectively working together, and discusses the processes of establishing and sustaining the work. It also reviews the importance of using data, issues related to sharing information, and examples of collaborative efforts from around the country.

Included are resource tools and aids drawn from a variety of sources. While steps for development are outlined, keep in mind that establishing and sustaining a collaborative is a dynamic process that involves major systemic changes. Such changes require strategic planning, change mechanisms, and a flexible approach.

Treat this document as a growing toolkit. The material is intended to assist and guide. Apply it flexibly and in ways that respond to the unique characteristics of settings and stakeholders. Feel free to use whatever you find helpful and make any adaptations that will bring the content to life.

While skills and tools are a key aspect of sustaining a collaboration, remember that underlying the application of any set of procedures is *motivation*. Motivation for working together and sustaining collaboration comes from:

- The desire to achieve better outcomes for all children and youth
- Hope and optimism for a vision of what is possible for all children and youth
- The realization that working together is essential in accomplishing the vision
- The realization that systemic changes are essential to working together effectively
- Valuing each partner's assets and contributions
- Feeling that the efforts are producing results

And, remember that, when a broad range of stakeholders are motivated to work together toward a shared vision, they come up with more innovative and effective strategies than any guidebook or toolkit can contain.

— *Howard Adelman and Linda Taylor*

Section 1.

What Is Collaboration?

If you want your school to be a good and safe place, you must enhance family and community involvement with the school. A key strategy in all this is *collaboration*.

Collaboratives, which we define as formal working partnerships between schools, families, and various local organizations and community representatives, are sprouting in communities across the country. Properly done, these collaboratives improve schools, strengthen families and neighborhoods, and lead to a marked reduction in young peoples' problems. Poorly implemented collaborations, however, can end up being another reform effort that promised a lot, did little good, and even did some harm.

An optimal approach involves formally blending together resources of at least one school—and sometimes a group of schools or an entire school district—with local family and community resources. The intent is to sustain connections over time. The range of entities in a community are not limited to agencies and organizations; they encompass individuals, businesses, community-based organizations, postsecondary institutions, religious and civic groups, programs at parks and libraries, and any other facilities that can be used for recreation, learning, enrichment, and support. Strong family-school-community connections are critical in impoverished communities where schools often are the largest pieces of public real estate and also may be the single largest employer.

While it is relatively simple to make informal links, establishing major long-term collaborations is complicated. Doing so requires vision, cohesive policy, and basic systemwide reforms. The complications are readily seen in any effort to develop a comprehensive, multifaceted, and integrated approach to promoting healthy development and addressing barriers to development and learning. Such an approach involves much more than linking a few services, recreation, and enrichment activities to schools (see Appendix A). System changes are required to develop and evolve formal and institutionalized sharing of a wide spectrum of responsibilities and resources.

Comprehensive collaboration represents a promising intervention to address barriers to learning, enhance healthy development, and strengthen families and neighborhoods. Building such collaboration requires stakeholder readiness, an enlightened vision, creative leadership, and new and multifaceted roles for professionals who work in schools and communities, as well as for family and other community members who are willing to assume leadership.

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

—Melaville & Blank
(1998)

As noted, interest in connecting families, schools, and communities is growing at an exponential rate. For schools, such links are seen as a way to provide more support for schools, students, and families. For agencies, connection with schools is seen as providing better access to families and youth, creating an opportunity to reach and have an impact on hard-to-reach clients. The interest in collaboration is bolstered by the renewed concern about widespread fragmentation of school and community interventions. The hope is that integrated resources will have a greater impact on “at risk” factors and on promoting healthy development.

In fostering collaboration, do not to limit your thinking to coordinating community services and placing some on school sites. Such an approach downplays the need to also restructure the various education support programs and services that schools own and operate. And, it has led some policymakers to the mistaken impression that community resources can effectively meet the needs of schools in addressing barriers to learning. In turn, this has led some legislators to view the linking of community services to schools as a way to free up the dollars underwriting school-owned services. The reality is that even when one adds together community and school assets, the total set of services in impoverished locales is woefully inadequate. In situation after situation, it has become evident that as soon as the first few sites demonstrating school-community collaboration are in place, local agencies find they have stretched their resources to the limit.

Collaboratives often are established because of the desire to address a local problem or in the wake of a crisis. In the long run, however, family-community-school collaboratives must be driven by a comprehensive vision strengthening youngsters, families, schools, and neighborhoods. This encompasses a focus on safe schools and neighborhoods; positive development and learning; personal, family, and economic well-being; and more.

Collaboratives are about building potent, synergistic, working relationships, not simply establishing positive personal connections. Collaboratives built mainly on personal connections are vulnerable to the mobility of participants that characterizes many such groups. The point is to establish stable and sustainable *working relationships*. This requires clear roles, responsibilities, and an institutionalized infrastructure, including well-designed mechanisms for performing tasks, solving problems, and mediating conflict.

A collaborative needs *financial support*. The core operational budget can be direct funding and in-kind contributions such as providing space for the collaborative. A school or community entity (or both) might be asked to contribute the necessary space. As specific functions and initiatives are undertaken that reflect overlapping arenas of concern for schools and community agencies such as safe schools and neighborhoods, some portion of their respective funding streams can be braided together. Finally, there may be opportunities to supple-

ment the budget with extra-mural grants. However, it is important not to pursue funding for projects that will distract the collaborative from vigorously pursuing its vision in a cohesive (nonfragmented) manner (see Appendix B).

The *governance* of the collaborative must be designed to equalize power so that decision making appropriately reflects all stakeholder groups and so that all are equally accountable. The leadership must include representatives from all groups and all participants must share in the workload, pursuing clear roles and functions. Collaboratives must be open to all who are willing to contribute their talents.

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 important results. For this to happen, steps must be taken to ensure that collaboratives 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 roles and functions. It is when such matters are ignored that groups find themselves meeting and meeting, but going nowhere.

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Section 2.

Why Is Family, Community, and School Collaboration Important?

Schools are located in communities, but are often “islands” with no bridges to the “mainland.” Families live in neighborhoods, often with little connection to each other or to the schools their children attend. Nevertheless, all these entities affect each other, for good or ill. Because of this and because they share goals related to education and socialization of the young, schools, homes, and communities must collaborate with each other if they are to minimize problems and maximize results.

Dealing with multiple, interrelated concerns, such as poverty, child development, education, violence, crime, safety, housing, and employment requires multiple and interrelated solutions.

Promoting well-being, resilience, and protective factors and empowering families, communities, and schools also requires the concerted effort of all stakeholders.

Schools are more effective and caring places when they are an integral and positive part of the community. This plays out as enhanced academic performance, fewer discipline problems, higher staff morale, and improved use of resources. Reciprocally, families and other community entities can enhance parenting and socialization, address psychosocial problems, and strengthen the fabric of family and community life by working collaboratively with schools.

Why Collaboration Is Needed

Concern about violence at schools provides opportunities for enhancing connections with families and other neighborhood resources. However, in too many cases, those responsible for school safety act as if violence on the campus had little to do with home and community. Children and adolescents do not experience such a separation—for them violence is a fact of life.

The problem goes well beyond the widely reported incidents that capture media attention. For children, the most common forms of violence are physical, sexual,

Never doubt that a small group of thoughtful, committed people can change the world.®

—Margaret Mead

Courtesy of The Institute for Intercultural Studies, Inc., New York.

and psychosocial abuse experienced at school, at home, and in the neighborhood. There are no good data on how many youngsters are affected by all the forms of violence or how many are debilitated by such experiences. But no one who works to prevent violence would deny that the numbers are large. Far too many youngsters are caught up in cycles where they are the recipient or perpetrator (and sometimes both) of harassment ranging from excessive teasing, bullying, and intimidation to mayhem and major criminal acts.

Clearly, the problem is widespread and is linked with other problems that are significant barriers to development, learning, parenting, teaching, and socialization. As a consequence, single-factor solutions will not work. This is why guides to safe school planning emphasize such elements as schoolwide prevention, intervention, and emergency response strategies, positive school climate, partnerships with law enforcement, mental health and social services, and family and community involvement. (See the other titles in the “Effective Strategies for Creating Safer Schools and Communities” series for information on these areas of emphasis.)

The need is for a full continuum of interventions—ranging from primary prevention, through interventions as early after onset as is feasible, to treatment of individuals with severe, pervasive, and chronic problems. School and community policymakers must quickly move to embrace comprehensive, multifaceted schoolwide and communitywide approaches. And, they must do so in a way that fully integrates such approaches with school improvement efforts at every school site.

Section 3.

Defining Collaboration and Its Purposes

Collaboration involves more than simply working together, and a collaborative is more than a body to enhance cooperation and coordination. Thus, teachers who team are not a collaborative—they are a teaching team. Inter-agency teams established to enhance coordination and communication across agencies are not a collaborative—they are coordinating teams.

Coalitions are not collaboratives—they are a form of collaboration that involves multiple organizations that establish an alliance for sharing information and jointly pursuing policy advocacy and/or cohesive action in overlapping areas of concern.

A collaborative is a *form* of collaboration that involves establishing an infrastructure for working together to accomplish specific functions related to developing and enhancing interventions and systems in arenas where the participants' agendas overlap.

One hallmark of authentic collaboration is a *formal agreement* among participants to establish mechanisms and processes to accomplish mutually desired results—usually outcomes that would be difficult to achieve by any of the stakeholders alone. Thus, while participants may have a primary affiliation elsewhere, they commit to working together under specified conditions to pursue a shared vision and common set of goals.

Effective collaboratives are built with vision, policy, leadership, infrastructure, and capacity building. A collaborative structure requires shared governance (power, authority, decision making, accountability) and weaving together an adequate set of resources. It also requires establishing well-defined and effective working relationships that enable participants to overcome individual agendas. If this cannot be accomplished, the intent of pursuing a shared agenda and achieving a collective vision is jeopardized.

Growing appreciation of human and social capital has resulted in collaboratives expanding to include a wide range of stakeholders (people, groups, formal and informal organizations). Many who at best were silent partners in the past now are finding their way to the collaborative table and becoming key players. The political realities of local control have expanded collaborative bodies to encompass local policymakers, representatives of families, nonprofessionals, and volunteers. Families, of course, have always provided a direct connection

between school and community, but now they are seeking a greater decision-making role. In addition, advocates for students with special needs have opened the way for increased parent and youth participation in making decisions about interventions. Clearly, any effort to connect home, community, and school resources must embrace a wide spectrum of stakeholders.

In the context of a collaborative, collaboration is 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 meaningful goals.

Effective collaboratives 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 others from the surrounding neighborhood is referred to as a “school-community collaborative.” Such collaboratives may include individuals and groups focused on providing programs for education, literacy, youth development, the arts, health and human services, juvenile justice, vocational education, economic development, and more. They may include various sources of human, social, and economic capital, including teachers, student support staff, youth, families, community-based and linked organizations, such as public and private health and human service agencies, civic groups, businesses, faith-based organizations, institutions of postsecondary learning, and so forth.

Operationally, a collaborative is defined by its functions. That is, a collaborative is about accomplishing functions, not about simply establishing and maintaining a collaborative body. Major examples of functions include:

- Facilitating communication, cooperation, coordination, and 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
- Aggregating data from schools and neighborhood to analyze system needs
- Mapping, analyzing, managing, redeploying, and braiding available resources to enable accomplishment of desired functions
- Establishing leadership and institutional and operational mechanisms (e.g., infrastructure) for guiding and managing accomplishment of desired functions

- Defining and incorporating new roles and functions into job descriptions
- Building capacity for planning, implementing, and evaluating desired functions, including ongoing stakeholder development for continuous learning and renewal and for bringing new arrivals up to speed
- Defining standards and ensuring accountability
- Social marketing

Functions encompass specific tasks, such as mapping and analyzing resources; exploring ways to share facilities, equipment, and other resources; expanding opportunities for community service, internships, jobs, recreation, and enrichment; developing pools of nonprofessional volunteers and professional pro bono assistance; making recommendations about priorities for use of resources; raising funds and pursuing grants; and advocating for appropriate decision making. In organizing a collaborative, the fundamental principle is: *structure follows function*.

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COLLABORATIVES IN PRACTICE

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Section 4.

