

Participant Workbook

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Collaboration

Skill-Building

Training



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The Collaboration Skill-Building Training represents the thinking, support, and work of many people. We, first, want to thank the two authors, Susan Kuhn and Kent Peterson, for their invaluable work in developing this training. Susan runs a national consulting practice, Susan M. Kuhn, Inc., focused on improving policy and practices in human services and education. Kent is a recognized national leader in the fields of collaboration and training, and his firm, Peterson and Associates, focuses on building partnerships among education and human service providers. They have shared with us their best thinking on collaboration skill-building, and designed a training that is both comprehensive and flexible.

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We would also like to recognize and thank the growing CIS family whose focus on collaboration and partnership development strengthens a growing network.

We hope that each trainee will find this training and the accompanying materials valuable. We hope that you will "spread the word" and work toward your goals through collaboration and partnership building. We strongly urge that you recommend Cities In Schools, Inc. training to others who indicate interest in this curriculum, to ensure high-quality and accurate dissemination of the collaborative work of this training.

Diane L. Horowitz
Curriculum Development Coordinator
Cities In Schools, Inc.

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Flaws in the Current System of Services for Children and Families

Collaboration is a response to inadequacies of current educational and human service institutions to meet today's challenges. Below is a summary of the flaws in the current way those institutions are organized to respond to students in need:

1. **Services are crisis-oriented.** They are designed to address problems that have already occurred. They do not provide a range of supports that could prevent problems from developing in the first place.
 2. **Services are categorical.** They divide problems into rigid categories, and assign responsibility for each category to a different agency or program. This fragmentation fails to treat the child or family as a whole person. It makes holistic solutions very difficult, if not impossible.
 3. **Public and private agencies do not communicate sufficiently nor work together closely enough.** Agencies working with the same client, but with profound differences in professional and institutional mandates, seldom seek out each other as allies. As a result, agencies have little opportunity to draw on services available throughout the community that might help their clients.
 4. **A divided, categorical system cannot craft comprehensive solutions to complex human problems.** Existing staff within an agency typically represent only a narrow slice of the professional talent and expertise needed to plan, finance, and implement the comprehensive services that characterize successful interventions.
-







A PRO-FAMILY SERVICE SYSTEM IS:

- **COMPREHENSIVE**
 - **PREVENTIVE**
 - **FAMILY CENTERED AND FAMILY DRIVEN**
 - **INTEGRATED AMONG AGENCIES AND WITH THE COMMUNITY**
 - **DEVELOPMENTAL, EMERGENT, CONTINUOUSLY IMPROVING**
 - **FLEXIBLE**
 - **SENSITIVE AND RESPONSIVE TO RACE, GENDER, CULTURE, AND DISABILITIES**
 - **ORIENTED TOWARD GOALS AND OUTCOMES, NOT WEDDED TO SPECIFIC PROCEDURES**
-







**A VISION OF COMMUNITIES
WHERE LEARNING CAN HAPPEN**

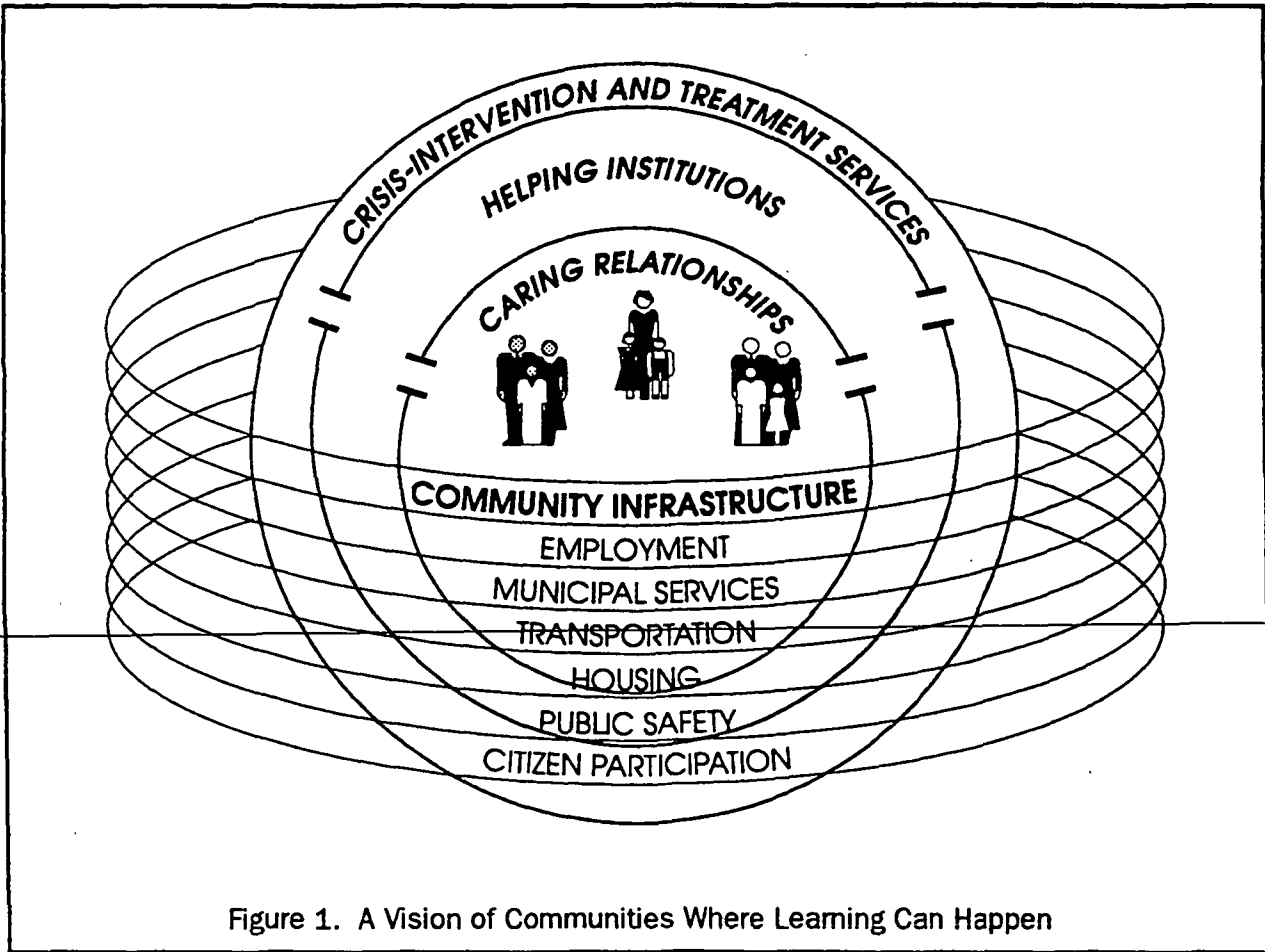


Figure 1. A Vision of Communities Where Learning Can Happen







**Checklist of Questions To Help Make
Service Delivery Choices for a Profamily System**

- What mechanisms will partners use to ensure that a wide range of developmental, prevention, support, and crisis-intervention and treatment services are available to all children and families in the targeted neighborhood?
- Which partners have resources (including staff, materials, funds, and expertise) or services that they could redirect to a joint effort?
- How can partners redirect resources to enhance developmental and support services for families who are not eligible for categorically funded services?
- What steps can partners take to ensure that all families receive the degree of services they need when they need them, while reserving the most costly services for those most in need?⁷
- How, where, and what services will the collaborative provide for youths who are not in school and adult family members?
- What mechanisms will the collaborative use to make referrals and ensure followup?
- What measures must the collaborative take to involve the family (including extended family members) as partners in planning and implementing service delivery strategies and to ensure that service agencies work to meet family needs rather than institutional preferences?
- How will the collaborative identify and complement family strengths?
- How can partners overcome families' distrust of service providers, especially among immigrant populations?
- What provisions will the collaborative make to include the families who are the hardest to reach in the system?
- What mechanisms will partners need to ensure respect and appreciation for cultural differences and to prevent undue intrusion into family matters, especially among immigrant populations?
- What actions should partners take to ensure that service delivery is not only equal and nondiscriminatory, but also responsive to the needs of all groups?⁸
- What do partners need to do to establish assessment and treatment processes that define "normal" in the context of each family's culture?⁹
- Where and when will the prototype provide services?
- What training and supervision should partners provide to help staff at all levels understand and accept responsibility for improving family outcomes?
- What can partners do to reduce accessibility barriers such as limited transportation, lack of child care, illiteracy, and lack of handicapped access?
- What needs to be done to respect and to use a family's spiritual and religious beliefs and traditions as resources?
- What mechanisms must partners develop to improve accountability for individual and community outcomes and the cost-effective use of existing resources?







Before we proceed with this step, we need to make sure that we have accomplished the following:

- **Declared Self-Interests**

Attach or note the location of Document 1A—an updated membership roster including member's personal and organizational self-interests.

- **Recorded Achievements to Date**

Attach or note the location of Document 1B—meeting summaries and record of achievements. Continually accumulate records of achievements.

- **Identified Our Vision and Focus Statements**

Attach or note the location of Document 1C.

We're now ready to develop statements of our desired results and strategies.

Communal Benefits Outline what we are trying to achieve.

What are our long-term desired results?

What are our short-term desired results?

Are the results we've identified tangible? Can we measure them? Can others recognize them?

Key Strategies Give the key stakeholders perspectives; rate them “for,” “against,” or “persuadable.” Sequence the approach—who talks to whom, and in what order.

Key Stakeholder	Perspective	Rate (F/A/P)	Sequence

Redefined Results Now we restate our desired results integrating stakeholders’ perspectives.

Redefined long-term results:

Redefined short-term results:

Strategic Aim List specific actions to influence stakeholders.

Responsibility	Action Step	Deadline





SAMPLE TARGET OUTCOMES

Walbridge Caring Communities (St. Louis)

- **Keep children in school and increase their level of school success.**
- **Reduce out-of-home placements.**
- **Keep children out of the juvenile justice system.**

Lafayette Courts Family Development Center (Baltimore)

- **Reduce the proportion of families on welfare.**
 - **Increase employment.**
 - **Prepare children more thoroughly for kindergarten.**
 - **Increase graduation rates.**
-
- **Reduce teen pregnancy.**
 - **Reduce addiction.**







To begin to change systems, we need to answer the following questions:

1. **What are present conditions?** Because extensive data exists in most communities, you may have little need to gather more information.
2. **How do people address those conditions?** Bring in the perspectives of all fields: arts, human services, environment, health care, education, media, and business; and of all sectors: public, private, and nonprofit.
3. **What is our picture of desired results?** Remember the desired picture is one of structural change, not of providing more programs to alleviate problems.
4. **How do we map out all the interrelated parts of the system and how they are linked?** In relation to the desired results, describe the impetus for and the blocks to change in each part of the system.
5. **What are the leverage points in the system?** Leverage points are those places to which you can apply pressure that will move the impetus for change forward and/or reduce the blocks to change. The exertion of leverage needs to have the greatest return for energy expended, so focus on those most likely to move. Often the leverage points are key individuals and organizations, but sometimes there is a community-wide perspective that must be addressed.

6. **How do we redefine the desired results from the viewpoints of the various leverage points?** Language is crucial for increasing the impetus for change or reducing the blocks to change.

7. **What action can we take, at the smallest level, to begin change?** Individuals and small groups are easier to influence than government or multinational corporations. Use the aggregated achievements in smaller arenas to influence larger parts of the system.

8. **What multi-faceted approaches can we use in all fields and sectors?** Although many approaches must be done in concert with each other, some can be implemented sequentially.

9. **How do we help parts of the system form new relationships?** These relationships are to be with other parts of the system and with other systems which had no earlier relationships.

10. **When will we stop and learn?** Extract and apply the learnings to other similar situations which in turn produce new learnings.





Appendix A

Checklist 1

Process for Crafting a Profamily System of Education and Human Services

Yes

No

Action
Required

Stage One: Getting Together

- Has a small group decided to act?
- Do the players meet the following criteria for membership in the collaborative:
 - clout;
 - commitment; and
 - diversity?
- Are the right people involved, including:
 - consumers;
 - public-sector organizations;
 - private providers and nonprofit organizations;
 - businesses and business organizations; and
 - elected officials?
- Have partners established a strong commitment to collaborate as evidenced by:
 - deciding whether collaboration will work;
 - agreeing on a unifying theme;
 - establishing shared leadership;
 - setting ground rules; and
 - securing financial resources for the collaborative's planning efforts?
- Have partners reflected on their work and celebrated their accomplishments?

Stage Two: Building Trust and Ownership

- Has the collaborative built a base of common knowledge by:
 - learning about each other;
 - learning to value personal style differences and to resolve conflicts; and
 - achieving "small victories"?

Yes

No

Action
Required

- Has the collaborative conducted a comprehensive community assessment that:
 - identifies indicators of child and family needs;
 - produces a profile of child and family well-being in the community;
 - assesses the existing service delivery system from the perspective of families and frontline workers;
 - maps existing community services; and
 - identifies other community reform efforts?
- Have partners defined a shared vision and goals for changing education and human services by:
 - learning from others' experiences;
 - asking hard questions; and
 - writing a vision statement?
- Has the collaborative developed a mission statement that clarifies its role in the community as a decisionmaking body?
- Has the collaborative communicated its vision and mission to the community and received public endorsement from the community's major institutions?
- Have partners reflected on their work and celebrated their accomplishments?

Stage Three: Developing a Strategic Plan

- Has the collaborative narrowed its focus to a specific neighborhood for launching a service delivery prototype?
- Has the collaborative conducted a neighborhood analysis that:
 - identifies key neighborhood leaders who should be involved in prototype planning; and
 - assesses the service delivery system in the area?
- Has the collaborative defined the target outcomes that its prototype service delivery design will address?
- Has the collaborative engaged a person to direct the prototype and involved this person in the planning process?
- Has the collaborative developed a strategy for involving the neighborhood's leaders, school principals, teachers, and agency directors and frontline workers?
- In making service delivery choices, did the collaborative:
 - select what services the prototype would offer;

	<u>Yes</u>	<u>No</u>	<u>Action Required</u>
<ul style="list-style-type: none"> —develop criteria for assessing its prototype design; —determine a service delivery location that is comfortable for the neighborhood children and families; —consider a school location; and —decide how to finance the prototype's services? 			
<ul style="list-style-type: none"> ■ Has the collaborative developed the technical tools of collaboration, including: <ul style="list-style-type: none"> —interagency case management; —common intake and assessment forms; —common eligibility determination; —a management information system; and —procedures for dealing with confidentiality and sharing oral and written information? 			
<ul style="list-style-type: none"> ■ Is a mechanism in place for using program-level intelligence to suggest system-level changes? 			
<ul style="list-style-type: none"> ■ Have partners signed interagency agreements to facilitate accountability? 			
<ul style="list-style-type: none"> ■ Has the collaborative defined its governance structure so it can make policy changes at the service delivery and system levels? 			
<ul style="list-style-type: none"> ■ Is a structure in place to help the prototype director deal with operational issues as they emerge? 			
<ul style="list-style-type: none"> ■ Have partners reflected on their work and celebrated their accomplishments? 			

Stage Four: Taking Action

- Do job descriptions for prototype staff reflect the collaborative's vision of high-quality service delivery and staff responsibility for achieving anticipated outcomes?
- Has the collaborative designed and implemented a comprehensive and interdisciplinary staff training program?
- Are mechanisms in place to facilitate communications and to nurture the relationship between prototype staff and school personnel?
- Is the collaborative implementing an inclusive outreach strategy?
- Have partners incorporated sensitivity to race, culture, and gender into the collaborative and prototype?
- Is the collaborative evaluating progress by:
 - using process evaluation techniques; and
 - measuring outcomes?

Yes

No

Action
Required

- Have partners reflected on their work and celebrated their accomplishments?