Collaboration: A Growing Movement Across the Country

Across the country, various forms of school, community, and family collaboration—including statewide initiatives—are being tested. Some cataloging has begun, but there is no complete picture of the scope of activity. Advocacy for school-community connections comes from divergent interests. For example, on the school side, a focus on both parent and community involvement are features of the No Child Left Behind Act. On the community side, one major thrust has come from the push to reform community agencies, another from the business community, a third from the community school movement, and a fourth involves social activists and various community-based organizations (e.g., philanthropic foundations, the Children’s Defense Fund, Communities in Schools, groups concerned with organizing communities, groups representing “minorities”). For families, connecting with schools also varies with respect to their specific group’s agenda (e.g., PTA, family organizations representing students with learning, behavior, or emotional problems). Crosscutting these sectors is a focus on bringing schools-communities-families together to focus on a specific problem, such as raising achievement, addressing youth violence, combating substance abuse, enhancing physical and mental health, and so forth.

It is clear that many efforts to collaborate to date have not taken the form of a collaborative. Most demonstration projects are mainly efforts to incorporate health, mental health, and social services into centers (including health centers, family centers, and 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.¹

¹ In practice, the terms school-linked and school-based encompass two separate dimensions: (a) where programs/services are located and (b) who owns them. Taken literally, school-based should indicate activity carried out on a campus, and school-linked should refer to off-campus activity with formal connections to a school site. In either case, services may be owned by schools or a community-based organization or in some cases may be co-owned. As commonly used, the term school-linked refers to community owned on- and off-campus services and is strongly associated with the notion of coordinated services.

Much of the emerging theory and practice of family and community connections with schools encourages a rethinking of our understanding of how children develop and how the various people and contexts fit together to support that development.

—Southwest Educational Development Laboratory
(2001)

Historically, when collaboratives are developed as part of funded projects, the aims generally are to improve coordination and eventually integrate many programs and enhance their links to school sites. Most projects want to improve access to health services (including immunizations, prevention programs for substance abuse, asthma, and pregnancy) or access to social service programs (including foster care, family preservation, and child care). In addition or as a primary focus, some are concerned with (1) expanding afterschool academic, recreation, and enrichment, including tutoring, youth sports and clubs, art, music, and museum programs; (2) building systems of care, including case management and specialized assistance; (3) reducing delinquency, including truancy prevention, conflict mediation, and violence reduction; (4) enhancing transitions to work, career, and postsecondary education, including mentoring, internships, career academies, and job shadowing and job placement programs; and (5) strengthening school and community connections through adopt-a-school programs, use of volunteers and peer supports, and neighborhood coalitions.

Most collaborative projects have been stimulated 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 community school and youth development movements
- A few stem from community development endeavors

Currently, only a few projects are driven by school improvement efforts. Most stem from efforts to reform community health and social services with the aim of reducing redundancy and increasing access and effectiveness. These tend to focus narrowly on “services.” Projects initiated by schools are connecting schools and communities to enhance school-to-career opportunities, develop pools of volunteers and mentors, and expand afterschool recreation and enrichment programs.

The community school and youth development movements have spawned collaborations that clearly go beyond a narrow service emphasis. They encourage a view of schools not only as community centers where families can access services, but as hubs for communitywide learning and activity. In doing so, they encompass concepts and practices aimed at promoting protective factors, asset building, wellness, and empowerment. Included are efforts to establish full-fledged community schools, programs for community and social capital mobilization, and initiatives to establish policies and structures that enhance youth support, safety, recreation, work, service, and enrichment. Their efforts, along with adult education and training at neighborhood schools, are changing

the old view that schools close when the youngsters leave. The concept of a “second shift” at a school site to respond to community needs is beginning to spread.

School-community linkages are meant to benefit a wide range of youngsters and their families. For example, considerable attention has been paid to linkages to enhance outcomes for students with emotional disturbance and their families. This population is served by classrooms, counseling, day care, and residential and hospital programs. It is widely acknowledged that all involved need to work together in providing services, monitoring and maintaining care, and facilitating the transitions to and from services. To address these needs, considerable investment has been made in establishing what are called wraparound services and systems of care. The work has tended to be the focus of multidisciplinary teams, usually without the support of a collaborative body. Initial evaluations of systems of care have been discussed in terms of the difficulty of studying linkages, and the policy issues that arise regarding appropriate outcomes and cost effectiveness, issues that highlight the need for the involvement of a school-community collaborative.

Many collaboratives around the country consist mainly of professionals. Family and other citizen involvement may be limited to a few representatives of powerful organizations or to “token” participants who are needed and expected to “sign off” on decisions.

Genuine involvement of a wide range of representative families and citizens requires a deep commitment of collaborative organizers to recruit and build the capacity of such stakeholders so that they can competently participate as enfranchised and informed decisionmakers.

Collaboratives that work to ensure the participation of a broad range of stakeholders establish an essential democratic base for their work and ensure there is a critical mass of committed participants to buffer against inevitable mobility. Such an approach not only enhances family and community involvement, it may be an essential facet of sustaining collaborative efforts in the long run.

Currently, schools and community entities usually function as separate agents, with a few discrete linkages designed to address highly circumscribed matters. Often the links are encouraged by and/or directed at parents of school-aged children. The immediate goal of many school-family-community collaboratives is to bring the entities together to work in more cooperative ways and where feasible to integrate resources and activities when they are dealing with overlapping concerns. Ultimately, some argue that it is all about community—that families should be understood and nurtured as the heart of any community and that schools should be completely embedded and not seen as a separate agent.

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Section 5.

Research on the Emerging Promise of Collaboration

As a result of the diverse reasons for collaboration, there is relatively little generic research and practice literature on school-community collaboratives—and no comprehensive catalogue exists. Examples and analyses suggesting trends can be found in the Additional Readings section at the end of this guide. Using the available literature and synthesizing across several arenas of work, a picture emerges related to the promise of family-community-school collaboration.

While data are sparse, a reasonable inference from available research is that school-community collaboration can be successful and cost effective over the long run. Moreover, school-community collaborations not only have potential for improving access to and coordination of interventions, they encourage schools to open their doors and enhance opportunities for community and family involvement.

Following are highlights of the research into collaborative efforts:

Strengthening Neighborhoods, Families, and Schools

In general, those pushing for “connection” from the community side want to strengthen neighborhoods, families, and schools. For example, Schorr (1997) describes promising community-school-family initiatives from this perspective. Her analysis concludes that a synthesis is emerging that “rejects addressing poverty, welfare, employment, education, child development, housing, and crime one at a time. It endorses the idea that the multiple and interrelated problems . . . require multiple and interrelated solutions.”

Warren (2005) argues that for urban school reform to be successful, it must be linked to the revitalization of the surrounding communities. He categorizes current school-community collaborations as involving (1) the service approach, which he equates with the community full service schools movement; (2) the development approach, seen as embodied in community sponsorship of



new schools such as charter schools; and (3) the organizing approach involving direct efforts of community organizing groups to foster collaboration with schools.

From the perspective of community organizing to transform schools, Lopez's (2003) research review concludes that a body of evidence supports the position that community organizing strengthens school reform efforts. However, she goes on to stress that:

... it is only one among different pathways that connects schools and low-income communities to achieve a shared vision of success for all students. Another approach is the creation of learning communities based on the principles of parent and community involvement, collaborative governance, culturally responsive pedagogy and advocacy-oriented assessment, which can produce outstanding results for migrant and low-income students (Reyes, Scribner & Scribner, 1999). Also, in schools where trust is established through the daily interactions of the school community, the achievement of low-income and ethnically diverse students improves over time (Bryk & Schneider, 2002). What community organizing shares with these other approaches is the social capital that works toward the best interests of students. What makes it different is turning social capital into political capital. Community organizing focuses not only on school reform, but also on empowerment. It drives home the point that parents and communities are powerful agents of reform. Because school reform is a political issue, organizing builds the political will to ensure that poor schools gain access to the resources they need to improve the quality of education.

Linking Services to Schools

In the 1960s, concern about the fragmented way community health and human services are planned and implemented led to the human service integration movement which initially sputtered, but grew steadily over the 1990s and into the present decade. The hope of this movement is to better meet the needs of those served and use existing resources to serve greater numbers. To these ends, there is considerable interest in developing strong relationships between school sites and public and private community agencies. As would be anticipated, most initial efforts focus on developing informal relationships and beginning to coordinate services.

In the 1990s, a nationwide survey of school board members indicated widespread presence of school-linked programs and services in school districts (Hardiman, Curcio, & Fortune, 1998). For purposes of the survey, school-linked services were defined as "the coordinated linking of school and community resources to support the needs of school-aged children and their families."

The researchers conclude: “The range of services provided and the variety of approaches to school-linked services are broad, reflecting the diversity of needs and resources in each community.”

These services are used to varying degrees to address various educational, psychological, health, and social concerns, including substance abuse, job training, teen pregnancy, juvenile probation, child and family welfare, and housing. For example, and not surprisingly, the majority of schools report using school-linked resources as part of their efforts to deal with substance abuse; far fewer report such involvement with respect to family welfare and housing. Most of this activity reflects collaboration with agencies at local and state levels. Respondents indicated that these collaborations operate under a variety of arrangements: legislative mandates, state-level task forces and commissions, formal agreements with other state agencies, formal and informal agreements with local government agencies, in-kind (nonmonetary) support of local government and nongovernment agencies, and formal and informal referral networks. About half the respondents noted that their districts have no policies governing school-linked services.

Community Schools

While the community school movement often is discussed in terms of full service community schools (e.g., Dryfoos & Maguire, 2002), the movement is much more diverse than this term implies. The Coalition for Community Schools continues to survey a variety of initiatives from the perspective of the community schools movement (e.g., Blank, Berg, & Melaville, 2006; Blank, Melaville, & Shah, 2004; Melaville & Blank, 1998). In the 1998 review, the number of school-community initiatives was described as skyrocketing, and the diversity across initiatives in terms of design, management, and funding arrangements was daunting to summarize. From the perspective of the coalition, (1) the initiatives are moving toward blended and integrated purposes and activity and (2) the activities are predominantly school based and the education sector plays “a significant role in the creation and, particularly, management of these initiatives.” They found a clear trend “toward much greater community involvement in all aspects” of such initiatives—especially in decision making at both the community and site levels. The coalition also stresses that “the ability of school-community initiatives to strengthen school functioning develops incrementally,” with the first impact seen in improved school climate. With respect to sustainability, their findings support the need for stable leadership and long-term financing. Melaville and Blank note:

The still moving field of school-community initiatives is rich in its variations. But it is a variation born in state and local inventiveness, rather than reflective of irreconcilable differences or fundamental conflict. Even though communication among school-community

initiatives is neither easy nor ongoing, the findings in this study suggest they are all moving toward an interlocking set of principles. An accent on development cuts across them all. These principles demonstrate the extent to which boundaries separating major approaches to school-community initiatives have blurred and been transformed. More importantly, they point to a strong sense of direction and shared purpose within the field.

With respect to evaluation of community schools, there is growing evidence that such schools contribute to enhanced family engagement with children and schools, student learning, and some neighborhood revitalization (Blank, Melaville, & Shah, 2004; Dryfoos, 2003).

Parent Involvement

The movement for parent involvement currently is motivated by the policy intent of the No Child Left Behind Act to inform and empower parents as decisionmakers in their children's education. It also is bolstered by over 30 years of research indicating a significant relationship between family involvement and student success (e.g., Epstein, Coates, Salinas, & Sanders, 2002; Henderson & Mapp, 2002).

At the same time, research findings stress that the impact of family and community involvement is undercut in the absence of effective classroom and schoolwide interventions (e.g., Bryk & Schneider, 2002; EdSource, 2006).

CONCERNS NOTED IN THE RESEARCH

Findings from the work of the Center for Mental Health in Schools (e.g., 1997, 2005, 2006) are in considerable agreement with other reports. However, this work also stresses that the majority of school and community programs and services function in relative isolation from each other. Most school and community interventions continue to focus on discrete problems and specialized services for individuals and small groups. Moreover, because the primary emphasis is on restructuring community programs and co-locating some services on school sites, a new form of fragmentation is emerging as community and school professionals engage in a form of "parallel play" at school sites. See page 36 for further discussion of the barriers of fragmentation.