Stage Five: Going to Scale

- Is the collaborative ready to adapt and expand the prototype to additional sites?
- Is there a strategy for developing collaborative leaders and incorporating the concepts of collaboration into partners' professional development programs?
- Is the collaborative working with local colleges and universities to change the character of professional education to reflect the vision of a profamily system?
- Do inservice training programs include strategies and tactics for collaboration?
- Are partners working to deepen the collaborative culture within their own organizations by:
 - applying the collaborative's vision; and
 - providing rewards and incentives for staff that demonstrate a commitment to collaboration?
- Is the collaborative formulating a long-range financing strategy?
- Has the collaborative built a formal governance structure?
- Does the collaborative have a strategy for building and maintaining a community constituency for its work?
- Is the collaborative promoting change in the federal government's role in delivering services for children and families?
- Is the collaborative continuing to reflect and celebrate as it "climbs the mountain" of systems change?





WILL COLLABORATION WORK?

Collaborative organizers must ask themselves the following questions:

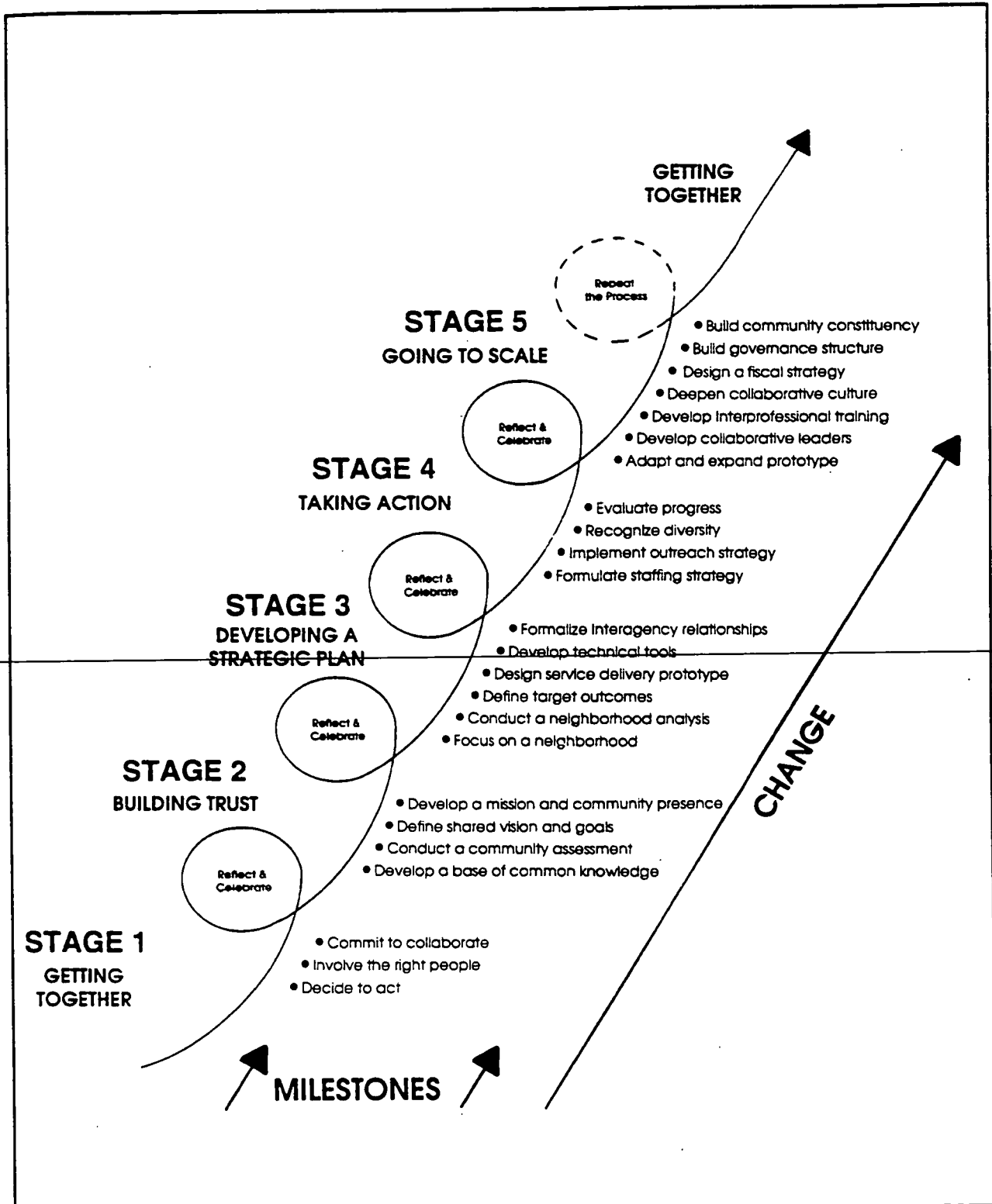
1. Will the benefits of collaboration outweigh the costs?
 2. Is there a history of communication and cooperation and a foundation of trust among the various community groups and organizations that the collaborative will involve?
 3. Is each of the potential partners institutions stable enough to withstand the change that the collaboration could have on the way they work?
 4. Do all of the key players have enough financial and staff leeway to commit some of their resources to collaborative activities, or are they overextended in their day-to-day operations?
-
5. Are the partners willing to explore ways for key players -- such as grassroots organizations operating on shoestring budgets -- to participate?







THE FIVE-STAGE PROCESS OF COLLABORATION









THE FIVE STAGES OF COLLABORATION

- 1. GETTING STARTED.** In this stage, a small group comes together to explore how to improve services for children and families. They identify other community representatives with a stake in the same issue, make a joint commitment to collaborate, and agree on a unifying theme. They also establish shared leadership, set basic ground rules for working together, secure initial support, and determine how to finance collaborative planning.
- 2. BUILDING TRUST AND OWNERSHIP.** Next, partners establish common ground. They share information about each other and the needs of families and children in their community. Using this information, they create a shared vision of how the system could better serve the needs of children and families. They develop ground rules, a mission statement, and a set of goals to guide future action.
- 3. DEVELOPING A STRATEGIC PLAN.** Here, the partners begin to explore options that flow from their common concerns and shared vision. They narrow their focus to a specific site, and make plans for that site. At this stage, the necessary technical tools and interagency agreements are developed.
- 4. TAKING ACTION.** Partners begin to implement their plan. The implementation occasions adjustments in the site's normal working routines and policies. On-going evaluation helps to identify additional adjustments that may be necessary, to make mid-course corrections, and to measure results.

- 5. GOING TO SCALE.** Partners take steps to ensure that the systems-change strategies and capacities developed at the current site are adapted, expanded, and recreated at locations throughout the community where needed. Partners continue to develop local leadership, strengthen staff capacity through training, and build a strong constituency to support the new way of doing business.

These five stages are not linear. Collaborations weave in and out of the stages, going back to previous stages when new partners are added, new problems or goals are identified, a proposed direction becomes politically or fiscally unsound, and so forth. This backward and forward motion is healthy, as it recognizes the need to shore up old understandings when circumstances change.







LANDMINES TO AVOID WHEN GETTING STARTED

- **WAITING TO CONVENE** a group until everyone is at the table. The enthusiasm of a wisely selected and enthusiastic core group can cool while others are being brought in. Do not waste time!
 - **NOT CULTIVATING KEY PLAYERS** who could easily block what the collaborative hopes to do. Whenever possible, try to make allies out of adversaries.
 - **CEDING CONTROL OF THE GROUP** to one partner instead of establishing the expectation of shared leadership. Collaborative power grows when equals share authority and responsibility.
 - **PLAYING TO THE MEDIA** or to political pressure, rather than sticking with the real agenda.
 - **FAILING TO REFLECT** on milestones and pitfalls as the collaborative progresses.
-
- **NOT ESTABLISHING** clear ground rules.







LANDMINES TO AVOID WHEN BUILDING TRUST AND OWNERSHIP

- **ACTING BEFORE** partners establish a sense of trust and ownership in a shared vision.
 - **LOSING MOMENTUM BY** not knowing when it is time to move on. Building a base of common knowledge, for example, can continue as the process moves forward.
 - **FAILING TO CELEBRATE** the trust, ownership, and shared vision that have been built.
 - **AVOIDING CONFLICT**, papering over disagreements in an effort to reach a quick consensus. A critical sense of ownership and common purpose grows out of the struggle to use conflict and differences of opinion constructively.
 - **NOT SEEKING INPUT** from consumers when conducting community assessments.
 - **COMPILING INDICATORS** that do not reflect the performance of all of the partner institutions.
-
- **STOPPING AT COMPLIANCE** with the vision, rather than commitment to the realization of a shared vision.







LANDMINES TO AVOID WHEN DEVELOPING A STRATEGIC PLAN

- **FAILING TO ASSESS** community strengths when conducting a community assessment, and failing to build relationships with community leaders.
 - **DECIDING ON A SERVICE DELIVERY MODEL** without the rigorous use of criteria to guide that decision.
 - **SETTING OUTCOMES** that contain service delivery goals without specifying the intended results for the consumers of services.
 - **OVERLOOKING FRONT-LINE AND STAFF INPUT** in designing the model.
 - **CHOOSING A SITE** based on convenience without considering whether families will feel welcome at that location.
 - **DECIDING THAT CONFIDENTIALITY ISSUES** are too hard to overcome and not finding ways to share information about consumers.
 - **NEGLECTING DATA COLLECTION** methods when designing a model.
-







LANDMINES TO AVOID WHEN TAKING ACTION

- **OVERLOOKING CONDIDATES WITH non-traditional backgrounds for staff positions.**
 - **FAILING TO PROVIDE STAFF with ongoing training, coaching, and supervision in proportion to the expectation that they will deliver innovative, "break-the-mold" programs.**
 - **NEGLECTING TO CLARIFY SUPERVISORY relationships in the case of outstationed front-line workers.**
 - **NOT ANTICIPATING AND EXPLORING insider-outsider issues in school-based initiatives.**
 - **SHORTCHANGING OUTREACH EFFORTS or relying on communication channels that do not reach families that need help the most.**
 - **CONDUCTING AN OUTCOME EVALUATION TOO EARLY, before the initiative begins to run smoothly; using overly ambitious outcome measures that set up the initiative for failure.**
-
- **FAILING TO PLAN A PROCESS FOR resolving implementation problems as they arise.**







LANDMINES TO AVOID WHEN GOING TO SCALE

- **OVER-REFINING** an effective model instead of adapting it and expanding it to additional locations.
 - **RUSHING BUILDING COMMUNITY SUPPORT** in the new locations.
 - **FAILING TO NURTURE** an expanding pool of leaders, managers, and staff as key players in the collaborative.
 - **NOT MAKING SUFFICIENT USE** of the collaborative as a training ground for leaders willing to share power, take risks, and accept their share of both credit and blame.
 - **SEPARATING VISION** from the day-to-day operations of each partner organization. Their organizations should struggle, too, with making the vision a reality.
 - **GIVING UP ON REFINANCING.** Technical help is crucial here to determine how to fund the new venture for the long run.
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Training Library

SERVING CHILDREN AND FAMILIES EFFECTIVELY:

How the Past Can Help Chart the Future

by PETER B. EDELMAN and BERYL A. RADIN
with a Commentary by SIDNEY L. GARDNER

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A PERSPECTIVE FOR THE NINETIES

As this discussion has indicated, much has changed in the past thirty years. We have swung between strategies of extremes. We have moved from an environment of hope and possibility to one of limitations and despair. The fires of change in the '60s were dampened in the '80s by the rains of fear, complexity, and cynicism. Today, as the pendulum appears to be moving toward a new sense of activism and social responsibility, we must learn from the past three decades. We close with five lessons:

Lesson #1: The Importance of Modesty and Humility

We have learned that social change is extremely difficult to achieve. We are still far from knowing enough about what actually "works" and what does not, even though we know much more than we did in 1960 (and if we had the political will to fund fully the things that we know are successful, we would be far better off than we are now). While we want a society in which all citizens have hope for the future, we cannot raise expectations beyond some point of real possibility. Thus, even though we may seek to intervene in a few places in as massive a way as possible, we must at the same time do so cautiously, without grand promises, and with the knowledge that we have embarked on a somewhat risky path. Panaceas of any kind are likely to fail.

Lesson #2: Awareness of Limited Resources

Few have to be reminded that programs for children and families are expensive and it is extremely difficult to obtain funding for them in this era of budget limitation. While we know this, we sometimes have to be reminded that we have other resource limitations. Some of these limitations are of our own making and could be addressed. We do not have adequate expertise to guide our action. It has often been difficult to obtain support for program evaluation efforts and other data collection and moni-

toring schemes that provide program managers with information to modify ongoing programs. And we have found that time is also a scarce resource. Even small demonstration programs take much more time to put into operation than we usually give them. Frequently, the political system is not willing to wait for programs to develop before assessing their impact.

Lesson #3: The Need for Diversity and Collaboration

Over the past thirty years we have learned much about the diversity of situations and populations around the country. We have been forced to acknowledge that the idiosyncracies of a state, locality, or even a neighborhood can determine the effectiveness of a particular program. We have recognized the importance of beginning programs or projects by mapping local perceptions of needs and finding ways to assure a sense of participation and ownership among those who are the recipients of the services. At the same time, we have learned that change requires partnerships among many different actors: the professionals who actually deliver the services; the elected officials who must provide the resources for them, at least when they come to be replicated on a broad scale; the citizens who are the consumers of the services; and the administrators and managers at national, state, and local levels. As others have noted, the problems that we face require collaborative action among all of these actors.³

Lesson #4: The Effects of Complexity

Much of the negative perception about past programs stems from the unintended consequences that emerged from them. Seemingly simple strategies for change opened up numerous Pandora's boxes and created problems that seemed never-ending. For example, a community working to establish a multi-service center may confront a knot of licensing and other bureaucratic requirements so complex that the effort is effectively killed. Similarly, schemes to

"A saturation strategy in a single neighborhood of concentrated poverty must . . . go beyond services . . . Attention to housing, the schools, public safety and law enforcement, and economic development should be part of this coordination."

³See: Charles Bruner. *Thinking Collaboratively: Ten Questions and Answers to Help Policy Makers Improve Children's Services*. Washington, DC: Education and Human Services Consortium, 1991.

address one set of problems may create other difficulties, particularly when eligibility requirements are affected.

Lesson #5: The Need to Build Synergy

We know that the problems faced by children and families are interrelated and interdependent. While public safety, available jobs, school improvement, and affordable housing are separate problems, they are also closely related when we are talking about areas of concentrated poverty. While for many families, even in such areas, there are single interventions that may have great impact, we have learned that others need multiple service interventions and still others need the benefit that comes from efforts to restore the basic institutions that make up a community. As we devise new schemes for the future, we are challenged to find ways to construct programs that have the ability to build on one another and operate in a related way.

We are well aware that these lessons pose a major dilemma. On the one hand, the lessons of humility, complexity, and resource limitations counsel efforts at modest, incremental approaches to change. On the other, at least insofar as the problem of concentrated, intense, highly impacted poverty areas is concerned, it is time to seek a few demonstrations which are comprehensive on a synergistic scale never before attempted.

We know that there are no panaceas, but we must find ways to create initiatives that demonstrate some level of visible effectiveness. These may be a few highly concentrated efforts in a small number of high poverty neighborhoods or new attempts to ease client access to services; new endeavors to rationalize government funding streams and regulatory strictures; or new programs that respond to specific community-based needs with multi-service, coordinated efforts. We can only hope that this is the beginning of a new public policy breakthrough that will bring us to a new era of public responsibility and compassion.

ABOUT THE AUTHORS

Peter B. Edelman is Associate Dean and Professor of Law at Georgetown University Law Center. He has served as legislative assistant to Senator Robert Kennedy, as vice president of the University of Massachusetts, as Director of the New York State Division for Youth, and as law clerk to Justice Arthur J. Goldberg.

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**THE HUBERT H. HUMPHREY
INSTITUTE OF PUBLIC AFFAIRS**
University of Minnesota

**COMMUNITIES WORKING COLLABORATIVELY
FOR A CHANGE**

**Arthur Turovh Himmelman
Senior Fellow
Humphrey Institute of Public Affairs**

November, 1990

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PLEASE NOTE

As a working paper, this publication continues to be modified as the author's ideas about the theory and practice of community-based collaboration change. It is important, therefore, to note the distribution date of the copy you receive.

The paper is being distributed nationally by the Community Information Exchange in Washington, D. C. A June, 1990 edition has been published and is being distributed nationally by the United Way of America. An excerpt from the paper also has been published in the Fall, 1990 Northwest Report, the newsletter of the Northwest Area Foundation of Saint Paul.

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COMMUNITIES WORKING COLLABORATIVELY FOR A CHANGE

If there is no struggle, there is no progress.
Frederick Douglass

In one part of a city, we are confronted by drug trafficking, burned-out buildings, violent crime, homelessness, and children growing up in abject poverty. A short distance away in another part of the city, we are almost overwhelmed by wealth beyond the imagination, massive political power, and vast human and technical resources. A prescription for a revolution, or the decline of an empire? All that can be said for sure is that these are descriptions of many cities in this country today.

If asked about New York City, most Americans know something about Manhattan, but few people know much about the South or Mid-Bronx. Those who know something about these sections of the Bronx will usually say that they suffer from a variety of destructive forces. These include massive disinvestment, long-standing neglect by government, arson-for-profit, employment and population losses, building abandonment, drugs, crime, and the lack of decent housing.

Why should we know about the South and Mid-Bronx and other inner-city communities, anyway? We should know about them for several reasons. Human decency should call them to our attention as a caring nation. Our political leaders should call them to our attention as a matter of serious public concern and forceful ~~action not, as sometimes has been the case, as a "stage set" for~~ making empty political statements. Our religious leaders should call our inner-cities to our attention as a matter of social justice. Fortunately, America is hearing about our inner-city communities from even more important voices: from the voices of their people.

The residents of the South and Mid-Bronx are calling their communities to our attention in very surprising ways. Not only to draw attention to the painful ravages of poverty and despair in our neglected urban centers, although many in their communities still feel such pain. The residents of the South and Mid-Bronx are calling their communities to our attention through heroic acts of community organizing and revitalization.

One of their most important efforts began in 1974 when residents and church leaders of the Crotona neighborhood in the Mid-Bronx formed a community-based, nonprofit coalition called the Mid-Bronx Desperadoes (MBD), officially known as the MBD Community Housing Corporation.

At that time, leaders of the MBD, like founders Genevieve Brooks and the Reverend William J. Smith of Saint Athanasius Roman Catholic Church, had a different vision of the Crotona neighborhood. They saw the need for the residents of their community to take charge of their own destiny and begin a courageous, skillful, effective process of community transformation. They joined other Crotona residents in creating MBD, a nonprofit coalition of nine community-based civic organizations, churches, and block and tenant associations. MBD's mission is to renovate abandoned buildings, develop new housing opportunities, stimulate commercial revitalization, foster employment opportunities, and restore necessary services.

The MBD has worked collaboratively with government (including local police and fire departments), businesses, banks, foundations, and other nonprofit organizations to create affordable housing and commercial redevelopment. In addition, it has initiated career counseling programs and effective community crime prevention efforts like the MBD Civilian Security Patrol.

By the late 1980s, MBD had reclaimed or built homes for more than 1,000 families, including four housing projects for the elderly. Its most recent project, Salters Square, represents a total investment of \$18 million, with a four-to-one ratio of private to public dollars spent on the project. Among the MBD's projects is Charlotte Gardens, a community of 89 ranch-style single family homes on a street that had become a national symbol of urban decay.

Equally important, the MBD has returned a strong sense of pride to the community. In doing so, it has created a clear vision of changes beneficial to the community as a whole as well as to the families and individuals who comprise it. The MBD has empowered itself to act on behalf of the community in collaboration with public, private, and other nonprofit organizations. It has done so effectively and, in many ways, heroically.

Today, the efforts of the MBD and other Bronx community-based organizations are part of a new comprehensive vision being encouraged and supported by the Bronx Redevelopment Council (BRC). The BRC has created a revitalization plan with the assistance of hundreds of volunteers representing tenants, neighborhood associations, community boards, officials of Bronx Borough and New York City government, businesses, colleges, hospitals, and social service organizations.

The plan, which includes extensive involvement by community-based organizations, is focused on (1) Priorities For Funds: Saving The Next Generation, by concentrating federal, state, and city funds in the Bronx, and subsidizing housing, expanding Headstart, prenatal care, pregnancy and substance abuse prevention programs;

(2) Priorities For Leadership Attention: Three Boroughwide Campaigns, to prepare adults for work, clean and green the Bronx, and coordinate social and commercial services with the ongoing reconstruction of neighborhoods; and (3) Priorities For Land: Housing For Mainly Middle-Income Households, to meet demands by current residents for good housing and to attract new residents. The BRC revitalization plan links middle-income housing to the stimulation of jobs in construction, retailing, and services.

COMMUNITIES SEEKING COMMON GROUND

Although relatively few Americans live in communities facing the challenges of the Bronx, the world, be it at the street corner or in the biosphere, no longer politely knocks at our doors before entering our lives. Our world is filled with the results of our collective actions, or inactions, that leave us with consequences we may or may not have intended. Whether we acknowledge it or not, we all live in relation to poverty, homelessness, malnutrition, drug trafficking, and toxic environments. These concerns cannot be addressed by individual actions alone or managed simply within families. Large public and private institutions require the encouragement of continual, effective community advocacy to keep their priorities focused on human development and sustainable, safe environments. These realities suggest that we should encourage communities that enhance our capacities to live together in an increasingly interdependent world; a world in which social change is based on common decency and common sense.

THE NEED AND OPPORTUNITIES FOR COLLABORATIVE INITIATIVES

During the past ten years, federal tax policies and spending priorities have left many urban and rural communities without adequate resources to solve social and economic problems. Growing numbers of people in these communities are without shelter or lack affordable housing, cannot sustain vital nutrition, do not benefit from adequate health care, and/or are denied access to appropriate education, job training, and employment opportunities.

In order to better address these and other concerns, many argue that it is essential for the federal government to link increased taxes with redirected spending priorities. It is unlikely, however, that much greater federal financial resources will be made available in the near future for local communities, even as federal taxes are raised, unless there is a massive "political mandate" to do so. On the contrary, it is more realistic to expect that the consequences of recent federal budget priorities, tax, and fiscal policies (including prohibitively large budget deficits and the vast cost of the Savings and Loan bailout) will be with us for many more years. Therefore, as the nonpartisan Advisory Commission on Intergovernmental Relations has recently

noted, states and local governments (and local communities in general) have found themselves in a "fend-for-yourself" political reality.

Consequently, states and local communities are making a wide variety of choices in response to requests for limited resources. Among these choices are (1) advocating for increases in federal support; (2) increasing local taxes; (3) enlarging the local tax base; (4) cutting services; (5) increasing user fees; (6) improving tax and payment (such as child support) collections; (7) privatizing government services by shifting them to the for-profit sector; (8) expanding or reducing contracts with nonprofit service providers; (9) becoming more effective at inter-governmental collaboration; and (10) working collaboratively with the private and nonprofit sectors. States and local communities will continue to use a mix of these options, and are likely to place greater emphasis on improving multisector collaboration for a variety of reasons.

RATIONALE FOR LOCAL MULTISECTOR COLLABORATION

Some argue that the reduction of federal support is a positive change because it places public responsibility closer to the problems being addressed. However, it creates responsibility without authority if adequate local financial resources are not available. This suggests that local collaborative initiatives should not be considered an alternative to greater federal support. Indeed, their most strategic and valuable contributions are possible when substantial federal resources are part of the "collaborative mix." Within this context, there are many reasons to engage in multisector collaboration in local communities.

(1) Decentralized Service Delivery

The growing general commitment to decentralized public policies and service delivery encourages greater participation and diversity as well as strategic, creative uses of resources at the local level. Multisector collaboratives are well suited to decentralized approaches and often strategically include a diversity of public, private, and nonprofit organizations. They also tend to conduct their activities through "horizontal" (participatory) rather than "vertical" (hierarchical) decision-making processes.

(2) Broader Expertise and Understanding

The complexity of many social and economic problems requires a broad range of expertise and sensitivities. Clearly, the broadest and deepest sources of these vital ingredients are frequently found when all three sectors are included in the definition and solution of community concerns.

(3) Scale and Scope of Needed Resources

The scale of the financial, physical, and human resources required to significantly address many community issues prohibits the development of viable solutions by only one sector, even the public sector. Indeed, with so many conflicting demands on limited public funds, it is essential to create pooled resources from the public, private, and nonprofit sectors for many programs and projects in local communities.

(4) Proven Record of Accomplishments

Collaborative initiatives have a proven track record in rural and urban communities across the country. Often organized in an empowering way by community-based nonprofits, community-based collaboratives have provided hope and vision where none existed before; built affordable housing for low-income people; created employment for those who had no access to the general marketplace; provided decentralized, quality health care; and stimulated small business development and other kinds of economic revitalization.

(5) Creating the Leadership for Policy Change

The political leadership required to create policy change in difficult areas of concern can best be developed and sustained when it is broadly based. Clearly, coalitions across the public, private, and nonprofit sectors can make more a persuasive case for many important policy change initiatives than efforts viewed as an agenda of a single sector. Such leadership also can frame new policies as addressing the "public good" rather than as the "special interests" of particular groups.

MULTISECTOR COLLABORATION: APPROPRIATE USES AND DEFINITION

There are many strategies available for organizations that wish to exchange information or work for a common purpose. NETWORKING is the most informal, requiring only sharing information and a willingness to help make connections that can provide needed resources. COORDINATING requires a willingness to change activities to better serve a common purpose and, therefore, has a greater influence on organizational behavior than networking. COOPERATING involves more commitment because it requires sharing responsibility for exchanging information and resources that result in mutual benefits. COLLABORATING incorporates aspects of networking, coordination, and cooperation as well as a commitment to enhance each other's capacities to achieve a common purpose.

The willingness to enhance the capacity of another organization increases the potential of collaboration beyond other forms of organizational activity. However, it is important to emphasize that collaboration is best used when other methods of sharing

organizational options cannot achieve mutual goals. Even though collaboration offers the greatest potential benefits, its processes are very complex. Collaboration is best used after a careful, strategic assessment of its appropriateness and its viability for addressing specific issues or circumstances.

When public, private, and nonprofit organizations collaborate, it is often called a public/private partnership. Unfortunately, when the nonprofit sector is viewed only as a part of the private sector, it is less likely to be considered as a full partner in collaboration. When all three sectors collaborate, the phrase multisector collaboration is a better description.

Multisector collaboration can be defined as

A voluntary, strategic association of public, private, and nonprofit organizations to enhance each other's capacities to achieve a common purpose by sharing risks, responsibilities, and rewards.

BETTERMENT AND EMPOWERMENT MODELS FOR MULTISECTOR COLLABORATION

As the success of the Mid-Bronx Desperadoes and many other community-based collaboratives confirms, the ownership of any social change process is among the most, if not the most, important of its characteristics. There are few more fundamental indicators of whether or not community initiatives will have long-lasting benefits. Closely related to ownership is the community's capacity for self-determination. In examining these related issues, it is helpful to think about multisector collaboration as a social change process that can take two basic forms. These forms affect the community's ownership of the collaborative's activities and its ability to use the collaborative to increase community self-determination.

One approach, collaborative betterment, begins outside the community within public, private, or nonprofit institutions and is brought into the community. Community involvement is invited into a process designed and controlled by larger institutions. This collaborative strategy can produce policy changes and improvements in program delivery and services, but it tends not to produce long-term ownership in communities or to significantly increase communities' control over their own destinies.

A second approach, collaborative empowerment, begins within the community and is brought to public, private, or nonprofit institutions. In this context, empowerment refers to the capacity to set priorities, and control resources, that is essential for increasing community self-determination. An empowerment strategy includes two basic activities:

(1) organizing a community in support of a collaborative purpose determined by the community; and (2) facilitating a process for integrating outside institutions in support of this community purpose. The empowerment approach can produce policy changes and improvements in program delivery and services. It also tends to produce long-term ownership in communities and enhances their capacities to control their own destinies.

It is important to note that the empowerment model also emphasizes the betterment of the community, but the betterment model does not emphasize the empowerment of the community. However, as models, they are also abstracted as "pure" types. In actual practice, betterment and empowerment approaches exist along a continuum that blends as well as distinguishes them. Therefore, the best use of these models is as general predictors of the consequences of particular methods of multisector collaboration and not as mutually exclusive descriptions.

THOSE INTERESTED IN APPLYING THE FOLLOWING BETTERMENT OR EMPOWERMENT MODELS OF COLLABORATION SHOULD NOTE THAT EITHER CAN BE MODIFIED TO ACHIEVE MORE OR LESS COMMUNITY-BASED EMPOWERMENT.

COLLABORATIVE BETTERMENT FOR A COMMUNITY

Research suggests that the vast majority of multisector collaboratives use some kind of betterment model similar to those used by large institutions that deliver most human and educational services and community programs. The collaborative betterment model can be illustrated by describing seven of its basic activities.

Activity 1: Initiating Institutional Discussions

Large or influential agencies or institutions in the public, private, or nonprofit sector initiate discussions, primarily among themselves, to consider problems, concerns, or issues in their community.

Activity 2: Mutual Problem Assessment and Shared Mission

Based on a mutual assessment of the problems, and agreement on sharing responsibility for addressing these problems, these institutions agree to form a collaborative to address a particular community problem or problems. Usually, a generally acceptable mission or purpose for the collaborative is also decided upon at this time.

Activity 3: Planning, Governance, and Administration

The collaborative begins a planning process to gather necessary data and information about the community problem or issue and to

establish a governing and administrative structure. The governance and administration of the collaborative is usually based within one of the large or influential institutions. Although major decision-making is shared by most participants, normally a "lead agency" centralizes day-to-day decision-making.

Activity 4: Including Community Representation

Representatives from the target community (either as individuals or as organizational representatives) are invited to join the collaborative. These representatives are always a minority in the collaborative and never have decision-making control. However, their advice is sought by the collaborative as it formulates its goals and work plans, and their opinions are often reflected in the decisions made.

Activity 5: Specific Agreements on Action Plans

After resolving any significant barriers to participation by its members, the collaborative reaches agreement on the specific contributions from its public, private, and nonprofit sector organizations. The collaborative begins to implement its goals through specific action plans. Usually, further representation from the target community and assistance from other large and influential institutions are sought in the implementation of action plans.

Activity 6: Implementing Action Plans in Community Settings

The collaborative implements its action plans in the target community to the degree that the community is prepared to accept them. Collaborative representatives from the target community are asked to play a significant role in implementing the plans. Normally, staff required to implement action plans are drawn from professional fields linked to the large and influential organizations controlling the collaborative. Occasionally, para-professionals and community residents are also included as staff.

Activity 7: Concluding the Collaborative's Work

Once the action plans have been implemented to the satisfaction of the collaborative's leadership, the work of the collaborative is terminated. The target community has little, if any, control over the continuation or discontinuation of the collaborative's activities except through active confrontation. In addition, the targeted community has limited capacity to continue the work of the collaborative because it has not gained control over decision-making or resource allocation processes used by the collaborative.

KEY COMPONENTS OF THE COLLABORATIVE BETTERMENT PROCESS

- * Large and influential institutions initiate problem identification and analysis, primarily within institutional frameworks, assumptions, and value systems.
- * Governance and administration are controlled by institutions within which some community representation is encouraged.
- * Staff are responsible to institutions, and although they seek advice from target community, staff are not directly accountable to it.
- * Action plans are usually designed with some direct community involvement but normally emphasize the ideas of institutionally related professionals and experts.
- * Implementation processes include more community representation and require significant community acceptance, but control of decision-making and resource allocation is not transferred to the community during the implementation phase.
- * Although advice from the community is considered, the decision to terminate the collaborative is made by institutions and the community usually cannot continue the work of the collaborative.