The reality is that prevailing approaches to reform continue to marginalize all efforts to address the wide range of overlapping factors that are barriers to development and learning (Adelman & Taylor, 2003; 2006; 2007). As a result, too little is known about effective processes and mechanisms for building family-school-community connections to prevent and ameliorate youngsters' learning, behavior, emotional, and health problems. The situation is unlikely to improve as long as so little attention is paid to restructuring what schools and communities already do to deal with psychosocial and health problems and promote healthy development. And a key facet of all this is the need to develop models to guide development of productive family, school, and community partnerships.

Examples of Collaboration That Connect Families, Schools, and the Community To Address Violence

The examples that follow illustrate many of the elements of collaboratives discussed to this point, as well as some of the organizing principles, structures, and barriers described in the sections that follow.

SAVE: A Grassroots Example

The Community Coalition for Violence Prevention, a grassroots organization, created Stand Against a Violent Environment (SAVE) in 1995. The coalition was created with the idea that violence (nonverbal, verbal, and physical) can be eliminated through education and communication. Since its beginnings, coalition members have met regularly and sponsored community events to promote violence prevention.

The SAVE movement creates a dialogue on violence prevention and a grassroots resource for communitywide participation. All residents (of Rapid City, North Dakota) can be members. The coalition aims at promoting strong community involvement and making violence reduction and prevention the responsibility of all community members. Community and business participation is an integral element. Because of SAVE, the Rapid City School District has many partners in their efforts to prevent violence.

The Beginning: SAVE began with a community coalition that used study circles to prompt a dialogue about violence in Rapid City and ways to prevent and reduce it. The new group determined the level of community concern about violence—a community survey showed that while 80 percent of respondents felt safe, most recognized that violence was an increasing problem. Respondents suggested it was important to teach values and respect, provide drug and alcohol prevention programs, and establish neighborhood watch programs. A majority also indicated that they felt strongly enough about the issue to become involved in the prevention effort. One of SAVE's early contributions was its definition of violence within the school, community, and workplace: "Violence is any mean word, look, sign, or act that hurts a person's body, feelings or things." SAVE identified a continuum of violent acts, ranging from eye rolling, gesturing, and gossiping to hitting/kicking, flashing a weapon, or shooting someone. They reasoned that violence always has a starting point, such as a look or gesture, and if it can be interrupted, a potentially violent situation can be prevented. For school staff, law enforcement personnel, and community members to work together to interrupt this process, all partners needed a common language and understanding of violence.

The main goal during the first year was to educate parents, students, and community members about violence and how to reduce and prevent it. This effort quickly showed that everyone could participate in violence prevention and reduction. SAVE sponsored activities to build communitywide awareness of steps to prevent violence and to empower the community to overcome it. Violence prevention facilitators were trained and sent out to work with SAVE-inspired neighborhood groups and private businesses to build a broad awareness about violence prevention and reduction. During its second year, SAVE shifted its focus from defining violence and specifying violent behaviors to discovering the positive actions and prosocial behaviors they wanted to promote. In 1997, SAVE articulated a specific vision (working together to promote a spirit of community) and six goals, which included: (1) reestablishing and supporting values in the community, (2) increasing youth participation in SAVE, (3) encouraging and promoting a safe environment free from fear, (4) increasing community participation, (5) focusing on resiliency and asset building, and (6) promoting unity.

Examples of Activities: A citywide coalition composed of representatives from different neighborhood groups meets monthly to support the various neighborhood groups that have been developed as an integral part of SAVE. During these meetings, individuals share ideas and information on prospective activities. Neighborhood groups are encouraged to connect with one another. SAVE provides facilitators to train new neighborhood groups and businesses about violence prevention and reduction. It also continues to sponsor neighborhood study circles about violence. A local advertising agency produced a video that explained SAVE's vision and goals. This video is used to help educate community and business groups. A weeklong community celebration called "Voices Together SAVE" has been held, with each day designated as a call for action to different segments of the community: Health and Human Services; Family and Religion; Workplace; Youth; Civic Organizations; and Community and Neighborhoods. The week ended with a multicultural celebration.

Positive Outcomes: Staff report that the SAVE initiative has reduced violence and disruption, increased parental and community support of the schools, promoted a culture of involvement, increased perception of unity between the district and local law enforcement, and has created more choices about what to do to prevent violence. (Source: Kubinski, 1999)

Local Management Boards: Collaboration Initiated by the Legislature Across an Entire State

In 1989, the governor of Maryland issued an executive order creating the Subcabinet for Children, Youth, and Families. In 1990, a statute was enacted requiring each local jurisdiction to establish a local governing entity now known as Local Management Boards (LL, Article 49D, Annotated Code of Maryland). By 1997, Local Management Boards (LMBs) were operating in all 24 jurisdictions across Maryland.

LMBs are the core entity established in each jurisdiction to stimulate joint action by state and local government, public and private providers, business and industry, and community residents to build an effective system of services, supports, and opportunities that improve outcomes for children, youth, and families. An example of this process for connecting families, communities, and schools is the partnership established in Anne Arundel County, Maryland, created by county government in December 1993.

The Anne Arundel Local Management Board is a collaborative board responsible for interagency planning, goal setting, resource allocation, developing, implementing, and monitoring interagency services to children and their families. Their mission is to enhance the well-being of all children and their families in Anne Arundel County. All their work focuses on making “children safe in their families and communities,” with goals and priorities established by the board members through a community needs process. The consortium consists of representatives of public and private agencies appointed by the Anne Arundel County executive who serve children and families and private citizens. Membership includes county public schools, the Departments of Social Services, Juvenile Justice, and Health/Mental Health, the County Mental Health Agency, Inc. (Core Service Agency), County Recreation and Parks, county government, and private citizens (e.g., private providers, advocacy groups, parents, and other consumers). Private citizens can compose up to 49 percent of the membership. Board members are appointed by the county executive for a term of four years.

In pursuing their mission, they (a) foster collaboration among all public and private partners; (b) plan a wide array of services; (c) coordinate and pool resources; (d) monitor and evaluate the effectiveness of programs; and (e) provide a forum for communication and advocacy. For instance, the LMB develops community plans for providing comprehensive interagency services with guidelines established by the Subcabinet for Children, Youth, and Families. Examples of program initiatives include:

Early Childhood Programs

- Anne Arundel County Infants and Toddlers Autism Project
- BEST (Behavioral/Emotional Support and Training Program)

- Home Connections Home Visiting Program
- Mom and Tots
- TOTs Line Live
- Arundel Child Care Connections

Juvenile Intervention Programs

- Mental Health Assessors
- ATTEND
- JIFI
- Addictions Counselor

Youth Strategies

- Youth Empowerment Services (YES)
- Combating Underage Drinking
- Keep a Clear Mind
- Teen Court

Afterschool Programs

- School Community Centers
- Youth Services Bureau
- Safe Haven
- Family Preservation Team
- Inter-Agency Coalition for Adolescent Pregnancy Prevention and Parenting
- Disproportionate Minority Representation
- Return/Diversion
- Local Coordinating Council
- Food Link

For more information:

<http://www.aacounty.org/LocalMgmtBoard/currentProgramsIndex.cfm>

Berkeley Alliance: A Citywide Collaboration

The city of Berkeley, California, has a long tradition of valuing education, diversity, and social justice. Moreover, it believes that society is served best when public institutions, educators, and community groups work together.

To enhance their community-school-family collaboration, the City of Berkeley, the University of California-Berkeley, and the Berkeley Unified School District founded the Berkeley Alliance to ensure their values and beliefs are reflected in actions that serve the community. The alliance brings policymakers, institutional leaders, and community representatives together to create solutions and citywide change, ensuring that all Berkeley children, youth, families, and households benefit from the resources in their city.

Mission Statement: The Berkeley Alliance builds strategic community partnerships that strengthen capacity to effect change on critical issues related to social and economic equity in Berkeley.

Strategic Approach: The alliance works to advance social and economic equity in Berkeley through three main strategies:

- Policy development and advocacy for systems change
- Building capacity of local organizations and institutions through leadership and resource development
- Convening forums for community stakeholders and institutional partners to address critical local issues

Structure: The alliance is an independent 501(c) 3 nonprofit organization with a full-time staff based in West Berkeley, a 15-member board of directors composed of founder and community representatives, and an 11-member leadership committee representing partner institutions. Among others, the board and the leadership committee include the mayor, the school district superintendent, the university chancellor, the city manager, a city council member, and the president of the school board, agency heads, and a representative of community volunteers.

A recent, major focus has been on developing an initiative for enhancing integration of resources. The alliance describes this as follows: while most Berkeley youth and children are healthy, doing well in school, and getting the support they need to become thriving adults, this is not the case for all our children. Because of socioeconomic, environmental, and other factors, there are inequities in opportunity structures in Berkeley affecting families in low-wealth communities and young people of color. These disparities can lead to lower academic performance, higher rates of special education and disciplinary referrals, and mental and physical health problems.

The aim is to build on Berkeley's strong educational and social service systems and create a continuum of care that ensures the well-being of all kids and parents. Our goals are to enhance the accessibility and effectiveness of the resources already available in Berkeley, build universal learning supports to reduce educational and wellness disparities, and work with existing assets in low-wealth communities.

Towards these ends, the alliance convened the Berkeley Integrated Resources Initiative (BIRI), a major community change process that addresses a long-standing need for the city's institutions, agencies, and youth programs to change the way they work together. The goal is to address economic, social, and environmental barriers to learning and promote healthy development for children, youth and families. This encompasses concerns for safe schools and communities.

The vision for this communitywide policy and practice endeavor calls for the Berkeley Unified School District, the City of Berkeley, the University of California-Berkeley, and local community organizations to "work collectively and purposely to identify and weave their relevant resources to effectively address barriers to learning and promote healthy development for all Berkeley children and youth." This entails "the strengthening of students, schools, families, and neighborhoods to foster a developmentally appropriate learning environment in which children and youth can thrive. The systemic change process emphasizes a coordinated school improvement and agency reform effort that leverages and weaves school-owned and community-owned resources in a comprehensive manner. In their work together, schools and agencies will create and provide a continuum of support for children and youth that emphasizes promoting healthy development for all, intervening early when problems arise, and providing specialized services to address critical needs."

The BIRI is guided by the alliance leadership group, which adopts priorities and facilitates change at the policy level. A diverse Community Design Team is working to create a strategic change plan—an Agenda for Children and Youth—with a clear vision, set of outcomes and solid recommendations for action. Workgroups such as the Schools Mental Health Partnership and the Birth to Five Action Team analyze specific issues, develop strategies and make recommendations.

(Sources: Berkeley Alliance Web site. Retrieved July 1, 2007, from <http://www.berkeleyalliance.org/> and from two documents prepared by the Berkeley Integrated Resources Initiative in January 2007: (1) *Schools-Mental Health Partnership Strategic Plan* and (2) *Universal Learning Support System Assessment Report*.)

Section 6.

Understanding Key Facets of Collaboration

School-community connections differ in terms of purposes, functions, and 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 (see Table 1, next page). Table 2 (page 32) highlights the wealth of community resources that should be considered in establishing family, community, and school connections.



TABLE 1. KEY DIMENSIONS RELEVANT TO COLLABORATIVE ARRANGEMENTS

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 changes
 - 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., community agency, family of schools,
 - Two or more agencies or other entities)
 - 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 can access what they need

TABLE 1. CONTINUED**VI. Ownership and governance of programs and services**

- A. Owned and governed by school
- B. Owned and 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

TABLE 2. RANGE OF COMMUNITY RESOURCES

County agencies and bodies (e.g., departments of health, mental health, children and family services, public social services, probation, sheriff, office of education, fire, service planning area councils, recreation and parks, library, courts, housing)

Municipal agencies and bodies (e.g., parks and 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, private practitioners)

Mutual support/self-help groups (e.g., for almost every problem and many other activities)

Child care/preschool centers

Postsecondary 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, YMCA/YWCAs, 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)

TABLE 2. CONTINUED

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 access cable)

Family members, local residents, senior citizens groups

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Section 7.

Barriers to Collaboration

Barriers to collaboration arise from a variety of institutional and personal factors. A fundamental institutional barrier 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.