COLLABORATIVE EMPOWERMENT WITH A COMMUNITY

It is important to distinguish collaborative empowerment, which suggests a formally organized collaborative process, from less formalized community-based collaborative approaches. In general, most community-based organizations that engage in multisector collaboration do not do so through a formally structured process. The arrangements such organizations make with partners from the public, private, and nonprofit sectors tend to be created as the process goes along. It is relatively rare for community-based organizations to design an overall process in which their relationships with outside organizations are clearly specified. Many examples of relatively informal multisector collaboratives can be found in community-based housing and economic development efforts.

In suggesting that community-based organizations might benefit from more strategic and explicitly designed approaches to multisector collaboration, it is also recognized that many informal collaboratives have worked very well. Clearly, many have been quite successful at providing affordable housing, jobs, economic development, health care, and other human services. The primary purpose in offering the collaborative empowerment model for consideration is to help communities become even more effective at collaboration and more able to ensure their empowerment as a central part of the collaborative process.

Although used far less often in community problem-solving than the betterment strategy, multisector collaboration based on an empowerment approach appears to be gaining acceptance. Its growing acceptance is based, to a large extent, on three factors: (1) increasing evidence that community-based organizations are taking the initiative in collaborative efforts and can produce outstanding results when shaping a collaborative's agenda; (2) competing and increasing demands on the time and resources of larger public, private, and nonprofit institutions are making it more difficult for them to design, initiate, and implement multisector collaborative betterment processes; and (3) programs and projects that tend to achieve the best results are those that community residents feel are their own to make or break.

THE COLLABORATIVE EMPOWERMENT MODEL

The collaborative empowerment model is based on the work of the Public/Private Initiative Project, a three-year (1986-1989) demonstration project in multisector collaboration at the University of Minnesota's Hubert H. Humphrey Institute of Public Affairs. An outline of the model's 14 key activities follows.

EVEN THOUGH THE DESCRIPTION THAT FOLLOWS IS PRESCRIPTIVE, PLEASE DO NOT VIEW THE COLLABORATIVE EMPOWERMENT MODEL AS A BLUEPRINT THAT MUST BE FOLLOWED IN EVERY DETAIL. IT IS BEST VIEWED AS A PLANNING DESIGN OPEN TO MODIFICATIONS AND IMPROVEMENTS.

Activity 1: Discussing Assumptions, Beliefs, and Values

It is important to begin an empowerment process by being respectful of people and taking them seriously. One way to do so is by asking community residents and advocates to discuss their assumptions, beliefs, and values about the importance of community. These discussions can help prepare people for sharing ideas about community issues and the need and opportunities for community change. Such dialogues also build bonds of trust that are essential for creating the common visions that sustain longer-term and collaborative community change initiatives.

Activity 2: Assessment of Trends

In every community there are signs of change that also can be called trends. When discussions suggest that community members share common values about community, and about the need for community change, it is a good time to discuss trends affecting the community. Community members can assess trends based on stories and narrative examples as well as on empirical data. This activity in the collaborative empowerment process begins to move community members toward a more focused basis for action.

Activity 3: Establishing Priorities Linked with Opportunities

Within communities, many issues, concerns, and problems can be identified. However, if a community is organizing to take action, it is useful to decide on the specific problems that merit priority attention. Problems identified as priorities for action are usually best addressed when they are clearly linked to opportunities and possibilities for change. This also helps to ensure that energy is generated for the community effort.

Activity 4: Clarifying the Community's Purpose for Collaboration

Once specific priorities for action are established, community residents can translate them into a mission statement clearly explaining the purpose for forming a community-based collaborative. For example, community residents may decide that increasing and improving health care for young children from low-income families is their top priority. A mission statement calling for action on this priority could be:

To advocate for and implement policies and programs that effectively respond to the comprehensive health care needs of low-income children from infancy to six years old.

Activity 5: Organizing a Community Power Base

The collaborative's mission statement is now shared with as many community members as possible to gain broad support for action. This support is formalized through commitments from community-based organizations to represent community residents in various negotiations with public, private, and nonprofit organizations from outside the community. It is assumed that many community residents will be members of the community-based organizations making such commitments. The commitments are most enduring when they reflect shared community visions and a sincere willingness to share the responsibilities of community representation.

Activity 6: Strategic Identification of Partners

With the assistance of other community residents, the community organizing committee makes a strategic assessment of which public, private, and nonprofit organizations should be invited to form a collaborative under the community's mission statement. It is important that the community identifies outside organizations that can best respond to the diversity of community residents who may be directly affected by the collaborative's priority concern. Once this list is completed, the community organizing committee holds individual meetings with representatives of each of the identified public, private, and nonprofit organizations. These meetings determine if the outside organizations will participate in a collaborative addressing the community's mission statement.

Activity 7: Convening and Formalizing the Collaborative

Once a community-based, multisector collaborative is determined to be viable, the community committee convenes a meeting with all partners to formalize an agreement to work collaboratively on the community's mission statement. At this meeting, all partners are given ample time to comfortably introduce themselves, discuss their motivations for joining the collaborative, share their initial concerns and expectations, and comment on other issues.

To emphasize the empowerment thrust of the collaborative, the representatives of community-based organizations reiterate that they will not negotiate the mission of the collaborative. However, the community representatives express a strong and sincere willingness to share risks, responsibilities, and rewards for all other aspects of the collaborative, including governance, administration, setting goals, determining action plans, and assessing outcomes.

Activity 8: Governance and Administration

(Note: capitalization of terms below is done for emphasis)

After the first and other meetings eliminate any barriers to partner's participation, community-based organizations offer a governance and administration structure that includes: (1) a POLICY BOARD; (2) an EXECUTIVE COMMITTEE; and (3) several WORKING GROUPS. The plan recommends that each person serving on the Policy Board and Executive Committee be an official representative of an organization and have decision-making authority for his or her organization in the collaborative.

The Policy Board meets quarterly to provide overall guidance on the policies and long-term activities of the collaborative. The Executive Committee meets monthly between Policy Board meetings to provide ongoing administrative and program guidance. The Working Groups, each convened by a member of the Executive Committee and linked to a specific goal, meet as needed to formulate specific action plans (objectives/activities) for the collaborative. To encourage broad participation from the community, all Working Groups are open, at any time, to anyone within or outside the collaborative's formal membership. To ensure reasonable administration and accountability, however, Working Group action plans must be approved by the Executive Committee and ratified by the Policy Board.

The Policy Board membership of no more than 21 representatives is recommended unless strong reasons for a larger board exist. An Executive Committee of 9 to 11 is recommended, including 4 officers, 3 conveners of Working Groups for three major goals, and 2 to 4 at-large representatives from the Policy Board (please see Activity 11 for discussion of goals).

Activity 9: Ensuring Shared Power

To emphasize the empowerment nature of the collaborative, community representatives serve as chair or co-chair and a second officer of the Policy Board (the collaborative empowerment model suggests four officers of the Policy Board: chair, vice chair, secretary and treasurer). Policy Board officers also serve as officers of the collaborative's Executive Committee.

To the degree possible, community-based organizations negotiate equal representation on the Policy Board and Executive Committee with those representing institutions based outside the community. For example, there may be ten community-based organizations represented on the Policy Board along with ten from large or influential public, private, or nonprofit organizations from outside the community. Again, each member of the Policy Board and Executive Committee represents his or her organization. This underscores the need for each representative to have significant decision-making authority, direct or delegated, for the organization they represent.

Activity 10: Offering Contributions and Overcoming Barriers to Making Them

Once the community-based organizations and institutional partners agree on a governance and administrative structure, they begin discussing contributions each member can make in support of the collaborative's mission and any barriers that might limit such contributions. Whenever possible, barriers (problems) making contributions by particular organizations difficult are viewed as opportunities for all partners to help resolve such barriers. This reinforces the collaborative's "ethic" and operating style and, in a vital way, provides ongoing evidence that collaborative efforts can enhance the capacities of individual organizations as well as revolve specific conflicts.

To make this process more tangible, community-based organizations can ask that each member complete a survey form indicating basic information such as name, address, telephone number, a summary of key interests or concerns, and some specific ways that they see their sector (public, private, or nonprofit), their organization, and themselves, as individuals, being able to be of assistance to the collaborative. These forms can then be compiled and distributed to all members as a resource directory. Again, this reinforces the cumulative, enhancing effect of common resources and makes communication among members easier.

Activity 11: Formulating Goals

In the collaborative empowerment model, there are two basic ways to formulate goals: (1) setting goals that vary widely depending on the particular mission and issues being addressed; or (2) setting "generic" goals that are applicable no matter what the mission or issues being addressed. The examples below illustrate how these options could apply to a child care collaborative.

In example one, the collaborative could set goals to: (1) increase the provision of community-based child care centers; (2) improve the integration of diverse child care services; and (3) enhance community participation in the design and implementation of child care services.

In example two, the collaborative could set three generic goals to: (1) provide research - information - community education (on child care issues); (2) support program innovations and services that demonstrate improved program delivery (of child care services); and (3) advocate for policy changes (that could improve the health and welfare of children and families).

Generic goals always focus on: (1) research, information, and community education; (2) program innovations and demonstrations; and (3) policy advocacy and change. The major advantage in using generic goals is that they simplify the collaborative process while, when linked to specific action plans (objectives), still allow a focus on detailed subject matter.

The collaborative empowerment model recommends that only three major goals be selected. This recommendation is based on evidence that the inherent complexity of collaboration needs to be made simpler whenever possible if the process of collaboration is to be effective. If three goals are well selected, even in generic form, they can provide substantial substance. In addition, focusing on fewer goals increases the likelihood that results can be achieved in a timely manner, and this is a major factor in maintaining the momentum of a collaborative effort.

Activity 12: Linking Goals to Action Plan (Objectives)

Linking action plans to the goals of the collaborative is one of its most important activities. In this activity, the clarity and specificity necessary to give the collaborative substance and credibility is provided in a way that also emphasizes community participation. Action plans, which can be more formally detailed as objectives or simply described as activities, are prepared by a separate Working Group for each goal. As noted previously, each Working Group is convened by a member of the collaborative's Executive Committee and open to all members of the collaborative and anyone who wishes to join from the larger community.

In the collaborative empowerment model, all action plans of a Working Group are directly linked to an organization in the collaborative. For example, if an action plan states that a speakers' bureau is to be established to provide community education and information, the objective or activity is linked to a specific organization in the collaborative. The organization so identified then will either implement the activity through its own resources or, more likely, take responsibility for implementing the activity with the organization's own resources and the help of others.

The convener of each Working Group indicates that periodic reports, to be shared with all members of the Working Group, are expected on each action plan. The Working Group convener also reports to the Executive Committee on a monthly basis and to the Policy Board every three months on progress being made and difficulties limiting progress on action plans.

In order to increase the involvement and ownership of community members, the collaborative's action plans are continually discussed in public and in informal ways with members of the community to engender their support. In empowerment processes, action plans are not implemented without community support. To ensure good communications, all action plans need to be clearly stated with time lines, assessment criteria, and indications of staffing and financial requirements whenever possible.

It is helpful if all action plans include an assessment of staffing needs, and indications if staffing needs can be provided within the collaborative or should be met through outside funding. The collaborative's staff should be chosen based on competence and experience, not simply traditional credentials. Staff members report to the Policy Board quarterly, the Executive Committee monthly, and to the chair of the Policy Board on an as-needed basis.

Activity 13: Evaluating the Collaborative

A process as complex as multisector collaboration can be difficult to evaluate for many reasons. However, if the collaborative process is designed with clear goals and action plans (which can include specific outcomes and time lines), an evaluation plan can be constructed more easily. Attachment A to this working paper provides a detailed evaluation plan for a collaborative empowerment process addressing community-based housing and economic development issues. Many of the criteria and indicators can also be used, or modified to be useful, for collaboratives addressing other community issues. In the collaborative empowerment model, community-based organizations emphasize the importance of evaluation because it provides for periodic and public monitoring of both the processes and products of community-based collaboration.

Activity 14: Concluding the Collaborative with Ongoing Capacity

Community representatives in a collaborative empowerment process negotiate the termination of a collaborative in a manner that can result in increased community self-determination and self-reliance. If possible, the community seeks to retain a combination of financial, human, and technical resources that can be sustained in the community after the collaborative concludes.

For example, indicators that a collaborative created to provide affordable housing also empowered a community might include the degree to which: (1) ongoing operating support and better access to development funding packages was secured; (2) technical expertise was increased; (3) reliable linkages between affordable housing and related employment and social services for community residents were created or improved; and (4) more community residents can and do make better decisions about their own lives and about the organizations that serve their community.

KEY COMPONENTS OF THE COLLABORATIVE EMPOWERMENT PROCESS

- * The process is initiated in a community setting and assisted by community organizing; early discussions focus on assumptions and values.
- * Community problem identification includes both data-based trend analysis and narrative examples from community residents.
- * Community priorities are reflected by the purpose of the collaborative. Community-based organizations select representatives, who negotiate a collaborative with strategically identified public, private, and nonprofit organizations outside the community.
- * Negotiations with outside agencies and institutions produce agreements to proceed on a collaborative basis under the purpose established by the community, and within a governance and administrative process in which power is equally shared by the community and outside organizations.
- * Governance structure includes the formal elements of a Policy Board, an Executive Committee, and Working Groups, staff agreeable to the community are made available.
- * Substantial attention is given to the balancing of administration and management goals and community participation goals.
- * Goals are implemented through action plans fully supported by community residents as well as by representatives from the public, private, and nonprofit institutions from outside the community.

* Commitments to assessment and evaluation in public settings provide community-based organizations with opportunities for monitoring the progress of the collaborative.

* Community control of resources needed to continue efforts beyond the termination of the collaborative is an essential element.

A BALANCING ACT

The fundamental dialectic within the collaborative empowerment model arises from the need to balance the tensions between policy development/program implementation by the partners in the collaborative and participation from the community at-large. The collaborative must value both equally by: (1) using the Policy Board, Executive Committee, and staff of the collaborative to ensure the continuity of administration; and (2) using the Working Groups and staff to invite and encourage ongoing community participation. Most organizations, formal or informal, tend to emphasize one rather than balance both of these important components. As a result, many organizations are either very management oriented or very participation oriented. In an organizational process as complicated as multisector collaboration, a focus on either component rather than on an integration of both tends to move the collaborative toward bureaucracy or chaos.

SOME GENERAL OBSERVATIONS ABOUT MULTISECTOR COLLABORATION

In addition to considering the characteristics of the betterment and empowerment models, it is also valuable to think about some of the general qualities of multisector collaboration that help determine its usefulness. The following observations are offered to help distill some of these general qualities and encourage further thinking about collaborative processes.

* Multisector collaboration is part of a long historical tradition in which the roles and responsibilities of the public, private, and nonprofit sectors have been debated and changed many times. In creating new collaborative efforts, the historical, philosophical, and political assumptions about the roles and responsibilities of each sector should be carefully considered.

* Multisector collaboration is not easy. Because of its complexity, it is not an appropriate strategy for many problems that emerge within communities. Considerable caution should be used before adopting this particular community problem-solving approach.

* Community-based collaborative efforts can empower communities as well as for specific products like affordable housing, if they are designed to begin with this dual mission in mind. The empowerment of communities must begin in the community, and be guided by community people who will share real power with larger institutions.

* Collaboratives that are designed to better communities, but not empower them, should not be discounted. In general, these collaboratives do good things for people. It is important, however, to be clear about what kinds of processes will produce what kinds of results and not let rhetoric about empowerment mask a traditional service model.

* It is important to the viability of a collaborative that members bring organizational resources with them. For this reason, individuals who participate in collaboratives should represent organizations rather than only themselves.

* Collaboration requires maturity. People who have not matured enough in their personal development to work collaboratively by sharing information, resources, power, and visions for a common good make very poor organizational representatives.

* Multisector collaboration requires the creation of a common vision so that the direction and possible outcomes of the effort can be seen from the outset. It also should include mutually agreeable forms of communication so that specialized terminology from the community, public, private, or nonprofit sectors does not impair the collaborative's communication processes.

* The importance of trust and the sharing of information and expertise among all participants should be reinforced. Without clear manifestations of these values, a collaborative can be reduced to an ineffective group process in which participants criticize and present problems without taking responsibility for offering positive alternatives for future actions.