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. 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 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 (e.g., a failure to reconcile differences among participants with respect to the outcomes for which they are accountable; inadequate provision for braiding funds across agencies and categorical programs)
- 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, especially mechanisms for steering and accomplishing work/tasks on a regular, ongoing basis
- Differences in the conditions and incentives associated with participation, such as the fact that meetings usually are set during the work day, which means community agency and school personnel are paid participants, while family members 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,

Collaboration is a developing process . . . it must be nurtured, facilitated, and supported, and special attention must be given to overcoming institutional and personnel barriers.

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 participants 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.

In bringing schools and community agencies to the same table, it is clear that there will be problems related to the differences in organizational mission, functions, cultures, bureaucracies, and accountabilities. Considerable effort will be required to teach and learn from each other about these matters. And, 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.

Fragmentation

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 bringing community agency staff onto school campuses (i.e., co-locating services). Services² 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 opposed to 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

² As the notion of school-community collaboration spreads, the terms services and programs are used interchangeably and the adjective comprehensive often is appended. The tendency to refer to all interventions as services is a problem. Addressing a full range of factors affecting young people's development requires going beyond "services" to utilize an extensive continuum of programmatic interventions. Services themselves should be differentiated to distinguish between narrow-band, personal/clinical services and broad-band, public health and social services. Differentiating services and programs and taking greater care when using the term "comprehensive" can help mediate against tendencies to limit the range of interventions and underscores the breadth of activity requiring coordination and integration.

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 members are rather naive about the culture of schools.

The fragmentation is worsened by the failure of policymakers at all levels to recognize the need to reform and restructure the work of school and community professionals who are in positions to address barriers and facilitate development and learning. For example, the prevailing approach among school reformers is to concentrate almost exclusively on improving instruction and management of schools. When they talk about safety and various other barriers to learning, they mainly focus on security, curriculum approaches to prevention, and “school-linked services.”

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
- Ethnicity
- Gender
- Motivation

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

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 relation-

ships when negative attitudes are allowed to prevail. Interpersonally, the result generally is conflict and poor communication. For example, differences in status, ethnicity, power, orientation, and so forth can cause one or more persons to enter the situation with negative (including competitive) feelings.

Many individuals who have been treated unfairly, discriminated against, or deprived of opportunity and status at school, on the job, or 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—conflicts among collaborative members detract from accomplishing goals and contribute in a major way to burnout.

There are no easy solutions to overcoming deeply embedded negative attitudes. Certainly, a first step is to understand that the nature of the problem is not differences per se but negative perceptions stemming from the politics and psychology of the situation. It is these perceptions that lead to (1) prejudgments that a person is bad because of an observed difference and (2) the view that there is little to be gained from working with that person. Thus, minimally, the task of overcoming negative attitudes interfering with a particular working relationship 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.

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

- Encouraging all participants to defer negative judgments about those with whom they will be working
- Enhancing expectations that working together will be productive, with particular emphasis on establishing the value added by each participant in pursuing mutually desired outcomes
- Ensuring there is appropriate time for making connections
- Establishing an infrastructure that provides support and guidance for effective task accomplishment

- Providing active, task-oriented meeting facilitation that minimizes ego-oriented behavior
- Ensuring regular celebration of positive outcomes that result from working together

On a personal level, it is worth taking time to ensure all participants understand that building relationships and effective communication involve the willingness and ability to:

- Convey empathy and warmth (e.g., to communicate understanding and appreciation of what others are thinking and feeling and to transmit a sense of liking)
- Convey genuine regard and respect (e.g., to transmit real interest and interact in a way that enables others to maintain a feeling of integrity and personal control)
- Talk with, not at, others (e.g., listen actively and be careful not to be judgmental; avoid prying, share experiences as appropriate and needed)

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**BUILDING AND
MAINTAINING
EFFECTIVE
COLLABORATIVES**

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Section 8.

Collaborative Structures and Mechanisms

Policymakers and other leaders must establish a foundation for building collaborative bridges connecting school, family, and community. Policy must be translated into authentic agreements. Although all this takes considerable time and resources, the importance of building such bridges cannot be overemphasized. Failure to establish and successfully maintain effective collaboratives is attributable, in great measure, to the absence of clear, high level, and long-term policy support (Bodilly, Chun, Ikemoto, & Stockly, 2004). For example, the primary agenda of community agencies in working with schools usually is to have better access to clients; this is a marginal item in the school accountability agenda, which is focused on raising test scores and closing the achievement gap. Policy and leadership are needed to address the disconnect in ways that integrate what the agency and school can contribute to each other's mission and elevate the work to a high priority.



When all major parties are committed to building an effective collaboration, the next step is to ensure that they (a) understand that the process involves significant systemic changes, and (b) they have the ability to facilitate such changes. Leaders in this situation must have 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. This encompasses changes related to governance, leadership, planning, implementation, sustainability, scale-up, 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. This involves equalizing power and sharing leadership so that decision making appropriately reflects and accounts for all stakeholder groups.
- 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. All participants must share in the workload—pursuing clear functions.

Evidence of appropriate policy support is seen in the adequacy of funding for capacity building to: (1) accomplish desired system changes and (2) ensure the collaborative operates effectively over time. Accomplishing systemic changes requires establishing temporary facilitative mechanisms and providing incentives, supports, and training to enhance commitment to and capacity for essential changes.

Creating Readiness for Collaboration and New Ways of Doing Business

Matching Motivation and Capabilities

The success of an effective collaborative depends on stakeholders' motivation and capabilities. 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

Key stakeholders must 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.

Readiness Is an Everyday Concern

All changes require constant care and feeding. Those who steer the process must be motivated 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.

Building From Localities Outward

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. Primary emphasis on this level meshes nicely with contemporary restructuring views that stress increased school-based and neighborhood control.

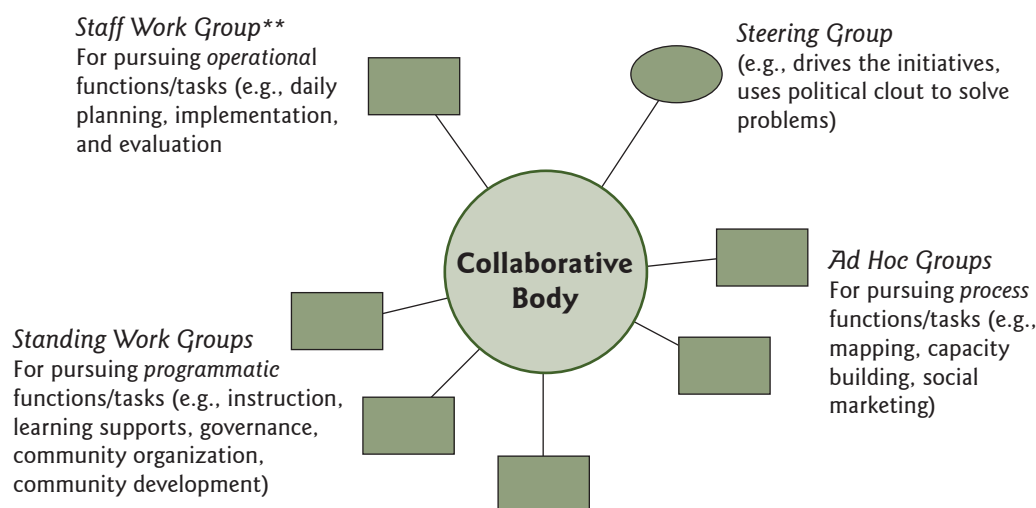
From a local perspective, first the focus is on mechanisms at the school-neighborhood level. Based on analyses of what is needed to facilitate and enhance efforts at a locality, mechanisms are conceived that enable several school-neighborhood collaboratives to work together for increased efficiency, effectiveness, and economies of scale (e.g., connecting a complex or “family” of schools, such as a high school and its feeder schools). Then, systemwide mechanisms can be (re)designed to provide support for what each locality is trying to develop.

Developing an effective collaborative requires an infrastructure of organizational and operational mechanisms at all relevant levels for oversight, leadership, capacity building, and ongoing support (see Figure 1). Such mechanisms are used to (1) make decisions about priorities and resource allocation; (2) maximize systematic planning, implementation, maintenance, and evaluation; (3) enhance and redeploy existing resources and pursue new ones; and (4) nurture the collaborative. At each level, such tasks require pursuing an assertive agenda.

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 policymakers 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.

Basic Facets of a Comprehensive Collaborative Infrastructure*



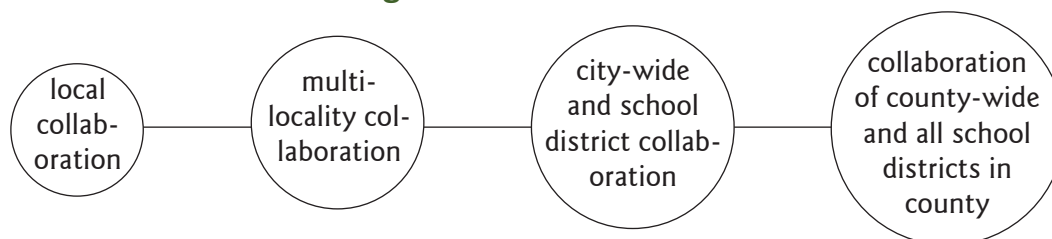
**Staffing

- > Executive Director
- > Organization Facilitator (change agent)

Who should be at the table?

- > families²
- > schools³
- > communities⁴

Connecting Collaboratives at All Levels*



*Collaboratives 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, multi-faceted 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.

²*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.

³*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.

⁴*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.

Figure 1. Basic Facets of a Comprehensive Collaborative Infrastructure

Infrastructure and 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) or may merge several collaboratives to increase efficiency and effectiveness and achieve economies of scale. Finally, “systemwide” (e.g., district, city, county) mechanisms can be designed to provide support for what each locality is trying to develop.

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 (1) adequate resources (time, space, materials, equipment) to support the infrastructure; (2) opportunities to increase ability and generate a sense of renewed mission; and (3) 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.

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 agencies 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, multilocality collaboratives can help (1) coordinate and integrate programs serving multiple schools and neighborhoods; (2) identify and meet common needs for stakeholder development; and (3) create linkages and enhance collaboration among schools and agencies. Such a group can provide a broader-focused mechanism for leadership, communication, maintenance, qual-

ity improvement, and ongoing development of a comprehensive continuum of programs and services. Multilocality 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 multilocality collaboratives are the sharing of needs assessments, resource mapping, analyses, and recommendations for addressing community-school violence and developing prevention programs and safe school and neighborhood plans.

At the systemwide 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 systemwide mechanisms should reflect a clear conception of how each supports local activity. Key at this level is systemwide 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 the entire system. 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.

Table 3 demonstrates some first steps. Appendix C provides some related tools.

TABLE 3. WHAT ARE SOME OF THE FIRST STEPS?**1. Adopting a comprehensive vision for the collaborative**

- The 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

- The 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

- The 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

- The steering committee establishes a work group to prepare a campaign geared to key local and state school and agency policymakers 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 five-year strategic plan

- The steering committee establishes a work group to draft a five 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 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.
- The steering committee circulates a draft of the 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
- The work group makes relevant revisions based on suggestions

continued next page

TABLE 3. CONTINUED

6. Moving the strategic plan to implementation

- The steering committee ensures that key stakeholders finalize and approve the strategic plan.
- The steering committee submits the plan on behalf of key stakeholders to school and agency decisionmakers 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.
- The steering committee establishes a work group to develop the 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, and so forth.

Section 9.

Getting from Here to There

Because building and maintaining effective collaboratives requires systemic changes, the process of getting “from here to there” can be 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, nor how to develop and institutionalize the type of mechanisms required for effective collaboration.

As mentioned previously, 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. Authentic agreements require ongoing modifications 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.

Changes 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.

The real difficulty in changing the course of any enterprise lies not in developing new ideas but in escaping old ones.

—John Maynard
Keynes

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 on collaboration clarifies the value of:

- A high level of policy and leadership commitment that is translated into an inspiring vision and appropriate resources (leadership, space, budget, time)
- Incentives for change, such as intrinsically valued outcomes, expectations for success, recognitions, rewards
- Procedural options that reflect stakeholder strengths and from which those expected to implement change can select options they see as workable
- 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
- Use of change agents who are perceived as pragmatic (e.g., as maintaining ideals while embracing practical solutions)
- Accomplishing change in stages and with realistic timelines
- Providing feedback on progress
- 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 can also make a critical difference. Such concepts stress the value of open, welcoming, inclusive, democratic, and supportive processes.