* There should be no "they" in a collaborative; the collaborative is "we." Collaboratives are not bureaucracies in which directions are given by one partner to another. Shared responsibility must be at the core of all problem identification and problem-solving activities.

* Consistent attendance at meetings is essential, as is the "homework" done between meetings, because there is no day-to-day organizational environment to maintain the continuity of processes and programs among members.

- * Smooth transitions in the replacement of organizational representatives are very important to the effectiveness of a collaborative process. When organizations replace their representatives, they should provide as much advance notice as possible and fully prepare their new representatives for the responsibilities they will undertake.
- * Adequate staffing is essential, whether contributed voluntarily by members of participating organizations or through paid staff. Collaboratives include numerous tasks that must be performed in a timely and effective manner. Such tasks require staffing support and cannot be left to chance.
- * Clarity in the collaborative's governance structure and lines of accountability is vital to ensure that the inherent complexity of the collaborative process does not result in confusion.
- * Communication within participating organizations is as important as communication among participating organizations. Individual organization members have a responsibility to coordinate their overall participation internally so that their contributions in collaborative meetings are effective and coherent from their partners' points of view.
- * Communication among collaborative members should be continually fine-tuned so that the collaborative knows what it is doing and can easily explain its activities vis-a-vis its stated mission to those not directly involved.
- * Collaboratives should emphasize communication with diverse constituencies as well as provide opportunities for participation by those normally excluded from traditional processes. This is particularly important if community-based collaboration is to become a useful strategy for addressing issues of racism and sexism and other forms of oppressive discrimination.
- * Community-based collaboration is well suited to a diversity of involvement and, as numerous examples show, can do a great deal to empower communities as well as provide much-needed affordable housing, jobs, economic development, and community services. Its ultimate usefulness depends, however, on the quality and substance of its ongoing linkages between local and community-based efforts and larger issues of public policy.
- * Those seeking to participate in collaboratives as leaders, organizers, facilitators, and members should discuss and practice participatory, democratic processes. In collaborative efforts, participatory and inclusive processes require sharing power meaningfully and, as a result, community-based collaboration can help us to expand our democratic capacities.

LOCAL COMMUNITY-BASED COLLABORATION AND NATIONAL COMMITMENTS

If community-based collaboratives are given sufficient support, they can turn serious social and economic problems into opportunities for positive social change. As part of this support, we should work to improve collaborative processes that empower community-based organizations. Community-based collaboration offers exceptional opportunities for solving our most pressing social problems. These efforts can become a significant part of a realistic strategy for addressing the social and economic injustices across our nation that increasingly cry out for attention and demand action.

If we are to go beyond models and demonstrations, however, new partnerships with the federal government will also have to be created. Because of the scale of funding needed, local efforts alone can never solve our social problems. If we are to fully meet human needs for affordable housing, health care, child development, education, and employment, we must create a national commitment to support such human needs as universal benefits of citizenship. We must create a national commitment to enhance each other's capacities as human beings for our common good.

FOR FURTHER INFORMATION ABOUT BETTERMENT AND EMPOWERMENT MODELS

The betterment and empowerment models described in this paper were tested through the work of the Public/Private Initiative Project (P/PIP), a three-year (1986-1989) demonstration project in multisector collaboration at the Humphrey Institute of Public Affairs at the University of Minnesota. A summary of P/PIP's assistance with collaboratives addressing hunger and homelessness, neighborhood-based affordable housing, minority education, adult vulnerability, and social investment is available upon request.

FOR MORE INFORMATION OR CONSULTATION SERVICES ON COLLABORATIVE INITIATIVES, PLEASE CONTACT:

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ATTACHMENT A

CRITERIA AND INDICATORS FOR EVALUATING MULTISECTOR COLLABORATIVES IN COMMUNITY-BASED DEVELOPMENT

Arthur T. Himmelman

Criteria and Indicators

The following are criteria and indicators for evaluating multisector collaborative betterment or empowerment processes in community-based housing or economic development activities. They are offered as suggestions to be altered and improved in these activities and modified as necessary for other kinds of issues and subjects.

CRITERIA

- * Initiation and Design

INDICATORS

- * Clarity of issues suggesting community action
- * Clarity of vision producing common agenda/actions
- * Quantity and quality of participants willing to join efforts
- * Quality of selection process of participants
- * Usefulness and effectiveness of model for partnership participation, governance, and accountability
- * Clarity and acceptance of outcome measures for results

CRITERION

- * Empowerment

INDICATORS

- * Degree to which those most effected by partnership's mission, goals, and actions shape these partnership qualities
- * Degree to which low-income persons, people of color, and women hold leadership positions
- * Degree to which leadership is based on non-financial criteria
- * Quality and quantity of information shared among all members of partnership
- * Quality and extent of community organizing and community education encouraged and provided by the partnership

Attachment A-2

- * Degree to which language, data, information and other forms of communication encourages grassroots participation
- * Quality and quantity of long-term resources retained by those who did not have them at the initiation of the partnership

CRITERION

- * Facilitation

INDICATORS

- * Clarity of partnership processes and organizational structure
- * Quality of data, information, research, and other forms of communication provided
- * Success in achieving the trust of partnership participants
- * Success in serving as a liaison for mediation and negotiation among partnership participants
- * Quantity and quality of internal and external resources identified and provided by partnership participants
- * Degree to which traditionally underrepresented organizations and individuals play a significant role
- * Timeliness and quality of oral presentations and written communications by partnership members
- * Degree to which both policy and programmatic goals and objectives are achieved

CRITERION

- * Policy Change

INDICATORS

- * Degree to which public, private, and/or nonprofit policy makers are members of the partnership
- * Degree to which public, private, and/or nonprofit policy makers are committed to partnership mission and goals
- * Clarity of policy change goals and objectives
- * Quality and quantity of policy changes identified and achieved
- * Quality and effectiveness of monitoring and evaluation of policy changes over short and long-term
- * Correspondence of policy change to programmatic change
- * General community awareness and support of policy change goals, objectives, and achievements by partnership

Attachment A-3

CRITERION

- * Program Improvements

INDICATORS

- * Significance and clarity of program improvements identified
- * Significance and quantity of program improvements achieved
- * Cost effectiveness of program improvements
- * Level of support within and outside the partnership for program improvements identified and achieved
- * Quality of long-term monitoring and evaluation of program improvements
- * Degree to which program clients are included in decisions about program improvements, monitoring, and evaluation
- * Degree to which program improvements are coordinated with human, financial, and technical resources outside of housing and economic development
- * Degree to which program improvements are linked with policy implications and policy changes where appropriate

CRITERIA

- * Products and Results

INDICATORS

- * Quantity and quality of affordable housing units preserved, maintained, and constructed
- * Quantity and quality of affordable housing units provided to (1) very low income; (2) low income; and (3) moderate income individuals and families
- * Quality of management provided to affordable housing units
- * Amount/ratio of private investments and grants leveraged by federal and other public funding
- * Increase of equity and other forms of financial resources available to those without them prior to the partnership
- * Number and quality of jobs created
- * Number and quality of jobs provided to low-income persons, people of color, women, and residents of disadvantaged communities
- * Number of jobs created with career development possibilities
- * Quality of the coordination of job training, educational opportunities, and human services with affordable housing and economic development
- * Amount and quality of commercial development created
- * Number and significance to the community of small business and services provided
- * Long term viability of businesses created
- * Degree to which businesses and economic developments are considered community as well as individual resources

Attachment A-4

CRITERION

- * Quality of Partnership Participation

INDICATORS

- * Diversity of participation from community, public, private, and nonprofit sectors
- * Level of decision-making authority within their "home" organization reflected by membership
- * Quantity and quality of decisions made on behalf of partnership
- * Quality of power sharing among membership
- * Quantity and quality of public policy changes encouraged and achieved by partnership
- * Quantity and quality of financial, human, and technical resources contributed by partnership members
- * Effectiveness of communication among members
- * Quantity and quality of knowledge and skills shared among members and level of new learning gained by members
- * Quantity and quality of oral and written presentations by membership for internal and external purposes





Forging New Relationships Through Collaboration

A Policy Brief Based on

*The Eighth Annual Symposium of the
A.L. Mailman Family Foundation*

White Plains, New York

July 1, 1991

Introduction

"It takes a village to raise a child"
African Proverb

All across the country dedicated people are finding new ways of working together to improve services for children and families. They are attempting to weave together the patches of programs currently available into a system that can provide comprehensive services in a way that respects the unique needs of individual children, families and communities.

This effort to improve human services is more important than ever. The problems facing children and families have become commonplace headlines:

- One in four children today are growing up in poverty.
- An estimated one-third of all mothers receive inadequate prenatal care.
- Connections to kinship groups and other natural supports have diminished.
- There has been a dramatic increase in the number of single parents, teen parents, and divorced parents.
- American families feel more and more stress in their daily lives, trying to balance work and family without adequate supports.

The list goes on and on. Hundreds of reports published in the past decade document the reality that if we as a nation are to thrive, we must turn our attention to solving the critical problems faced by children and families. We must find better ways to deliver services, and to shore up the loss of human potential that threatens our communities.

Yet we also know that rather than helping to address these issues, our current system of services too often fails children and families. According to Melaville and Blank (1991), failures in the current system include the following:

- Most services are crisis-oriented, rather than preventative.
- The current social welfare system divides the problems of children and families into rigid and distinct categories that fail to reflect their interrelated causes and solutions.
- There is a lack of functional communication among the agencies serving children and families.
- There is an inability of specialized agencies to easily craft comprehensive solutions to complex problems.
- Existing services are insufficiently funded.

With the challenge of improving this service system in mind, and as part of their ongoing commitment to children and families, the A.L. Mailman Family Foundation held its annual symposium in July, 1991, with a focus on collaborative efforts to deliver human services to children. As described by Dr. Marilyn Segal, Chair of the Foundation, the purpose of the meeting was not only to share experiences and generate ideas, it was also to address some of the hard issues and questions that need to be answered if we are truly going to find better ways of delivering services to children and families.

The unique format of the one day symposium included opening and closing remarks by Lisbeth B. Schorr, author and lecturer from the Harvard School of Public Health; three panel presentations highlighting examples of successful collaborations from Florida, Missouri and Maryland; and synthesis and open discussion led by Martin Blank from the Institute for Educational Leadership. More than 100 participants attended the symposium, representing a wide variety of roles and experiences including service providers, policy-makers, academicians, and funders.

This policy brief synthesizes the symposium proceedings, capturing many of the details of successful collaboration. It is designed for use by others who are interested in facilitating change in their communities and states. We first provide an overview of what is meant by collaboration, and what distinguishes current efforts from earlier attempts at service integration. Second, we describe six key ingredients of successful efforts as they emerged in symposium discussion. Finally, we summarize the closing remarks by Lisbeth Schorr, and draw some conclusions regarding the overall message of the symposium, and future directions for promoting a collaborative approach to improved services for children and families.

What is Collaboration and Why Now?

"Compared to the last wave of service integration, today there is much more of a genuine vision of what we want. What people are talking about is really a transformed set of relationships between people. At the heart of this is what should be different between a helping professional and a family, or between a community and a family."

Frank Farrow
Center for the Study of Social Policy

Collaboration, services integration, partnerships—have all become buzzwords for the movement to improve services for children and families. Collaboration has been defined by Bruner (1991) as: "a process to reach goals that cannot be achieved singly (or at a minimum, can not be reached as efficiently). As a process, collaboration is a means to an end, not an end in itself. The desired end is more comprehensive and appropriate services for families that improve family outcomes."

This movement for more collaboration is not new. There has been a long tradition of service integration over the past several years, including attempts in the 1970s to provide demonstration projects and technical studies of service integration (Gerry and Certo, 1992). Yet during the symposium discussion, and in the summary by Lisbeth Schorr, three main differences emerged which distinguish the current focus on collaboration from earlier service integration strategies: a clearer vision of what we want, more interest from key players, and a better sense of how to collaborate—what works and what does not. This new knowledge base, along with changing economic and social conditions, appears to be providing a stronger foundation from which to launch more successful service improvement efforts using a collaborative approach.

We have a clearer vision of what we want. We now have a better appreciation for the fact that change starts with a vision of improved services for children and families. This vision appears to include the following key elements:

- Children must be seen in the context of families, and families in the context of the communities in which they live.
- Comprehensive services must be provided in a way that respects the individual needs and cultures of the families and communities.
- Program services must go beyond the provision of goods and services and must nurture relationships that help people grow.
- Services must be "democratic." That is, that the people most directly effected must have some

control over the types of services provided and the ways they are delivered.

We have more interest from key players. More people today are willing to admit that the human service delivery systems are not working as well as needed to serve the growing demands of children and families. Policy-makers are concerned about the growing need for services in a time of shrinking budgets. They want more bang for their buck, they want to avoid duplication of services and they want services to improve for their constituents. They therefore support efforts to bring the various agencies and institutions together to affect change. At the same time the business community is concerned about the effectiveness of the current and future workforce. In addition, unlike earlier integration efforts, the education community is now more willing to become involved in collaborative efforts. Finally, the general public has become increasingly aware of the growing differential between the haves and have nots, while more and more people have begun to feel the need for increased services. This adds momentum to the call for creative solutions to the domestic crisis.

~~We have learned more about what works.~~ Through trial and error we have learned valuable lessons about what works and what does not. For example, we now know that we cannot "parachute" a specific model into a state or community, that we must be responsive to the culture of each new location. We also know that we need structures that provide a balance of state guidance and local decision-making and problem-solving mechanisms that involve input from a variety of players. Finally, we know that we must have measurable outcomes to convince policy-makers that new solutions and increased resources are essential. The foundation upon which we are building is now stronger than it had been in the past, but we must continue to bolster its structure. The focus of our vision must be sharpened and widely shared, and the commitment and passion for change must grow. As we implement fundamental changes in the ways we support children and families, we must continually discover and utilize what works.

Six Essential Ingredients to Improving Services Through Integration

The symposium included case studies of successful collaborations from three states: Florida, Missouri and Maryland. Each of these examples reflected the strong foundation discussed above: they had a vision of support for children, families and communities; they had the interest and support from key players; and the process they used to make change reflected what we now know works. We have organized our discussion of the case studies around six key ingredients that appear to be essential to making change and improving service delivery systems:

- a climate for change;
- leadership;
- flexibility and resources;
- problem-solving structures;
- supportive relationships; and
- documented results.

We begin with a brief overview of each example and follow with a discussion of each key ingredient.

The Florida State Coordinating Council of Early Childhood Services The Florida State Coordinating Council was established by the state legislature in 1989 as an independent non-partisan body to ensure coordination among the various agencies and programs serving at-risk and handicapped preschool children (birth to 5), high risk pregnant women, and teens; to facilitate communication, cooperation and maximum use of resources; and to promote high standards for all programs servicing preschool children in Florida. The 30 member state advisory council brought together two previously established state coordinating groups—one on child care and one on early childhood education, and reflects a wide variety of roles and experiences. Local interagency councils were established in each of Florida's 67 school districts.

The Missouri Caring Communities Program The Missouri Departments of Elementary and Secondary Education, Mental Health and Social Services, and the Danforth Foundation joined forces with two communities to create pilot programs called Caring Communities in two sites—one rural and one urban. The case study presented at the symposium was the urban site in St. Louis located at the Walbridge Elementary School. Caring Communities seek to: keep high risk children performing successfully in school; help those children and their families avoid family separation and dysfunction; and help the children stay out of trouble with the law. The Walbridge Caring Communities Program seeks to respond to the comprehensive needs of children and families in the school. Services are school- and home-based, and include intensive support and the nurturance of non-kinship networks in the community.

The Maryland Children and Family Service Reform Initiative With support from the Annie E. Casey Foundation, Maryland has established a model for interagency integrated family-centered case management services in Prince George's County. Funds are diverted from each department's out-of-home placement budgets to provide non-categorical, flexible family preservation services. The Governor's Subcabinet on Children, Youth and Families is an interagency structure which has responsibility for planning and collaboration with a wide variety of state agencies, advocacy groups, and service providers. It oversees the Children and Family Service Reform Initiative. Plans are underway to expand the model to eight other communities in the state.

What Families Want from Human Services

*As presented by Donna Stark
Maryland Children and Families
Reform Initiative*

First they want support for what their priorities are, not for what we want their priorities to be. They want one person—not several persons helping them negotiate difficult situations and difficult systems; they want a user-friendly system that doesn't give them the run-around from one agency to another with millions of forms to fill out to get some basic responses from the state; they want services that are comprehensive enough to respond to their entire family's needs and respond to the causes rather than the symptoms of the issues that they bring before us.

Families want us to understand and respect the fact that we enter into their lives for a very brief moment in time; that they are their own managers; that they take care of themselves most of their lives and we're just there for a moment.

They want a quick and effective response to their request—not days and weeks of waiting for an appointment. They want support from us when problems surface, not at the time when we are asking, "Should these children remain with the family?" And they want us to appreciate the diversity of their lifestyles and their values.

I always hold these out before me as we make policy decisions at the state level.

A Climate for Change

"All the elements and the climate and the amoeba have to be right to create life. I think that's really what's happening now and it's certainly a very exciting time for all of us who are part of it."

Donna Stark
Children and Family Services Reform Initiative

When change finally begins to occur, it seems as if it has been smoldering for awhile. Rather than occurring out of the blue, there are certain conditions that appear to provide a climate for change. These precursors, along with a spark of leadership, often light the fire that makes things happen. From the case studies, four conditions emerge:

- The realization that a problem exists with some vision for solving it;
- Prior experience with coordinating services;
- A renewed stimulus for change; and
- Funding to get started.

The case studies illustrate these conditions:

Florida had been moving towards additional services for young children since the mid-1980s. A 1985 child care bill put in place a child care advisory council under the Secretary of Health and Rehabilitation Services. In 1986, the Pre-Kindergarten Early Intervention Program legislation established new state-funded pre-kindergarten programs and an Advisory Council to the Commissioner of Education on Pre-Kindergarten Programs. Since both councils dealt with early childhood issues, many of the same people in the state ended up on both councils, providing prior experience working together. What became increasingly clear however was that the boom in early childhood was accompanied by real turf issues across the state among people from human services, child care, pre-kindergarten and public schools. Three leading early childhood advocates in the state, including the Chairs of both advisory groups and a staff person for the State House Education Committee, got together and decided to address the problem. At the same time, the incoming speaker of the House of Representatives was a well-known child advocate and interested in collaborative approaches, which provided a stimulus for new action.

Initial thoughts were to develop a new agency. However, since the development of new agencies is not popular politically, the legislation that was drafted and passed created the State Coordinating Council for Early Childhood Services, consolidating the previous two advisory groups, with staff responsibility alternating annually between the Departments of Education

and Health and Rehabilitation Services. Ann Levy, the staff member with the Committee on Education of Florida's House of Representatives summarized the climate that led to this success:

"This whole movement, like everything else that happens in legislation was the happy result of planning, working and a lot of serendipity. The whole thing came together at the right time."

In Missouri the impetus for Caring Communities basically started when the Acting Commissioner of Education became increasingly concerned that the teachers in schools did not have the tools to address the problems that children were facing in their classrooms. Initially, he asked for help in solving some of these problems from the Department of Mental Health, Social Services and Health were then brought into the discussion. At the same time, a member of the Danforth Foundation staff had been working for some years with different directors of state agencies to support early intervention and family support efforts. The nationally recognized Parents and Teachers program, which began with a pilot project in 1991, was a public/private partnership between the Danforth Foundation and the Missouri Department of Elementary and Secondary Education. This home-school early intervention project helped pave the way for efforts like Caring Communities. Furthermore, the state had four new directors within this time period, which provided a more open attitude and a willingness to admit that the system was in trouble. As Jane Paine from the Danforth Foundation put it,

"If you don't admit you have a problem, you'll never solve it."

The early discussions among the agencies and the foundation led to an agreement to focus on two sites in the state and to promote community decision-making and family support. Khatib Waheed, Director of the Walbridge Caring Communities Program, described the vision:

"We recognized that we can no longer continue to try and deal with the dysfunction that children have without also working with the family, but we also recognize that working with the family is not enough and that we must begin to deal with the community as well."

For more than a decade Maryland agencies had been trying to fill gaps in services and to work cooperatively. However, they were proceeding cautiously. Donna Stark, Director of the Children and Families Services Reform Initiative explains the problem:

"We were trying to fit families into services that we had available. Where they weren't available, we tried to fill them by

pointing to a department and saying, 'These families look like they belong to you, so you develop a program'."

At the same time, the new Governor was concerned about the maze of services that families had to face and the increasing rate and cost of taking children away from their families when things went wrong. He called for bold new strategies that would go beyond textbook changes in bureaucracy and would do "something better for families." He charged the Human Services Subcabinet to find new ways to address the core issues.

Simultaneously, the Casey Foundation was interested in helping to reform the children and family services system. This combination of events led to a grant from the Foundation to strengthen efforts and provide technical assistance to launch a new concept of more integrated, intensive and flexible family services. A home visit to an organization that offered family centered home-based support provided greater insight into family-focused services. It was an event that helped clarify how a conceptual vision could become a reality.

Leadership

"We know what to do: now we need the political will to make it happen, and more importantly, the energy to sustain it so that it doesn't become just another new idea. The landscape is littered with new ideas that were started and went away. What's important here is that you have to have the piper."

Gary Stangler
Missouri Department of Social Services

Leadership comes in many forms and from people at different levels. Although the political leadership of Governors, other elected officials and agency directors is critical to shaping successful efforts, it is the sustained, persistent and shared leadership of many that truly mobilizes improved services for children and families. The case study presentations repeatedly described leadership at several levels, including:

- Foundation officials who often have the initial vision and resources to make the project happen and keep it going;
- Mid-level managers who take risks, cut through the bureaucratic red tape and reduce fragmentation of services;
- Project directors who believe strongly in the program philosophy and share their passion with staff and families in a way that sustains the project;
- Directors and staff who are dedicated to families and who spend endless hours building relation-

ships and learning new ways to bring about change;

- Families and other community residents who become empowered to take charge of their own lives and add their voice to the decision-making of the project.

Several characteristics appear to define these leaders. Although it is helpful if key leaders have access to people in power, their human characteristics seem to be the hallmark of their ability to lead. They are described as being able to take various perspectives and to serve as models and facilitators of collaboration. For example, one leader from Maryland was referred to as "a sort of one-woman service integration project." Pam Phelps, Chair of the State Coordinating Council in Florida described the facilitating role this way:

"It is our job to pull the hands across the tables of all the people who have knowledge and see that each voice has the right to be heard."

Effective leaders are seen as courageous, willing to take risks, willing to take responsibility for change, able to seize an opportunity to make change, open to new ideas, motivated, energetic and dedicated. Perhaps most important of all, leaders are described as being persistent—as being people who are not easily defeated and can encourage others to remain enthusiastic. Peggy Pizzo, from the National Center for Clinical Infant Programs and a symposium participant put it this way:

"Defeatism and cynicism are real barriers. We need leaders who keep pushing all of us not to despair and to keep on going ahead."

Flexibility and Adequate Resources

"I think one of the first things that we agreed on was that this was not a matter of the state telling the local communities what they could do for them or wanted them to do. Rather, it was the state offering resources, identifying the kind of programs they did have, and entering into real partnerships."

Jane Paine
The Danforth Foundation

One of the central features of successful collaborations is that they have the flexibility to do things differently, to break the mold regarding the way service systems are structured, the way services are delivered locally and the manner in which funds are distributed. But it is not flexibility alone that makes for success. As mentioned earlier, initial funding as well as ongoing support is critical.

Florida developed a system of shared ownership of the Council that went beyond a single agency. The Council was staffed by the two agencies (HRS and DOE) and represented consumers, providers, and professionals associated with prevention and early intervention programs and initiatives. Along with the state council, local councils were created and are being encouraged to develop according to their own needs. Funds are appropriated at the state level to support Council activities. A portion of the pre-kindergarten allocation was used in 1991-92 to enhance and expand the Head Start programs in Florida. Creating equity in funding among state- and federally-funded, and federally subsidized pre-school programs is a priority for the Council and the two agencies.

Missouri was flexible enough to use the schools as the hub of services for families in the community, and to allow local advisory boards to develop different kinds of programs based on community needs. At Walbridge, this resulted in a definite commitment to establish a culturally sensitive program and to hire staff who come from the community. The Danforth Foundation helped launch the effort, although most staff positions are funded from core state agency funds, and local communities have decision-making power, through needs identification, over how resources are spent.

Maryland developed a unique partnership with families and with local government. They made a commitment to change the way services are delivered to families, the way decisions are made, and the way funds are distributed. The more flexible approach to service delivery included the extensive use of intensive home-based services. Marie Brantley, a case manager at the Commission for Families explained that the use of the home based approach both empowers families because the staff meets the family on their own "turf" and allows that staff to discover family strengths. Family-centered services encourage work with the whole family, as the family itself defines its members and priorities.

The decision-making process about children and family services shifted from single state agencies to the Human Services Subcabinet and to local governing boards where community priorities are established and community strategies are developed. Funds for placement were redirected to family preservation. The state agencies put together funds that could be used flexibly at the local level. Flexibility in the use of funds was also allowed at the family worker level so they could purchase things for the families that they need immediately, therefore often avoiding a crisis.

Problem-Solving Structures and Process

"One of the things that we hear over and over is the need for a continuous process of problem-solving."

Ellen Galinsky
Families and Work Institute

An important element of the models was the development of formal and informal mechanisms and procedures for problem-solving and dealing with conflict. The process of solving problems and developing a common agenda occurred as people spent time together learning how to resolve discord, to document problems and to promote ongoing dialogue. Overcoming barriers was seen as a continual process that developed through emerging relationships among the key players, and through strong belief and commitment to the possibility of change.

Problem-solving often occurred within the collaborative structures set up at the state and local level. Panelists frequently attributed the success of these structures to the fact that they included a wide variety of people and that the appointment of members was often made by more than one source. For example, in Missouri they have both a local advisory board composed of a variety of people from the community, and an interagency team which services a mid-management group with designees from the directors. In Florida the 30 members of the State Council also represent a variety of roles and are appointed by the Governor, the Commissioner of Education, the Secretary of Health and Rehabilitative Services, the President of the Senate, and the Speaker of the House.

Procedures for problem-solving have evolved within these structures. For example, again in Florida, Council members extensively document the decisions and follow-up needed and make sure that all key players in the state receive copies. The state level structure often interfaces with the local structure. For example, in Maryland, the local Governing Board is the place where the voice of the family can be heard. If a policy barrier is identified at that level, it is up to the Board to work with the state subcabinet to help solve any policy barriers.

Supportive Relationships

"The successes that are being met in these various projects have some humanity to them, have some (level of) intimacy to them."

Ed Meade
Academy for Educational Development

The real heart of these collaborations can be found in the strong bonds of trust that develop among the partners in the collaboration, with other agencies in the community and especially with the families served. Referring to the bond which has developed in the Florida State Council, William Fillmore of the Head Start Association said:

"One of the reasons we have had tremendous success is because of the cohesiveness that has developed within the group. The group has trust in one another, and when you have trust in people, you are able to achieve much more than you could otherwise."

Marie Brantley, a Case Manager from Maryland, spoke of the sense of trust and power that develops with other community agencies. She said:

"We find more and more that lots of different people are getting to know our work. We have good relationships with property managers, training program people and other service providers. They know we are going to do all that we can to help the person participate."

Perhaps most important of all are the strong relationships that develop with families and in the community. These most often develop through the time and dedication of the staff. Again, Marie Brantley explained:

"The amount of time and the type of relationships that we build with families are intense. In terms of time, our case loads are very small so that we are able to spend a lot of time with families, ranging from three hours to 20 hours a week. We may see some families everyday depending on what's happening with the family. We are available to the family 24 hours a day, seven days a week. We work very hard to bond with the families."

Khatib Waheed, from the Walbridge Caring Communities Program explains the importance of developing non-kinship networks in the community.

"Families in our community are splintered in terms of location. You may have some kinfolk down the street, but most time they live in another part of the city. There needs to be support within the community where people have a shared sense of values and goals."

Demonstrated Results

"The bottom line is whatever we do makes no difference unless the family can see a difference in how they are treated, and in the sensitivity of the institution to their needs. We have succeeded if they gain the power to affect their lives differently."

Mary Godfrey
Maryland Department of Parks and Recreation

Demonstrating results to policy-makers is critical to the future of these creative efforts. All of the projects had formal evaluation procedures underway, and some projects were looking into new ways to measure outcomes.

For example, in Missouri, Caring Communities initially began with a focus on measuring school progress which was an area where data was readily available. The specific indicators that were used included: grades, absenteeism, and citizenship indicators or measures of personal behavior. Performance by students at the Walbridge School was compared with that of students in demographically similar comparison sites. Walbridge students were grouped in terms of those who received intensive services, light services, and no services. Based on the initial experience with evaluation, a new, more comprehensive evaluation design is being developed to incorporate outcome measures related to staying in the home, and contact with the juvenile justice system.

In Maryland, for the first time, local entities are being evaluated and their budgets are based on performance. Outcome measurements are developed based on each local jurisdiction's own estimate of numbers of families it will be able to serve, and number of placements it will be able to prevent.

In Florida, the Strategic Plan for Prevention and Early Intervention lists eight specific program goals that the two agencies working together intend to achieve, as well as five system goals that must be put in place in order to facilitate program goals. For each program goal, outcome indicators and benchmarks have been developed. Outcome indicators have also been developed to measure progress on system goals.

The anecdotal information presented by the panels from each state demonstrated the positive results so evident in these projects. People talked of helping children remain successfully at school, at home and out of the juvenile justice system; of parents assuming roles that they had never considered before; of improved school attendance, improved school behavior, improved school achievement; and of non-kinship groups that are helping to build a sense of family within communities. Such results are testimonials to the spirit and success of these efforts. As their enterprises are evolving and expanding, the panelists acknowledged that they would confront new challenges: seeking creative ways to maintain vibrancy and flexibility, finding ways to replicate programs while preserving individual flavor, and ensuring that state governments take their intensive and innovative efforts to scale.

Where Do We Go From Here? Forging New Relationships

*"Collaborations occur among people, not among institutions."
(Bruner, 1991)*

This symposium featured three distinct initiatives which demonstrate a collaborative approach to improving services for children and families. Each example was different in its overall goal: the Florida example focused on expanding and improving early childhood services before school, the Missouri example focused on expanding school-based services and the Maryland example focused on improving the overall service system to families. Yet regardless of the program goal, all three cases illustrate the key ingredients necessary to make change.

First, to improve services, the overall climate must be right. This usually includes some earlier efforts to promote cooperation among agencies. Collaborative efforts do not grow all at once, rather they develop

incrementally over time. These earlier partnerships help set the stage for further collaboration once a problem is identified and some new spark starts the movement towards change.

Once the stage is set, there must be leadership at all levels to carry any new vision into reality. The leadership at the community level is particularly important to keep the vision and passion alive. Furthermore, problem-solving structures must be established to promote and facilitate communication among the key players. In addition, there must be some flexibility in the funding streams and policies that allow new and creative initiatives to emerge. However, flexibility in funding is not enough. Resources must be adequate to actually meet the demands for service.

Lessons to be Learned Closing Remarks by Lisbeth Schorr

What must we beware of?

- That collaboration not be seen as a substitute for change, as a veneer to hide the fact that nothing is really changing for children and families, that we are failing to invest the resources that would improve outcomes, failing to invest in basic income supports.
- Becoming so absorbed by the difficulty and complexity of what we are trying to change at the system level, that we lose sight of the goal of improving the lives of children and families.
- Flash-in-the-pan collaboration that is not sustained and has not created fundamental change.

Where do we lack consensus or need more information?