Mechanisms for System 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 (see sidebar). 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. The steering mechanism is the guardian of the “big picture” vision.

Change Agent and Change Team

During initial implementation of a collaborative infrastructure, tasks and concerns must be addressed expeditiously. To this end, a 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 and Coaches

During initial implementation, the need for mentors and coaches is acute. Inevitably new ideas, roles, and functions require a variety of stakeholder development activities, including demonstrations of new infrastructure mechanisms and program elements. The designated change agent is among the first providing mentorship. The change team must also help 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.

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 or 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 programs

As can be seen in Table 4 (page 55), 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. 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 designing strategies to counter anticipated barriers to change. 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.

A Note of Caution

Most of us know how hard it is to work effectively with a group. Staff members can likely point to many past committees and teams that drained their time and energy to little avail. 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. Table 5 (page 57) offers some guidelines for planning and facilitating effective meetings.

**TABLE 4. 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 (about purposes, processes). For example, 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 information 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.
- 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

continued next page

TABLE 4. CONTINUED

- 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 them.

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.

TABLE 5. 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 a 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, etc. 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 to 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.

continued next page

TABLE 5. CONTINUED

- 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. When this doesn't work, restructuring group membership may be necessary.
- “Ain't it awful!”—Daily frustrations experienced by staff often lead them to turn meetings into gripe sessions. Outside team members (parents, agency staff, business and/or university partners) can influence school staff to exhibit their best behavior.

Making meetings work

A good meeting is task focused and ensures that tasks 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)

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).

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

Section 10.

Using Data for Planning, Implementation, and 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 require that some information be amassed and analyzed. 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:

- 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., asset 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 from existing documents and records (e.g., previous needs assessments, resource directories, budget information, grant proposals, census data, and school, police, hospital, and other organization's reports). Where additional data are needed, they may be gathered using procedures such as checklists, surveys, semi-structured interviews, focus group discussions, and observations.

Appendices C, D, and E contain tools and references to other resources for doing a gap analysis, establishing priorities and objectives, and developing strategic and action plans.

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 beginning on page 64 (Table 7).

As soon as feasible, the collaborative should gather data on its impact and factors that need to be addressed to further 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 Table 6, page 61).

In planning an 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.

A well-designed information management system can be a major aid for 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 (such as 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).

TABLE 6. OTHER INDICATORS OF IMPACT**Students**

Increased knowledge, skills, and attitudes to enhance

- Acceptance of responsibility (including attending, following directions and agreed upon rules/laws)
- Self-esteem and integrity
- Social and working relationships
- Self-evaluation and 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

continued next page

TABLE 6. CONTINUED

- Increased partnerships designed to enhance education and service availability in community
- Enhanced coordination and collaboration between community agencies and school programs and services
- Enhanced focus on agency outreach to meet family needs
- Increased psychological sense of community

Programs and 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 an evidence base for moving in new directions. All data on the collaborative's positive impact need to be packaged and widely shared as soon as they are 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 sub-groups of stakeholders (e.g., must be “enticing,” emphasize that costs are reasonable, and engage them in processes that build consensus and commitment)

The initial phases of social marketing are concerned with creating readiness for change. But, because stakeholders and systems are continuously changing, social marketing is also 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 out 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.”

TABLE 7. BENCHMARKS FOR MONITORING AND REVIEWING COLLABORATIVE 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 and 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 and 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 timeline			
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			

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TABLE 7. CONTINUED

I. Creating Readiness, cont.	Date Started	Date Completed	Current Status
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			
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 and assets • Identification of challenges and barriers			
E. Gap analysis, recommendations, and 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)			
A. Ratification by policymakers 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			

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Section 11.

Legal Issues Involved in Sharing Information

In working as a collaborative, it is essential for agencies and schools to share information. However, confidentiality is a major concern in collaboratives involving various community agencies and schools. In working with minors and their families it is important to establish the type of 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.

Confidentiality 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 recommendations provided in Appendix F.) 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. Concerns about privacy must be balanced with a focus on how to facilitate appropriate sharing of information.

An authorization form for parents can help facilitate the gathering of information that might be sensitive or would otherwise remain confidential. A sample of such a form appears on the following page.

SAMPLE FORM: AUTHORIZATION TO RELEASE INFORMATION

Interagency Project SMART Program

Longfellow Elementary School, 3610 Eucalyptus Avenue, Riverside, California 92507

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 need 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:

- State evaluator
- GAIN worker
- AFDC eligibility technician
- Medi-Cal technician
- Day care
- The family advocate
- The youth service center
- Mental health counselor
- Public health nurses
- Public health van
- Social worker
- Psychologist
- School personnel

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

Student's Name

Room #

Date

Conclusion:

Using Policy for Positive Change

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 about 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 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 interventions needed to make a significant impact in addressing the safety, health, learning, and general well-being of all youngsters through strengthening the young, their 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.

We have produced this guide 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 collaboratives in enhancing school, family, and community connections is first and foremost in the hands of policymakers. 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 connections.

Most important, 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, many current 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.

Appendix A.

A Comprehensive Intervention Framework To Guide Reform

The following frameworks are designed to clarify ways to reframe policy and intervention so that a school and the surrounding community can work together to develop a comprehensive, multifaceted, and cohesive approach for strengthening youngsters, families, schools, and neighborhoods.

An Enhanced Policy Framework

In many cases, the prevailing policy framework marginalizes efforts to address problems that interfere with youngsters' well-being. An enhanced policy framework must stress the need to conceptualize efforts to address problems as a primary, essential, and unified component in both policy and practice. As illustrated in Figure 2, such an “enabling” component complements efforts to directly facilitate learning and development by addressing interfering factors. Such factors include both external and internal “barriers.”

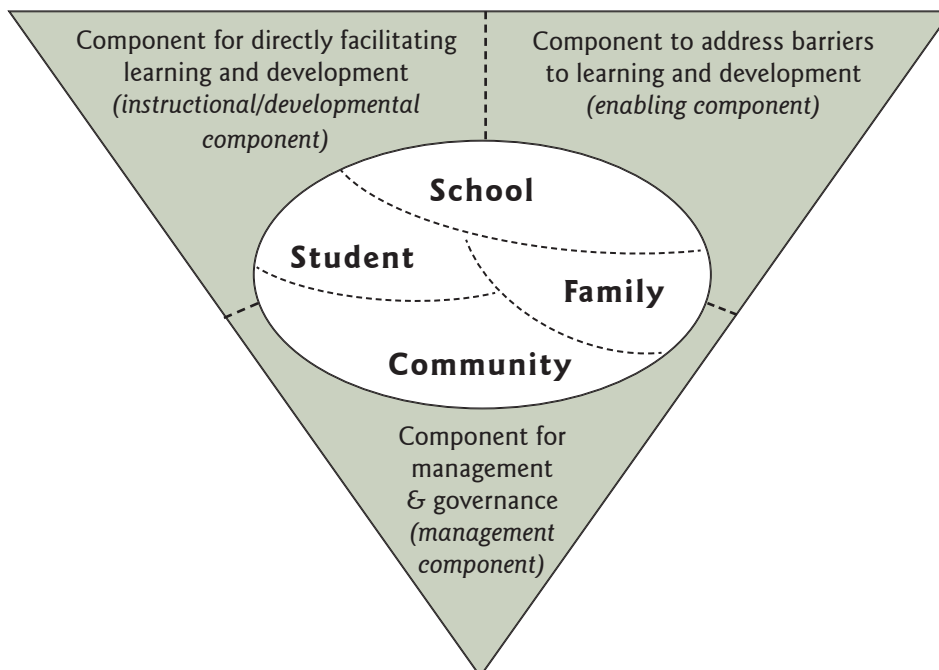


Figure 2. A Three-Component Framework for School Improvement

For students, their families, schools, and neighborhoods, the intent of an enabling component is to address barriers to learning, development, and teaching. The focus is on preventing and minimizing as many interfering factors as possible and to maximize engagement and re-engagement in productive learning. And, all this is to be done in ways that produce a safe, healthful, nurturing environment/culture characterized by respect for differences, trust, caring, support, and high expectations (see Figure 3).

Range of Learners

(Categorized in terms of their response to academic instruction at any given point in time)

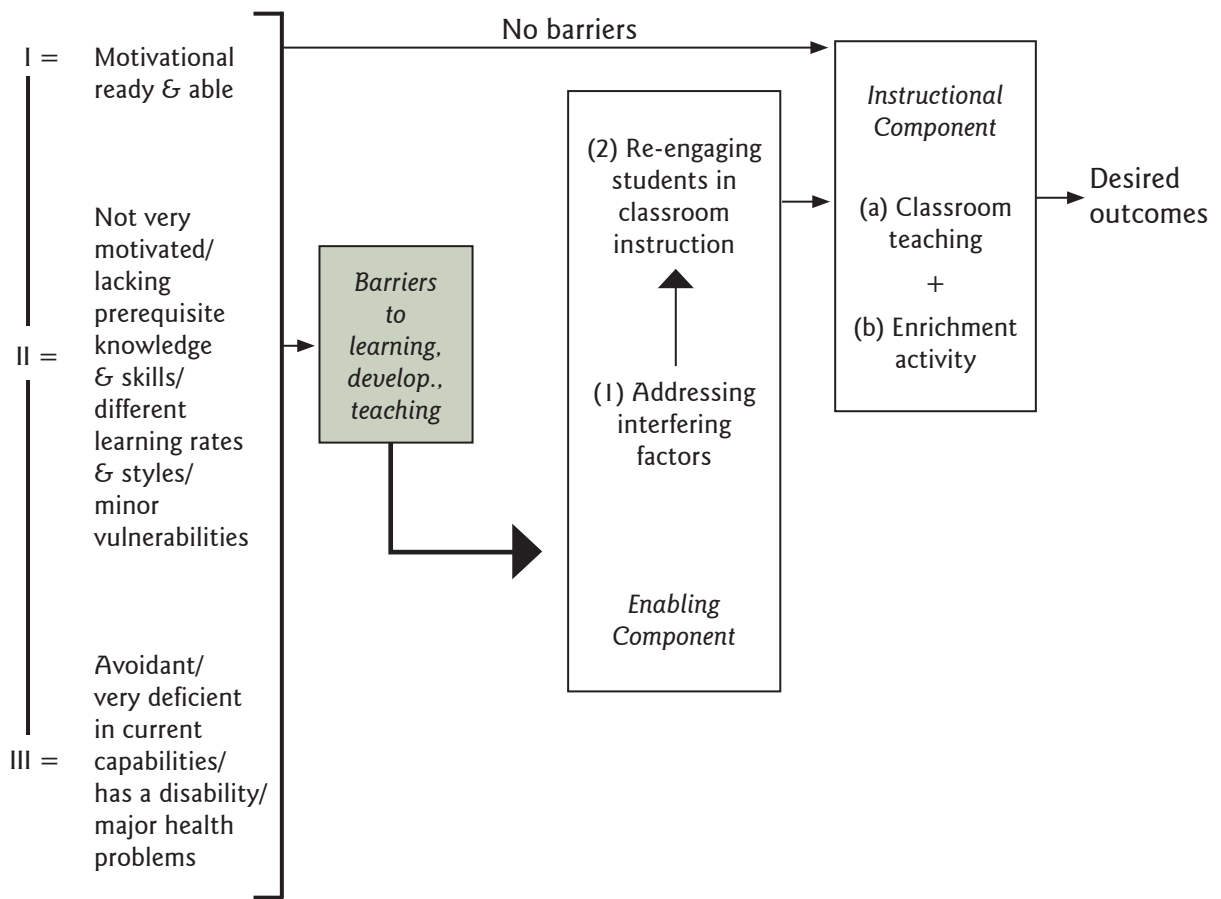


Figure 3. An enabling component to address barriers to learning and enhance healthful development at a school site

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

Reframing Interventions Under a Broad, Unifying Conceptual Umbrella

Because of the many factors that can cause problems, families, schools, and communities must be prepared to use a wide range of responses. Moreover, attention should be given not only to responding to problems, but to preventing them. This means that the package of interventions must be comprehensive and multifaceted. To be effective, it must be implemented in an integrated and systematic manner.

With respect to matters such as school safety, the aim of a school-community-family collaborative should be to develop a comprehensive, multifaceted, and cohesive system of interventions to address factors interfering with students having an equal opportunity to succeed at school. Such an enabling component encompasses (1) an integrated and systemic continuum of interventions and (2) a multifaceted and cohesive set of content arenas.

An Integrated and Systemic Continuum of Interventions

A widely advocated way to outline the continuum of interventions is in terms of levels of focus. To emphasize the importance of an integrated and systemic approach, these levels can be conceived as consisting of

- Systems for promoting healthy development and preventing problems
- Systems for intervening early to address problems as soon after onset as is feasible
- Systems for assisting those with chronic and severe problems (see Figure 4)

This continuum encompasses approaches for enabling academic, social, emotional, and physical development and addressing learning, behavior, and emotional problems. Most schools and communities have some programs and services that fit along the entire continuum.

School Resources

(facilities, stakeholders, programs, services)

Examples:

- General health education
- Social and emotional learning programs
- Recreation programs
- Enrichment programs
- Support for transitions
- Conflict resolution
- Home involvement
- Drug and alcohol education

- Drug counseling
- Pregnancy prevention
- Violence prevention
- Gang intervention
- Dropout prevention
- Suicide prevention
- Learning/behavior accommodations and response to intervention
- Work programs

- Special education for learning disabilities, emotional disturbance, and other health impairments

Systems for Promoting Healthy Development and Preventing Problems

Primary prevention – includes universal interventions, (low-end need/low cost per individual programs)

Systems of Early Intervention

Early-after-onset – includes selective and indicated interventions (moderate need, moderate cost per individual)

Systems of Care

Treatment/indicated interventions for severe and chronic problems (High-end need/high cost per individual programs)

Community Resources

(facilities, stakeholders, programs, services)

Examples:

- Recreation and enrichment
- Public health and safety programs
- Prenatal care
- Home visiting programs
- Immunizations
- Child abuse education
- Internships and community service programs
- Economic development

- Early identification to treat health problems
- Monitoring health problems
- Short-term counseling
- Foster placement/group homes
- Family support
- Shelter, food, clothing
- Job programs

- Emergency/crisis treatment
- Family preservation
- Long-term therapy
- Probation/incarceration
- Disabilities program
- Hospitalization
- Drug treatment

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

Such collaboration involves horizontal and vertical restructuring of programs and services

- (a) within jurisdictions, school districts, and community agencies (e.g., among departments, divisions, units, schools, clusters of schools)
- (b) between jurisdictions, school and community agencies, public and private sectors; among schools; among community agencies

*Various venues, concepts, and initiatives permeate this continuum of intervention systems. For example, venues such as day care and preschools, concepts such as social and emotional learning and development, and initiatives such as positive behavior support, response to intervention, and coordinated school health. Also, a considerable variety of staff are involved.

Figure 4. A Continuum of Interconnected Systems for Meeting the Needs of All Students: One Key Facet of an Enabling Component. Adapted from various public domain documents authored by H. S. Adelman & L. Taylor and circulated through the Center for Mental Health in Schools at UCLA.

A Multifaceted and Cohesive Set of Content Arenas

To enhance programs across the continuum, pioneering efforts have begun to merge programs and services that address factors interfering with youngster's well-being into six content arenas. In doing so, they have moved from a "laundry list" of programs, services, and activities to a defined and organized way to capture the essence of the multifaceted interventions schools and communities must use to address barriers to learning, development, and teaching (see Figure 5).³

The six content arenas encompass efforts to effectively:

- Enhance regular classroom strategies to enable learning (i.e., improving instruction for students who have become disengaged from learning at school and for those with mild-moderate learning and behavior problems)
- Support transitions (i.e., assisting students and families as they negotiate school and grade changes and many other transitions)
- Increase home and school connections
- Respond to, and where feasible, prevent crises
- Increase community involvement and support (outreach to develop greater community involvement and support, including enhanced use of volunteers)
- Facilitate student and family access to effective services and special assistance as needed.

³ The six categories were developed as part of research on education support programs. It should be noted that the six content arenas have been used to organize analyses of the growing research base that indicates the importance and promise of a unifying approach for addressing behavior, learning, and emotional problems. See the following two documents prepared by the Center for Mental Health in Schools at UCLA: (1) *A Sampling of Outcome Findings From Interventions Relevant to Addressing Barriers to Learning* and (2) *Addressing Barriers to Student Learning & Promoting Healthy Development: A Usable Research Base*. Both can be downloaded from the Center's Web site at: <http://smhp.psych.ucla.edu>.

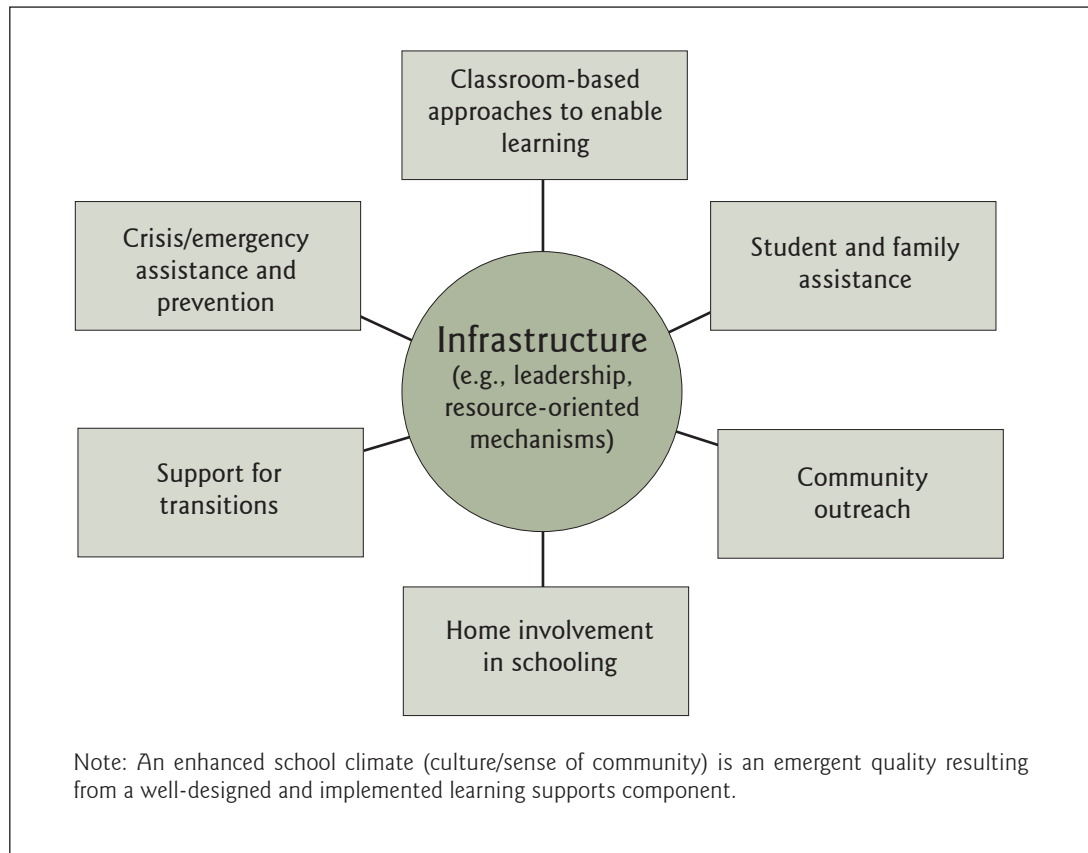


Figure 5. Intervention Content Arenas: A Second Facet of an Enabling Component.

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

Combining the Continuum and the Content Arenas Yields a Guiding Matrix

The six content arenas (Figure 5) and the continuum of interventions (Figure 4) provide a comprehensive and multifaceted intervention framework to guide and unify school improvement planning for developing an enabling component. The resultant matrix is shown in Figure 6. This unifying framework facilitates mapping and analyzing the current scope and content of how a school, a family of schools (e.g., a feeder pattern of schools) a district, and the community at each level addresses factors interfering with learning, development, and teaching.

Collaborative participants need to understand the essence of such a unifying intervention framework. Ultimately, the well-being of youngsters, their families, schools, and neighborhoods depends on the development of such a comprehensive, multifaceted, and cohesive system for addressing interfering factors and promoting well-being. That is why strong and formal connections among all stakeholders are imperative.

Levels of Intervention		
Intervention Content Areas		
	Systems for promoting healthy development and preventing problems	Systems for early intervention (early after problem onset)
		Systems of care
	Classroom-focused enabling	
	Crisis/emergency assistance and prevention	
	Support for transitions	
	Home involvement in Schooling	
	Community outreach/volunteers	
	Student and family assistance	
	Accommodations for differences and disabilities	Specialized assistance and other intensified interventions (e.g., special education and school-based behavioral health)

Figure 6. Matrix for Reviewing the Nature and Scope of an Enabling Component

Note that various venues, concepts, and initiatives will fit into several cells of the matrix. Examples include venues such as day care centers, preschools, family centers, and school-based health centers, concepts such as social and emotional learning and development, and initiatives such as Safe Schools/Healthy Students, positive behavior support, response to interventions, and the coordinated school health program. Most of the work of the considerable variety of personnel who provide student supports also fits into one or more cells

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Appendix B.

About Financing

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

It is unlikely that a single financing approach will serve to support an agenda for major systemic changes. Thus:

- Draw from the widest array of resources
- Braid and blend funds

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? Look at:

- All levels (local/state/federal)
- Public and private grants/initiatives
- Education categorical programs (Safe and Drug Free Schools, Title I, Special Education)
- Health/Medicaid funding (including “Early Periodic Screening, Diagnosis, & 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) that open the door to leveraging new sources of mental health 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 or work-study

For More Information

The Internet provides ready access to information on funding and financing. Examples to check regarding funding:

- The electronic storefront for updated information on federal grants
<http://www.grants.gov>
- GrantsAlert
<http://www.grantsalert.com>
- School Health Program Finance Project Database
<http://www2.cdc.gov/nccdphp/shpfp/index.asp>
- The Catalog of Federal Domestic Assistance
<http://www.cfda.gov/>

- The Federal Register
<http://www.gpoaccess.gov/fr/>
- National Conference of State Legislators (search School Health)
<http://ncsl.org/>
- The Foundation Center
<http://fdncenter.org>
- Connect for Kids' Toolkit for Funding
<http://www.connectforkids.org/node/245>
- Financing and funding (general resources)
http://smhp.psych.ucla.edu/qf/p1404_02.htm
- Surfin' for Funds (guide to web financing info)
<http://smhp.psych.ucla.edu/pdfdocs/fundfish.pdf>

Regarding financing issues and strategies, see:

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

Note: To foster service coordination, there are several ways to use existing dollars provided to a district by the federal government. See "Using Federal Education Legislation in Moving Toward a Comprehensive, Multifaceted, and Integrated Approach to Addressing Barriers to Learning" at:

<http://smhp.psych.ucla.edu/pdfdocs/federallegislation.pdf>

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Appendix C.

Tools for Creating Readiness for Change

To create readiness for change, it is essential 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

The tools on the following pages provide examples of aids that can be adapted for pursuing these process objectives.

Survey: Connecting Families-School-Community

Connecting the resources of families, schools, and the community is essential to enhancing 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 _____ E-mail _____ Fax _____

Address _____

Please return this to _____

We want to involve a wide 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.

Focus Group Tool: Shared Hopes for the Future of Our Children, Families, Schools, and Neighborhood

Note to participants: We have invited you to this session to help us better understand the 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.

The three questions we want to explore are:

1. What is the current vision for strengthening youngsters, families, schools, and the neighborhood?

2. What are current agenda priorities for accomplishing this?

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

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

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Appendix D.

Tools for Gap Analysis and Planning

As first steps toward longer-range strategic planning, it is helpful to revisit current efforts to support the “big picture” in order to clarify the gaps.

Tool: Gap Analysis and Consensus Building

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.