- Can significant change take place in the absence of increased funding, or in fact, do funding shortages stimulate efforts to make existing resources work more effectively?
- Are we prepared to let our programs be judged by measurable outcomes for children and families?
- Should new agencies be developed that would focus specifically on children or can successful efforts be achieved as well with a more collaborative approach across existing agencies?
- How do we measure the success of our efforts? Against what criteria?

How do we replicate success?

- Do we need models? principles? guidelines? minimum standards?
- How do we go to scale and maintain local variation?
- How do we train people to manage and staff restructured human services?
- Who is going to stimulate replication of proven success?

All of these key ingredients seem to us to be standard fare in the recent literature on collaboration. What seemed more unique in this particular symposium was an overall message about the importance of emerging relationships among the key players. *Forging supportive relationships appears to be both the heart of the collaborative process and a central aspect in an emerging vision of improved services for children and families.*

Given our fragmented system of services, the relationships among service providers is critical to ensuring a more holistic approach to meeting the comprehensive needs of families. Problem-solving structures promote communication among key players. Flexible policies allow a more cooperative spirit to emerge. Successful leaders nurture and support those around them. All of these ingredients lead to more supportive relationships among service providers which can result in improved services to children and families.

Besides the importance of collaboration as a way to build relationships among providers, the message throughout the symposium was that the families themselves needed more emotional support. Today, perhaps more than ever before, a combination of skill and compassion is needed to deal with the intense problems facing families.

The challenge of human service delivery in the 1990s therefore goes far beyond finding more coordinated ways of providing services. Because families are isolated and torn away from traditional kinship networks, service providers are being asked to step into new roles, to provide emotional support to children and families and to become more intensely involved in their lives. Teachers, social workers, medical professionals, and others must not only learn to work together, but should have a renewed commitment to the spirit of the individual and the development of trusting relationships.

As we move to improve services through collaboration, we face the challenges of documenting results, providing technical assistance, and sharing information across the country regarding what works. The A.L. Mailman Family Foundation Symposium provided such an opportunity. Other promising initiatives to promote this type of information sharing have been launched by the U.S. Department of Health and Human Services, including the development of a national center on services integration.

Considering the importance of forging new relationships as illustrated in this symposium, it is critical that future efforts also focus attention on supporting service providers and reinforcing a new vision of improved services. Given the intensity of the problems they see everyday, it is important that people working in the human service and education fields feel that their work is recognized and supported, particularly through adequate compensation and opportunities for professional development. It is through such recognition that the dedication and leadership needed to be successful at the local level will be encouraged. Furthermore, in the future we must focus much more attention on the type of training which fosters the interpersonal skills so important to successful collaboration.

Finally, we must continue to remind ourselves that collaboration is not a goal in and of itself, but rather the means by which to realize our vision of comprehensive, compassionate services for children and families. This vision—one which promotes and respects the decisions and circumstances of individuals and communities—has begun to take hold, but will require sustained commitment if it is to bring about lasting change in programs and systems. We must help service providers understand that eliminating poverty demands both human and financial support for children and families. Successful human services of the future will forge new relationships with families, and provide the non-kinship networks so essential to communities that truly care about their children.

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WHAT IT TAKES:

Structuring Interagency Partnerships to Connect Children and Families with Comprehensive Services

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PREFACE AND ACKNOWLEDGEMENTS

This is the second in a series of publications published by the Education and Human Services Consortium, a loose-knit coalition of national organizations concerned with interagency efforts to connect children and families with comprehensive services.

The first publication, **New Partnerships: Education's Stake in the Family Support Act of 1988**, was aimed at state and local education and human services policy makers, administrators, and practitioners and explored the potential for collaboration among education and welfare agencies in the implementation of the new law.

This monograph, **What It Takes: Structuring Interagency Partnerships to Connect Children and Families with Comprehensive Services**, looks at why local schools, health and welfare agencies, youth services agencies, community-based organizations, and others must join forces on behalf of children and families, and offers guidance based on emerging experience about how they can move forward together.

A third publication in this series, **Thinking Collaboratively: Questions and Answers to Help Policy Makers Improve Services for Children**, authored by former Iowa State Senator Charles Bruner, answers a series of questions that state and local policy makers frequently ask about collaboration. It will be issued in early 1991.

The Education and Human Services Consortium exemplifies the kind of close professional collaboration necessary to improve the futures of children and families. The national organizations participating in this Consortium, and other groups that may choose to join, plan to publish additional documents as issues emerge that require mutually supportive and collaborative work.

The following persons affiliated with 22 organizations participated in various ways in the development of **What It Takes**: Robert R. Aptekar, Michael Benjamin, Terri Bergman, Milton Bins, Cynthia G. Brown, Jacqueline P. Danzberger, Janice Earle, Jeremiah Floyd, Evelyn Ganzglass, Mark Greenberg, Robert J. Haggerty, M.D., Samuel Halperin, Harold Howe II, Tom Joe, Clifford M. Johnson, Thomas Koerner, John Kyle, Janet E. Levy, Linda Laughlin, Cynthia Morano, Robert Palaich, Gordon Raley, Cheryl Rogers, Arloc Sherman, Lonnie Sherrod, Bard Shollenberger, Earl N. Stuck, Jr., and Laura Waxman. Other colleagues in the field, including Deborah Both, Charles Bruner, Sharon L. Kagan, Michael Kirst, Lisbeth Schorr, and Lynda Tredway also provided valuable insights. Elizabeth Korn and Louise E. Clarke assisted ably in the final preparation of the manuscript.

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● WHAT IT TAKES: STRUCTURING INTERAGENCY PARTNERSHIPS TO CONNECT CHILDREN AND FAMILIES WITH COMPREHENSIVE SERVICES

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INTRODUCTION

Every day, thousands of youth workers, child care personnel, protective services staff, health workers, teachers, employment and training specialists, mental health counselors, income maintenance workers, members of the business community, volunteers, and policy makers face the responsibility of fostering success for our nation's children and families. This monograph is addressed to each of them. By speaking to such a diverse audience, the 22 organizations comprising the Education and Human Services Consortium hope to encourage conversation and constructive action among those who share a common interest in the same group of families and children. As participants from across the human services and education systems realize the degree to which they are capable of supporting and enabling each other's efforts, we believe that better services and improved outcomes for our nation's families will follow.

What It Takes: Structuring Interagency Partnerships to Connect Children and Families with Comprehensive Services begins, in **Part One**, by asking what kind of prevention, treatment and support services children and families need to succeed—as students, parents, and workers—and why the current system so often fails them. It describes what high quality, comprehensive services should entail and focuses on interagency partnerships as a potential key to the large scale delivery of such services. The monograph distinguishes between limited cooperative efforts and more intensive collaborative arrangements. While local circumstances may lead joint efforts to begin with a primarily cooperative strategy, **What It Takes** argues that *real progress toward large-scale comprehensive service delivery is possible only when communities move beyond cooperation to genuinely collaborative ventures at both the service delivery and system level*. Emerging experience suggests that at least five factors—the **climate** in which initiatives begin, the **processes** used to build trust and handle conflict, the **people** involved, the **policies** that support or inhibit their efforts, and the availability of **resources** to enable their efforts to continue—will affect the ability of local efforts to launch successful collaborative efforts.¹

Part Two uses an informal sampling of interagency initiatives to illustrate how these five factors can affect local efforts. These partnerships, several of which were developed with state assistance, were not selected as outstanding models of success, although a number have been

evaluated with positive results. Instead, they represent good faith beginning efforts to create more effective child and family-centered systems. Examples were suggested by members of the Education and Human Services Consortium, formally solicited through various education and human service networks, and identified in several documents and reports. The basic criterion for selection was the involvement of the K-12 education sector with at least one, preferably several, public or private human services agencies or organizations. Wherever possible, we looked for evidence of sustained change, or the potential for such change, in the policies of participating organizations, as well as an evaluation focus on improved outcomes, instead of simply services rendered. Data were collected from program materials and reports, evaluations, and in a number of cases, telephone interviews. We are indebted to these initiatives for sharing their work.

Part Three is intended as a working tool for policy makers, administrators, and practitioners to use in their conversations about interagency partnerships. A section entitled **Guidelines For Practitioners** summarizes key points of successful collaboration. A list of questions is also offered to assist practitioners in assessing their own agencies' need for partnerships. Readers are encouraged to duplicate the pages presented in color (including the scenario with which the document begins) and to use these in workshops and other forums designed to consider issues related to comprehensive service delivery. A **Feedback Form** is also included. Your responses will help the Consortium know what additional resources might assist local efforts.

Our intent has been to bring a much-needed practical resource to a diverse group of education and human services colleagues in a timely fashion. No attempt was made to cover the waterfront of promising initiatives, provide exhaustive case studies, or measure their effectiveness. Those who wish to know more about a specific initiative or to continue the conversation begun here are referred to **Appendix A: Program Descriptions and Contact Information**. A directory of the 22 organizations that have participated in the development of this monograph is offered as an additional source of assistance in **Appendix B**. Finally, a bibliography of recent publications on various aspects of comprehensive service delivery is provided in **Appendix C**.

A FAMILY AT RISK

The click of the dead bolt on the front door reminded Tom that he was alone. He knew that his mother's job at the nursing home would keep her away till dark and, for now, he was grateful for the solitude. Another fight had erupted in the early morning hours when Ed, his 17-year-old brother, came home again drunk. Ed hadn't been going to school all semester though his mother only found out when the school sent a notice that he had been expelled for truancy. How was she supposed to know what was going on in school, she said. Didn't she have enough to do making sure they had a roof over their heads? Angry and disappointed, Ms. Wagner told Ed that, if he wouldn't go to school, he had to get a job. He was sure that he could find something better, but finally settled for a fast food job.

School was a touchy subject with Ms. Wagner these days. At work she was told she would be promoted from a nurse's aide to a medicine aide if she passed a course at the community college. She wanted the promotion, but she'd only finished the 10th grade, and her reading and writing skills were so rusty she was afraid to try college-level work. She felt locked in a corner and worried that Alice, Tom's older sister, was heading toward the same dead-end.

When Alice got pregnant, she missed a lot of school and felt as though her teachers treated her differently. Finally, she dropped out. Alice knew she should see a doctor, but she dreaded going to the health clinic alone. Her mother took a day off from work—without pay—so she could help Alice get to the clinic and to the welfare department to sign up for assistance when the baby came.

At the health clinic, Alice wanted to ask the nurse some questions, but she decided not to; everyone seemed in a hurry and annoyed that she had waited so long to come in. At the welfare department, she repeated the information she had given at the health clinic. Mrs. Smith, the intake caseworker, gave Alice the name of an employment and training program in case she wanted to earn a high school equivalency diploma or get a job, though she doubted that Alice would pursue the lead.

When Brandon, Alice's son, was born, he weighed less than three pounds. The doctors said he would probably have ongoing problems. He cried easily and was difficult to soothe; Alice seldom wanted to hold him. Ms. Wagner decided to cut back to part-time work to help Alice manage. She would lose her health insurance and some bills would go unpaid, but what else could she do?

Several months later, a space opened up in the subsidized infant care center a church member had told them about. Soon after, Alice enrolled in the employment and training program she had been referred to. Ms. Wagner, whose job at the nursing home was no longer available, went back to doing day work. Alice loved her high school equivalency and data processing classes but on Wednesday afternoons her class schedule made it impossible to get to the day care center before it closed. Alice tried to explain her predicament to the child care staff but the late pick-up charges kept adding up. Finally the center said she couldn't bring Brandon anymore. The director said they wanted to be flexible but the center had its rules. Alice missed nearly two weeks of class trying to find a babysitter, but no

one wanted to watch an infant baby who needed so much attention. Eventually, Alice's place in the employment and training program was given to someone else. For months she seemed angry with everyone, especially Brandon.

On the way to school, Tom thought about how he used to enjoy math. He wondered how it had gotten so complicated; now he was failing and dreaded being called on in class. After one particularly humiliating episode, Tom blurted out his school troubles to Hal, a recreational aide at the community center. Hal said Tom should just do his best. Deep down, though, Tom wasn't sure his best was good enough. Remembering the uncompleted homework problems stuffed into his knapsack, Tom winced at the thought of another lecture from Ms. Shaw, his math teacher.

Later that morning, Ms. Shaw corrected papers as her class did seat work. The results of yesterday's pop quiz looked as though Tom still hadn't mastered the mechanics of dividing fractions. Didn't he know that it was only going to get harder? She sighed, suspecting that he didn't get much reinforcement at home. The mother never came to school and hadn't made a peep when her older son dropped out. Someone said they thought there was a girl in the family, too. As she looked at Tom, in the same clothes he'd worn yesterday, struggling to stifle a yawn, the teacher wondered what she could do. Well, if he continues to do poorly and fails the class, she reasoned, at least he'll get some special help. Abruptly, the sound of the class buzzer ended her reverie, and she turned her attention to the stack of papers still left to correct.

PART ONE: WHERE WE ARE— WHERE WE NEED TO BE

A CHANCE TO SUCCEED

What does it take to help children whose families are struggling to survive the challenges of single parenthood, inadequate education and training, unemployment, teen pregnancy, substance abuse, or chronic disability? What do they need, not only to stay in school, but to continue learning? How can their parents—or their older brothers and sisters—develop the skills they need to support themselves and their children?

In the case of the Wagner family, chances are good that an adult education class in study and test-taking skills might have played a major part in helping Ms. Wagner earn a promotion and increase her ability to support her family. Early and consistent prenatal health care and nutrition might have protected Alice's baby from the negative consequences of low birth weight. With counseling, tutoring, and a caring relationship with a knowledgeable adult for Ed and Tom, and child care for Alice, all three might still be learning, building skills, confidence, and a future. Instead, a family found itself losing ground and losing hope.

A combination of changing labor force requirements and a history of school failure is driving millions of young people and families like the Wagners beyond the pale of economic success. Today's service economy depends to an unprecedented degree on basic skill competency among workers at all levels. Even though the number of 16–24-year-olds is expected to decline 20 percent between 1980 and 1995, there will be few employment opportunities for those unable to read, write, and speak English easily; to understand and perform basic mathematical computations; and to apply what they have already learned to new situations. Says the Hudson Institute's *Workforce 2000* report:

"Unless workforce basic skills are raised substantially and quickly, we shall have more joblessness among the least skilled, accompanied by a chronic shortage of workers with advanced skills."² As we edge toward the 21st century, human capital is rapidly becoming an asset as crucial to corporate survival as either plant and equipment or financial capital. It is an asset no less vital to the survival of our families, our communities, and the future of our democracy.

To a degree we have never before known, basic academic achievement has become a prerequisite for employment, self-sufficiency, and success. By the same token, school failure increasingly functions as a proxy measure for a raft of often overlapping problems that burden the lives and limit the horizons of our young people: teen pregnancy; unemployment; delinquency; child or substance abuse; and others. A growing proportion of America's children needs easy access to a broad array of high quality services and supports that seek to prevent, as well as to treat, their problems and that recognize the interrelationship among their education, social service, health, child welfare, mental health, and employment and training needs. Instead, many American families are lost in a catch-as-catch-can non-system of public and private services. Too often, this fragmented system offers too little, too late.

HOW WE FAIL OUR CHILDREN

As the Wagners' experience typifies, there are many reasons for the failure of our current system. **First, most services are crisis-oriented.** They are designed to address problems that have already occurred rather than to offer supports of various kinds to prevent difficulties from developing

"The task of realigning the social welfare system with the needs of modern America will require efforts in the public and private sectors, a variety of methods, and many years. Most of all, it will require a realistic new consensus about our responsibility to each other, now and in the future—a vision of where we are and where we want to go as a society."

*The Common Good*³

in the first place. As a result, Tom will not be eligible for special tutoring until he actually fails his math course. By that time, his problems will have multiplied and become more difficult to resolve. The label "slow learner" will confirm his worst fears and permanently affect how he feels about himself and how others view him. Now out of the system, his brother Ed will not be encouraged to re-enter school and is unlikely to receive any additional services unless he is arrested for a status offense or criminal activity.