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

2. What is the nature and scope of the gap between the vision and the current state of affairs?

Process (if done by group):

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

Work Sheet
Clarifying Assets and Barriers for Collaboration

School staff (including district staff)	
Assets What talents, strengths, opportunities, etc. of the school staff can help with collaboration?	Barriers What barriers may arise related to mobilizing school staff to help?
Community stakeholders (including family members and students)	
Assets What talents, strengths, opportunities, etc. of the community stakeholders can help?	Barriers What barriers may arise related to mobilizing community stakeholders to help?

Action Planning Work Sheet: Getting From Here to There

- I. What do group members think must be done in order to “get from here to there” (in terms of general steps and timetables and the long-range perspective)? What actions must be taken? By whom? What must be done so that the necessary steps are taken?

Process:

- First brainstorm and record results
- Then, arrive at consensus

2. Planning specific objectives and strategies—What do you see as the first/next steps that must be taken?

Process: Use whiteboard or newsprint to chart

A. Objectives to be accomplished

B. Specific strategies for accomplishing the objectives

C. Who will carry out the strategies

D. Timeline for accomplishing each strategy and plans for monitoring progress and making revisions

E. Factors that need to be anticipated as possible problems and how they will be dealt with.

Action Planning Summary

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

Appendix E.

Tools for Mapping 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 current efforts and formulating meaningful recommendations about priorities and resource (re)allocation. Such understanding provides a basis for making decisions about next steps. Mapping of this type is conducted in stages. This appendix contains tools to begin the process, including the following surveys (designed as self-study guides):

Survey 1. Family-Community-School Collaboration

- A. Overview of Areas for Collaboration
- B. Overview of System Status for Enhancing Collaboration
- C. Collaboration To Strengthen the School
- D. Collaboration To Strengthen the Neighborhood

Survey 2. Who and What Are at a School

Survey 3. Survey of System Status at a School

Survey 4. Analysis of Mechanisms for Connecting Resources

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.

Survey 1. Family-Community-School Collaboration

Formal efforts to create collaboratives to strengthen students, families, schools, and neighborhoods involve building formal relationships that connect resources involved in preK-12 schooling with 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 current efforts as a basis for determining what needs to be done. You will want to pay special attention to:

- Clarifying what resources are already available
- How the resources are organized to work together
- What procedures are in place for enhancing resource usefulness

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

This type of self-study is best done by teams. For example, a group of stakeholders could use the items to discuss how well specific processes and programs are functioning. 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. They may see that other activity should be enhanced. Decisions may also be made regarding new desired activities, with priorities and timelines established.

A. 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?
1. Improving the School (Name of school(s): _____)					
a.	Instructional component of schooling	_____	_____	_____	_____
b.	Governance and management of schooling	_____	_____	_____	_____
c.	Financial support for schooling	_____	_____	_____	_____
d.	School-based programs and services to address barriers to learning	_____	_____	_____	_____
2. Improving the Neighborhood (Through enhancing linkages with the school, including use of school facilities and resources)					
a.	Youth development programs	_____	_____	_____	_____
b.	Youth and family recreation and enrichment opportunities	_____	_____	_____	_____
c.	Physical health services	_____	_____	_____	_____
d.	Mental health services	_____	_____	_____	_____
e.	Programs to address psychosocial problems	_____	_____	_____	_____
f.	Basic living needs services	_____	_____	_____	_____
g.	Work/career programs	_____	_____	_____	_____
h.	Social services	_____	_____	_____	_____
i.	Crime and juvenile justice programs	_____	_____	_____	_____
j.	Legal assistance	_____	_____	_____	_____
k.	Support for development of neighborhood organizations	_____	_____	_____	_____
l.	Economic development programs	_____	_____	_____	_____

B. Overview of System Status for Enhancing Collaboration

Items 1–7 ask about what processes are in place. Use the following ratings in responding. 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

Items 8–9 ask about effectiveness of existing processes. Use the following ratings in responding: DK = don't know, 1 = hardly ever effective, 2 = effective about 25 percent of the time, 3 = effective about half the time, 4 = effective about 75 percent 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 (through enhancing links with the school, including use of school facilities and resources)

C. 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 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. 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. 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 _____	_____	_____	_____	_____

D. 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 that apply):

Name of school(s):	Yes	Yes, but more of this is needed	No	If no, is this something you want?
Partnerships to improve				
1. Youth development programs				
a. Home visitation programs				
b. Parent education				
c. Infant and toddler programs				
d. Child care/children's centers/ preschool programs				
e. Community service programs				
f. Public health and safety programs				
g. Leadership development programs				
h. Other _____				
2. Youth and family recreation and enrichment opportunities				
a. Art/music/cultural programs				
b. Parks' programs				
c. Youth clubs				
d. Scouts				
e. Youth sports leagues				
f. Community centers				
g. Library programs				
h. Faith community's activities				
i. Camping programs				
j. Other _____				
3. Physical health services				
a. School-based/linked clinics for primary care				
b. Immunization clinics				
c. Communicable disease control programs				
d. EPSDT programs				
e. Pro bono/volunteer programs				
f. AIDS/HIV program				
g. Asthma program				
h. Pregnant and parenting minors programs				
i. Dental services				
j. Vision and hearing services				
k. Referral facilitation				
l. Emergency care				
m. Other _____				

	Yes	Yes, but more of this is needed	No	If no, is this something you want?
4. Mental health services				
a. School-based/linked clinics with mental health component	_____	_____	_____	_____
b. EPSDT mental health focus	_____	_____	_____	_____
c. Pro bono/volunteer programs	_____	_____	_____	_____
d. Referral facilitation	_____	_____	_____	_____
e. Counseling	_____	_____	_____	_____
f. Crisis hot lines	_____	_____	_____	_____
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	_____	_____	_____	_____
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 _____	_____	_____	_____	_____

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

Survey 2. Who and What Are at the School

School psychologist _____

Times at the school _____

Provides assessment and testing of students for special services; counseling for students and parents; support services for teachers; prevention, crisis, and conflict resolution; program modification for special learning and/or behavioral needs

School nurse _____

Times at the school _____

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

Pupil services and attendance counselor _____

Times at the school _____

Provide a liaison between school and home to maximize school attendance and transition counseling for returnees; enhance attendance improvement activities

Social worker _____

Times at the school _____

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

Counselors _____

Times at the school _____

Times at the school _____

General and special counseling/guidance services; consultation with parents and school staff

Dropout prevention coordinator _____

Times at the school _____

Coordinates activity designed to prevent dropping out

Title I and bilingual coordinators _____

Coordinates categorical programs; provides services to identified Title I students; implements bilingual master plan (supervising the curriculum, testing, and so forth)

Resource and special education teachers _____

Times at the school _____

Times at the school _____

Times at the school _____

Provide information on program modifications for students in regular classrooms as well as providing services for special education

OTHER IMPORTANT RESOURCES

School-based crisis team (list by name/title)

School improvement program planners

Community resources

Provide school-linked or school-based interventions and resources

Who	What they do	When

Tool 3. Survey of System Status at a School

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

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

Tool 4. Analysis of Mechanisms for Connecting Resources

- I. What are the existing mechanisms in your school and community for integrating:
 - a. Intervention efforts?
 - b. Key leaders?
 - c. Interagency administrative groups?
 - d. Collaboratives to enhance working together?
 - e. Interdisciplinary bodies?
 - f. Workgroups to map, analyze, and redeploy resources?
 - g. Resource-oriented mechanisms to enhance integration of effort?
2. Which of these mechanisms would address your concerns about strengthening collaborative efforts about safety and well-being?
 - a. What changes might need to be made in the existing mechanisms to better address your concerns? (e.g., more involvement of leadership from the school? broadening the focus of existing teams to encompass an emphasis on how resources are deployed?)
 - b. What new mechanisms are required to ensure that family-community and school connections are enhanced? (e.g., establishment of a resource council for the feeder pattern of schools and their surrounding community?)

Appendix F.

Balancing Student Privacy and School Safety: A Guide to the Family Educational Rights and Privacy Act for Elementary and Secondary Schools

The following information is reprinted from the U.S. Department of Education Web site. This document and other resources regarding FERPA can be found at: <http://www.ed.gov/policy/gen/guid/fpco/ferpa/safeschools/index.html>.

School officials are regularly asked to balance the interests of safety and privacy for individual students. While the Family Educational Rights and Privacy Act (FERPA) generally requires schools to ask for written consent before disclosing a student's personally identifiable information to individuals other than his or her parents, it also allows schools to take key steps to maintain school safety. Understanding the law empowers school officials to act decisively and quickly when issues arise.

Health or Safety Emergency

In an emergency, FERPA permits school officials to disclose without consent education records, including personally identifiable information from those records, to protect the health or safety of students or other individuals. At such times, records and information may be released to appropriate parties such as law enforcement officials, public health officials, and trained medical personnel. See 34 CFR § 99.31(a)(10) and § 99.36. This exception is limited to the period of the emergency and generally does not allow for a blanket release of personally identifiable information from a student's education records.

Law Enforcement Unit Records

Many school districts employ security staff to monitor safety and security in and around schools. Some schools employ off-duty police officers as school security officers, while others designate a particular school official to be responsible for referring potential or alleged violations of law to local police authorities. Under FERPA, investigative reports and other records created and maintained by these “law enforcement units” are not considered “education records” subject to FERPA. Accordingly, schools may disclose information from law enforcement unit records to anyone, including outside law enforcement authorities, without parental consent. See 34 CFR § 99.8.

While a school has flexibility in deciding how to carry out safety functions, it must also indicate to parents in its school policy or information provided to parents which office or school official serves as the school’s “law enforcement unit.” (The school’s notification to parents of their rights under FERPA can include this designation. As an example, the U.S. Department of Education has posted a model notification on the Web at:

<http://www.ed.gov/policy/gen/guid/fpco/ferpa/lea-officials.html>.)

Law enforcement unit officials who are employed by the school should be designated in its FERPA notification as “school officials” with a “legitimate educational interest.” As such, they may be given access to personally identifiable information from students’ education records. The school’s law enforcement unit officials must protect the privacy of education records it receives and may disclose them only in compliance with FERPA. For that reason, it is advisable that law enforcement unit records be maintained separately from education records.

Security Videos

Schools are increasingly using security cameras as a tool to monitor and improve student safety. Images of students captured on security videotapes that are maintained by the school’s law enforcement unit are not considered education records under FERPA. Accordingly, these videotapes may be shared with parents of students whose images are on the video and with outside law enforcement authorities, as appropriate. Schools that do not have a designated law enforcement unit might consider designating an employee to serve as the “law enforcement unit” in order to maintain the security camera and determine the appropriate circumstances in which the school would disclose recorded images.

Personal Knowledge or Observation

FERPA does not prohibit a school official from disclosing information about a student if the information is obtained through the school official’s personal

knowledge or observation, and not from the student's education records. For example, if a teacher overhears a student making threatening remarks to other students, FERPA does not protect that information, and the teacher may disclose what he or she overheard to appropriate authorities.

Transfer of Education Records

Finally, under FERPA, school officials may disclose any and all education records, including disciplinary records and records that were created as a result of a student receiving special education services under Part B of the Individuals with Disabilities Education Act, to another school or postsecondary institution at which the student seeks or intends to enroll. While parental consent is not required for transferring education records, the school's annual FERPA notification should indicate that such disclosures are made. In the absence of information about disclosures in the annual FERPA notification, school officials must make a reasonable attempt to notify the parent about the disclosure, unless the parent initiated the disclosure. Additionally, upon request, schools must provide a copy of the information disclosed and an opportunity for a hearing. See 34 CFR § 99.31(a)(2) and § 99.34(a).

Contact Information

While the education agency or institution has the responsibility to make the initial, case-by-case determination of whether a disclosure is necessary to protect the health or safety of students or other individuals, U.S. Department of Education staff members are available to offer assistance in making this determination. For further information about FERPA, contact the Department's Family Policy Compliance Office:

Family Policy Compliance Office
U.S. Department of Education
400 Maryland Ave. S.W.
Washington, DC 20202-5920
202-260-3887

For quick, informal responses to routine questions about FERPA, parents may also e-mail the Family Policy Compliance Office at FERPA. **Customer@ED.Gov.**

For inquiries about FERPA compliance training, e-mail FERPA. **Client@ED.Gov.**

Additional information and guidance may be found at FPCO's Web site at:
<http://www.ed.gov/policy/gen/guid/fpc/index.html>.

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Resources

The Hamilton Fish Institute on School and Community Violence

<http://www.hamfish.org>

Founded with the assistance of Congress in 1997, the institute serves as a national resource to test the effectiveness of school violence prevention methods. The Institute's goal is to determine what works and which programs can be replicated to reduce school violence.

Northwest Regional Educational Laboratory (NWREL)

<http://www.nwrel.org>

NWREL is the parent organization of the Northwest Comprehensive Center, which provides information about coordination and consolidation of federal educational programs and general school improvement to meet the needs of special populations of children and youth, particularly those programs operated in the Northwest region through the U.S. Department of Education. The Web site has an extensive online library containing articles, publications, and multimedia resources. It also has a list of other agencies and advocacy groups that address issues pertaining to, among other things, school safety issues, as well as alcohol and drug abuse.

Annie E. Casey Foundation

<http://www.aecf.org/>

A private charitable organization dedicated to helping build better futures for disadvantaged children in the United States. Its primary mission is to foster public policies, human-service reforms, and community supports that more effectively meet the needs of today's vulnerable children and families. The foundation makes grants that help states, cities, and neighborhoods fashion more innovative, cost-effective responses to these needs.

Center for Community Change

<http://www.communitychange.org/>

This center helps low-income people, especially people of color, build powerful, effective organizations through which they can change their communities and public policies for the better.

Center for Community Partnerships

<http://www.upenn.edu/ccp>

Founded in 1992, the Center for Community Partnerships is Pennsylvania's primary vehicle for bringing to bear the broad range of human knowledge needed to solve the complex, comprehensive, and interconnected problems of the U.S. urban environment. This center has an online database on school-college partnerships nationwide.

Center for Family, School, and Community (FSC)

<http://www2.edc.org/fsc/>

This unit of the Education Development Center, Inc. strives to empower families, invigorate schools and curricula, and nurture community support through a variety of programs that prepare children to become lifelong learners, productive workers, and responsible members of a pluralistic society.

Center for Family Involvement in Schools (CFIS)

<http://www.rci.rutgers.edu/~cfis/>

CFIS provides equity-focused professional development programs and resources that strengthen family-school-community partnerships and encourage and support the academic, intellectual, and social development of all children.

Center for Mental Health in Schools

<http://smhp.psych.ucla.edu>

This national center for policy and program analysis also offers a wide range of technical assistance, training, and resource materials relevant to schools, communities, and families and collaboration. Most of the resources are available through the Web site. The center also circulates an electronic newsletter each month and a quarterly topical newsletter—both are available at no cost. The center approaches mental health and psychosocial concerns from the broad perspective of addressing barriers to learning and promoting healthful development. Its mission is to improve outcomes for young people by enhancing policies, programs, and practices relevant to mental health in schools.

Center for School Mental Health

<http://csmha.umaryland.edu>

This center provides leadership and technical assistance to advance effective interdisciplinary school-based mental health programs. It strives to support schools and community collaboratives in the development of programs that are accessible, family-centered, culturally sensitive, and responsive to local needs.

Center for Schools and Communities

<http://www.center-school.org>

This center's work focuses on prevention and intervention initiatives operated by schools, organizations, and agencies serving children, youth, and families. It provides customized technical assistance to support the development of innovative programs in schools and communities. The center also offers services and resources, training and conferences, technical assistance, evaluations, publications, and a resource library.

Center on School, Family, and Community Partnerships

<http://www.csos.jhu.edu/p2000/center.htm>

The center's mission is to conduct and disseminate research, development, and policy anal-

yses that produce new and useful knowledge and practices that help families, educators, and members of communities work together to improve schools, strengthen families, and enhance student learning and development. Current projects include the development of and research on the center's National Network of Partnership Schools. This network guides school, district, and state leaders, and teams of educators, parents, and others to improve school, family, and community partnerships.

Center for Substance Abuse Prevention

<http://www.samhsa.gov/centers/csap/csap.html>

This site includes model programs, access to training and technical assistance, links to prevention and funding resources, and free publications.

Child and Family Policy Center

<http://www.cfpciowa.org>

This center is a state-based, policy-research implementation organization. Its mission is to better link research with public policy on issues vital to children and families, thus strengthening families and providing full development opportunities for children.

Children, Youth, and Families Education and Research Network (CYFERnet)

<http://www.cyfernet.org>

CYFERnet is a national network of land grant university faculty and county extension educators working to support community-based educational programs for children, youth, parents, and families. Through CYFERnet, partnering institutions merge resources into a "national network of expertise" working collaboratively to assist communities. CYFERnet provides program, evaluation, and technology assistance for children, youth, and family community-based programs.

Coalition for Community Schools

<http://www.communityschools.org>

The Coalition for Community Schools works toward improving education and helping students learn and grow while supporting and strengthening their families and communities.

Communities in Schools

<http://www.cisnet.org>

This site's network for effective community partnerships provides information on connecting needed community resources with schools to help young people learn.

Educational Resources Information Center (ERIC)

<http://www.eric.ed.gov>

ERIC is a national information system designed to provide ready access to an extensive body of education-related literature.

Family and Youth Services Bureau (FYSB)

<http://www.acf.dhhs.gov/programs/fysb>

The FYSP focus is on national leadership related to youth issues and effective, comprehensive services for youth in at-risk situations and their families. A primary goal of FYSB programs is to provide positive alternatives for youth, ensure their safety, and maximize their potential to take advantage of available opportunities. The site includes information on teen runaways, and children's health insurance, policy, and funding.

Family Involvement in Children's Education

<http://www.ed.gov/pubs/FamInvolve>

This site features strategies that 20 local Title I programs use to overcome barriers to parent involvement, including family resource centers.

***Federation of Families for Children's Mental Health/
Parent Professional Advocacy League (PAL)***

<http://www.ffcmh.org>

The Parent Professional Advocacy League (PAL) is a statewide network of families, local family support groups, and professionals who advocate on behalf of children and adolescents with mental, emotional, or behavioral special needs and their families to effect family empowerment and systems change. Current focuses and activities include (1) Medicaid managed care advocacy, (2) statewide antistigma and positive awareness campaign, and (3) special education defense.

Institute of Education Sciences (IES)

<http://www.ed.gov/about/offices/list/ies/index.html?src=mr>

The Education Sciences Reform Act of 2002 established the Institute of Education Sciences (IES) within the U.S. Department of Education. The mission of IES is to provide rigorous evidence on which to ground education practice and policy. This is accomplished through the work of its four centers.

Institute for Educational Leadership (IEL)

<http://www.iel.org>

This nonprofit organization is dedicated to collaborative problem-solving strategies in education and among education, human services, and other sectors. The institute's programs focus on leadership development, cross-sector alliances, demographic analyses, business-education partnerships, school restructuring, and programs concerning at-risk youth.

Join Together

<http://www.jointogether.org>

Join Together is a national resource for communities fighting substance abuse and gun violence.

National Center for Service Integration Clearinghouse (NCSI)

<http://www.cfpciowa.org/initiatives/national/nsci.htm>

The Child & Family Policy Center (CFPC) heads the Technical Assistance Clearinghouse of the National Center for Service Integration (NCSI). This clearinghouse was established in 1991 through federal funding to serve as a resource center on community-based strategies to develop more comprehensive and effective services for children and families. Although federal funding has ended, CFPC continues to manage the clearinghouse and disseminate NCSI resource briefs and other publications on topics related to service integration.

National Center for Family and Community Connections with Schools

<http://www.sedl.org/connections>

This center provides practitioners across the country with research- and practice-based resources for how families and communities can work with schools to support student achievement, especially in reading and mathematics. The work of the center addresses three areas: how to involve families from diverse communities in schools; how to involve parents in preparing children to enter kindergarten; and how to involve community organizations in developing high-performing learning communities in schools.

National Clearinghouse on Families and Youth (NCFY)

<http://www.ncfy.com/>

This central source of information on youth and family policy and practice was established by the Family and Youth Services Bureau, Administration on Children, Youth, and Families, and U.S. Department of Health and Human Services. It produces technical assistance publications on youth and family programming, manages an information line through which individuals and organizations can access information on youth and family issues, and sends materials for distribution at conferences and training events. The site contains information for professionals, policymakers, researchers, and media on new youth- and family-related materials and initiatives, and grant announcements.

National Coalition for Parent Involvement in Education (NCPIE)

<http://www.ncpie.org>

This coalition advocates home, school, and community involvement and interaction in order to enhance the education of all children. The NCPIE site offers resources that emphasize the importance of family-school partnerships.

National Education Association (NEA)

<http://www.nea.org>

Committed to advancing the cause of public education, the NEA's site describes school-community partnerships that are active at the local, state, and national level. It also has links to useful resources.

National Families in Action (NFIA)

<http://www.emory.edu/NFIA/index.html>

NFIA's goal is to help parents prevent drug abuse in their families and communities. Its site includes up-to-date news, cultural/ethnic connections, drug information, a publications catalog, and resource links.

National Institute for Urban School Improvement Library

<http://www2.edc.org/urban/library.asp>

The library, created by the National Institute for Urban School Improvement, is a searchable online database intended to help bridge the gap between research and practice in the overlapping fields of urban education and inclusive schooling. The library contains annotated references to the full range of research and information related to these areas. In addition to books and journal articles, the library contains descriptions of videos, position papers, project reports, program descriptions, and a variety of other media.

National Network for Collaboration

<http://crs.uvm.edu/nnco>

Part of the Children, Youth, and Families Education and Research Network (CYFERnet), this network's purpose is to expand the knowledge base and skill level of Cooperative Extension System Educators, agency and organizational partners, youth, and citizens by establishing a network that creates environments that foster collaboration and leads to citizen problem solving to improve the lives of children, youth, and families. It designs and offers programs to help in addressing identified issues facing children, youth, and families. These programs focus on the process of collaboration at both the community grassroots level and the more formalized agency and organizational levels. They use various models and match them with the needs of the community.

National Network of Partnership Schools

<http://www.csos.jhu.edu/p2000>

The National Network of Partnership Schools (established by researchers at Johns Hopkins University) brings together schools, districts, and states that are committed to developing and maintaining comprehensive programs of school-family-community partnerships.

National PTA

<http://www.pta.org>

The National PTA supports and speaks on behalf of children and youth in the schools, in the community, and before governmental bodies and other organizations that make decisions affecting children. It assists parents in developing the skills they need to raise and protect their children and encourages parent and public involvement in the public schools. Site provides information on annual conventions, periodical subscriptions, updates on legislative activity, links to other PTAs and children's advocacy groups, as well as chats, bulletin boards, and more.

Parents as Teachers (PAT) National Center

<http://www.patnc.org>

The PAT program is a parent education program that supports parents as their children's first teachers. An evaluation of the program is also presented.

Southwest Educational Development Laboratory (SEDL)

<http://www.sedl.org>

SEDL is a private, not-for-profit education research and development (R&D) corporation based in Austin, Texas. It works with educators, parents, community members, and policy-makers to build or find strategies and tools addressing pressing educational problems and puts the strategies into practice to improve education for all students. It exists to challenge, support, and enrich educational systems in providing quality education for all learners, enabling them to lead productive and fulfilling lives in an ever-changing, increasingly interconnected world. A major area of emphasis is on family and community connections with schools through its National Center for Family and Community Connections with Schools

Substance Abuse & Mental Health Services Administration (SAMHSA)

<http://www.samhsa.gov>

This site includes model programs, access to training and technical assistance, links to prevention and funding resources, and free publications.

Together We Can

<http://www.togetherwecan.org>

Leaders across America—from neighborhoods to state houses, from parent groups to public and private agencies, from schools and social welfare organizations to economic development and community organizing groups—are endeavoring to work together toward a shared vision for their communities and improved results for their children and families. The mission of Together We Can is to strengthen and sustain the capacity of community collaboratives and state initiatives to move toward that shared vision.

U.S. Department of Education: Back to School

<http://www.ed.gov/Family/agbts>

This government resource encourages parents, grandparents, community leaders, employers and employees, members of the arts community, religious leaders, and every caring adult to play a more active role in improving education. The site includes links to online forums and activity kits.

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Additional Readings

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