Second, the current social welfare system divides the problems of children and families into rigid and distinct categories that fail to reflect their interrelated causes and solutions. Services designed to correspond to discrete problems are administered by literally dozens of agencies and programs, each with its own particular focus, source of funding, guidelines, and accountability requirements. Even though a child and his or her family may need a mix of health, education, child welfare or other services, separate and often conflicting eligibility standards and rules governing the expenditure of funds militate against comprehensive service delivery. Services are provided within, rather than across, service categories. As a result, providers tend to concentrate on a single solution to a specific problem—focusing on their own narrow objectives—rather than working together toward a common goal that addresses the range of situations contributing to a family's problem or standing in the way of its resolution. Although each provider may offer quality services, no single provider is likely to assist each individual, much less his or her family, to identify a tailored set of comprehensive services, ensure that they are received, and evaluate their outcome.

For the Wagners, this division meant that Ms. Smith, the intake worker, considered only Alice as her primary client and her primary obligation determining Alice's eligibility for assistance. She felt no responsibility—or her large workload eliminated her ability—to explore how Alice's pregnancy would affect the other members of her family, in particular Ms. Wagner's continuing

ability to work outside the home. And, even though she referred Alice to an employment and training program, neither Ms. Smith nor Alice's subsequent income maintenance worker assumed responsibility for helping Alice effectively coordinate her education and childcare needs when problems arose.

A third reason for the current system's inability to adequately meet the needs of children and families is a lack of functional communication among the myriad public and private sector agencies that comprise it. Agencies with pronounced dissimilarities in professional orientation and institutional mandates seldom see each other as allies. Outright rivalry often occurs when they must compete for scarce resources. Operating like ships passing in the night, agencies have little opportunity to draw on services available throughout the community that might complement their own. Because providers typically concentrate on what they are able to provide rather than what their clients need, they are unlikely to discover critical difficulties that are not yet being addressed or to join forces with other agencies to fill these gaps.

Children and families in such a system bounce like pinballs in a pinball machine—from problem to problem, from one agency to the next—with little cooperation or follow-up.⁶ For Tom, this lack of communication meant that Hal, the recreation coach to whom he spoke about his problems with math, was unable to connect him with community center services operated in conjunction with the school or with other agencies that might offer him the one-to-one tutorial assistance and guidance he needed.

Fourth, our current system falls short because of the inability of specialized agencies to easily craft comprehensive solutions to complex problems. Existing staff typically represent only a narrow slice of the professional talent and expertise needed to plan, finance, and implement the multiple services characteristic of successful interventions. Otherwise strong programs are often severely hampered by the absence of critical support services. In Alice's case, because the employment and training program in which she enrolled

"Prevention is generally cheaper and more effective than crisis intervention and remediation. Nonetheless, our society generally has committed few resources to . . . help . . . families until children are seriously harmed or strike out at others."

Children's Defense Fund⁴

“ . . . needed services may not be available from the program an individual randomly enters. Often, individuals are limited to the services offered by the agency selected, even if what they need the most is offered by a different agency across town, even down the street.”

National Alliance of Business⁷

offered neither its own child care services nor brokered services with nearby providers, Alice was forced to drop out. No alternative plans were made to help Alice continue her high school equivalency course in an evening program or to receive the parenting or child development classes that might have helped her adjust to the demanding role of full-time caretaker.

Fifth, existing services are insufficiently funded. For example, after more than 25 years of proven success, Head Start funding is available to serve only about 25 percent of all eligible three-to-five year-olds. Only about half of the low-income children who could benefit from educational assistance in programs under Chapter 1 receive services. Foster care reimbursement rates fall far below the estimated cost of raising a child in even modest circumstances. Funding is available to help only a fraction of the teens in foster care make the transition to independent living. Employment and training services provided under the Job Training Partnership Act (JTPA) serve less than five percent of eligible youth and provide an average of only 18 weeks of training.

In virtually all areas, our current system provides insufficient prevention, support, and treatment services to make a lasting difference for young people who must overcome multiple problems and years of neglect. There is a pressing need for a vastly expanded national investment in our children and families. This commitment must include not only increased support for comprehensive service delivery, but vigorous efforts on the part of government and business leaders to revitalize our country's economy and create many more opportunities for families to find productive employment at a decent wage.⁸

NOT SOMEBODY ELSE'S PROBLEM

At an organizational level, the combined results of this problem-oriented fragmentation are bureaucracy and administrative inefficiency. For families like the Wagners, the consequences are spelled out in more personal terms—in the downward spiral of school failure, underemployment, inadequate

health care, delinquency, and substance abuse.

Nowhere is family distress of this sort mirrored so clearly as in our schools. Unlike most other social welfare institutions, the schools are responsible for serving all of our children. But schools alone are not responsible for solving all of the problems that keep young people from succeeding there. Bringing together the assortment of services the third of our young people who are most at risk so urgently need—and that would be useful to all others—requires a joint effort by all child and youth-serving sectors. A categorical system makes it all too easy for each sector to blame some other part for limiting what it can accomplish on behalf of children and families. Increasingly, practitioners, policy makers, parents, and taxpayers agree that finding ways to keep children in school and learning is not somebody else's problem. It is a shared responsibility.

Mental health, employment and training, child development, recreation, health and welfare services, as well as education have a vital interest in promoting school success. Unless young people struggling to avoid or overcome multiple problems receive adequate prevention, support, and early treatment, they are unlikely to develop the basic skills they need to survive in the job market. Virtually without exception, this failure will worsen their non-academic problems and increase the demand placed throughout the human services for more costly treatment and long-term financial subsidies.

Teachers, administrators, and counselors seeking to improve the schools are by now well aware that “while it is [sometimes] convenient to view the delivery of human services as a problem separate from the restructuring of education, the two are inextricably linked.”¹¹

Schools, however, cannot function as the sole provider of all the services that children and families need and still meet their substantial academic responsibilities. Nor should they necessarily lead interagency efforts to deliver such services. In fact, a school-directed model can limit the extent of another agency's involvement because the school is considered “in charge”.¹³

Still, schools do offer a critical point of access to outside services and often provide an ideal location for many kinds of assistance offered in one-stop shopping formats. We believe that education, health, and human services agencies, with so much in common, must join each other as co-equals in orchestrating the delivery of services rather than each struggling on its own—and only succeeding imperfectly.

By combining a wealth of expertise and a variety of perspectives, interagency partnerships have the opportunity to reorient systems away from the narrow dimensions of single agency mandates toward the broad-based needs of children and families.¹⁴ In addition, they have the potential to introduce fresh assumptions about what kinds of services and service delivery will give children and families a genuine chance to succeed.

Throughout each participating agency, changed attitudes can lead to the creation of new roles and improved relationships among staff and *all* the children and families they serve. We agree with the Edwin Gould Foundation that changes in our youth-serving institutions must be enacted not only for our most at-risk children and families—research suggests that long-term and intensive services targeted on families with the most severe difficulties yield impressive dollar benefits—but for all of us “and for our society as a whole. If we are not all empowered, then we are all at risk.”¹⁵

ELEMENTS OF HIGH QUALITY COMPREHENSIVE SERVICE DELIVERY

Affirming a commitment to the concept of high quality comprehensive services is an essential starting point in the process of recasting the fragmented nature of our current system. Because in most communities it will take many interagency partnerships to knit a truly seamless web of services, each initiative must share a similar understanding of what high quality service delivery entails. Agreement on such basic principles will enable the architects of change to build a coherent system—one that will have an enduring, beneficial impact on their community's quality of life.

A wide array of prevention, treatment, and support services is the first essential element of high quality, comprehensive service delivery. Services should be sufficient in kind and number to meet the multiple needs of children, youth, and families, and to respond to the overlapping risk factors that lead to school failure, teen pregnancy, unemployment and other negative outcomes. Had a comprehensive service system been in place in Tom Wagner's community, he and his family would have been helped to identify the assistance they needed from a menu of core services like basic income subsidy, child welfare services, employment training, prenatal and well-baby health care, and education. The family could also have drawn on support services such as child care, counseling, transportation, literacy and basic skills assistance, mentoring, nutrition and consumer education, job search skills, recreation, and leadership development. Help would have been available not only to remediate full-blown problems, but to help Tom and his family reach their full potential.

Second, comprehensive service delivery must include techniques to ensure that children and families actually receive the services they need. In the past, efforts to link services have most often relied upon one agency verbally referring families to services in other agencies. But without agreements among agencies to accept and follow up on referred children and families, those most in need can easily slip through the cracks.

The repositioning or *co-location* of staff from one organization to “branch offices” located at other agencies whose clients they share is more effective. For example, health staff might establish a clinic at or near a local high school or welfare counselors might open an office at a community college. Another technique, “*one-stop shopping centers*,” provides a wide menu of services at a single location. This method offers children and families the easiest access to numerous services.

Both co-location and single-site service centers reduce the “distance” between families and the help they need. However,

“We have to realize that these are all of our concerns. These are not parents' problems, kids' problems or the schools' problems. They are everyone's concerns.”

Fariba Pendleton
4-H Youth Development Agent
Douglas County (Superior),
Wisconsin⁹

“To expect a single community worker to master the whole array of available resources that relate to potential youth needs may seem overwhelming. However, to expect a youth-in-crisis or his/her often stressed parents to negotiate unassisted, the maze of agencies, programs and eligibility rules in order to get the help they need is, truly, to ask the impossible.”

Center for the Study of Social Policy⁵

unless the staff providing various services formulate common goals on behalf of their shared clients, the actual care and follow-up provided is liable to differ very little from what children and families would receive at separate locations.

Case management, a third technique, assigns primary responsibility for helping specific children and families receive appropriate services to either an individual located in one agency and cross-trained in community-wide services and eligibility guidelines, or to an interagency team that might include representatives from the welfare department, the school, the employment and training system, and others. Effective case management establishes a systematic, continuous process in which the child and family are actively involved in planning the steps they can take to improve their lives and in evaluating the results. The overall process includes: 1) needs assessment and goal setting; 2) referral and service

delivery; 3) monitoring and fine-tuning services and; 4) advocacy on behalf of clients for more responsive policy and procedures.

The words case management may sound “old hat” to human services workers, but the term takes on an entirely new meaning in the context of high quality, comprehensive service delivery. It implies a new relationship among practitioners, children, and families, not just the bureaucratic management of a “client” through yards of red tape. A technique designed not only to improve access, but to enhance the quality of services received, *case management, as defined here, is not merely service brokering, but a problem-solving partnership among practitioners and clients.* An income maintenance worker, for example, trained in case management techniques might have been able to help Alice negotiate a change in her employment and training class schedule that would have enabled her to keep her son in day care. Failing that, and depending on her “clout”

CASE MANAGEMENT: NEW ROLES/NEW RELATIONSHIPS

Social workers, guidance counselors, teachers, members of the clergy, and others have long incorporated portions of the case management role into their professional activities. However, they seldom are able to devote the time to a single child, student, or family necessary to help them access all the services they need, nor are they likely to feel competent or even justified in dealing with issues far removed from their primary field of expertise. Certainly they only rarely have the authority to ensure that other agencies provide the services they recommend.

With training and sufficient resources to support a broadened set of responsibilities, however, carefully selected social workers, counselors, or interdisciplinary teams can facilitate high quality, comprehensive service delivery. In order to effectively integrate the many separate elements of existing services, case managers must be:

- partners with clients in setting goals and finding solutions;
- given the power to get services delivered;
- assigned a manageable number of individual cases and work with them on a continuous basis over an extended period;
- allowed to adjust their work schedule and work sites to meet the needs of families;
- trained in case documentation and record-keeping, community services and eligibility requirements, clinical strategies and services, and mechanisms to advocate for youth;
- individuals with initiative, creativity, and good judgment;
- able to inspire trust and convey respect, and encourage the empowerment of young people and their families.¹⁷

with the employment and training provider, the case worker might have recommended that Alice's slot in the program be kept open for a short period while they made alternative childcare arrangements.

A focus on the whole family is the third element of high quality, comprehensive service delivery. Problems confronting parents often affect their children, and the converse is frequently true as well. Tom, Alice, Ed and Ms. Wagner each had needs that, when left unattended or only partially met, compounded difficulties for everyone. Even multiple services offered to an individual may not be enough if the needs of other family members are part of the problem that must be addressed. Assistance across generations must be provided when it is needed.

Fourth, high quality services must empower children and families. Whether or not children and families seek services voluntarily, they should have a considerable voice in identifying and planning how best to meet their own needs. The rushed and somewhat judgmental reception that Alice received on her visit to the health center was understandable from the service provider's perspective. Nevertheless, it discouraged Alice from asking questions and learning how she could take a more active role in managing her own pregnancy. Although the language of service "delivery" suggests a passive relationship between those who "provide" and those who receive, comprehensive services must be delivered in an atmosphere of mutual respect. The outcome of services hinges on a partnership that enables agencies to fulfill their mandates and children and families to meet their potential.

Finally, **the effectiveness of high quality, prevention, support, and treatment services must be measured by the impact these interventions have on the lives of the children and families**, rather than by the number of discrete units of service provided over a specified period of time. Even after receiving a number of services, Alice had made little progress toward self-sufficiency, the quality of Brandon's home care was in question, Ed and Ms. Wagner remained underemployed, and Tom's slide

into school failure continued unchecked. Educators, social workers, mental health personnel, employment and training providers, and others must routinely ask themselves *and their clients*: "Is what we are doing making a difference? If not, what can we do to adjust the mix of services or the way in which we are delivering them?"

Case management techniques can help to ensure that this monitoring occurs continuously. In addition, however, agencies must develop evaluation procedures that measure their clients' progress toward realistic indicators of success on both a case-by-case basis and in the aggregate. These should include mutually agreed-upon indicators of long-term progress, such as educational and vocational skills attainment, and reduced infant mortality and teen pregnancy rates, not just short-term measures such as job placement or the numbers of pre-natal visits or family planning interventions provided.

INTERAGENCY PARTNERSHIPS: A POTENTIAL KEY TO LARGE SCALE COMPREHENSIVE SERVICE DELIVERY

Interagency partnerships hold great potential for the large-scale delivery of comprehensive services. First, they offer an opportunity to bring together a broad range of professional expertise and agency services on behalf of children and families. Second, these initiatives have the capacity to harness and combine the substantial financial resources permanently available within several institutional budgets. As a result, interagency initiatives can both create the structure and mechanisms necessary to coordinate existing services and, by tapping into current funding sources, reorganize available resources to create more effective prevention, treatment, and support services.

It is important to remember, however, that the extent of this capacity will depend on the scope of existing funds. Collaboration enables providers to get as much mileage as possible out of available resources and to improve the quality and range of services. What interagency initiatives cannot do is to deliver all the prevention, treatment, and

"The challenge of the future is to reorient the way schools and human service agencies do business . . . so that this knowledge is applied on a much wider scale than heretofore. In this way, today's small successes can reach not just a few . . . but the millions . . . who are now at risk of long-term disadvantage."

*Joining Forces*¹⁹

"We will pay for [solutions] preventively or we will pay for them in crime-fighting, drug abuse and welfare."

Barbara Watt
Department of Social Services
Schoharie County, New York¹⁰

support services needed without additional resources. However, by demonstrating effective outcomes through more efficient use of current funds, interagency partnerships can do much to strengthen the case for expanded investment in children and families.

Building on Innovation

One of the key ways in which collaborations can ensure the delivery of high quality services is by building on small scale experimentation and practical successes. Innovations in comprehensive service delivery developed in other arenas can be institutionalized as a result of interagency partnerships and made available on a far broader scale. Designs financed primarily through a single major funding stream, as well as those developed in comprehensive service programs financed by multiple funding sources, provide approaches which interagency initiatives can learn from and expand.

Single-Source Funding

Comprehensive service programs financed by one major funding stream and administered by a single agency, like Head Start, for example, or a growing number of foundation-funded demonstration programs, are an important source of creative programming and service delivery. Interagency partnerships can learn from these single funding source initiatives, and, by formulating revised goals and adopting specific new policies and practices, they can incorporate the experience of these initiatives into existing agencies' standard operating procedures.

Model programs of this kind are often carefully designed, based on current research, and provide interlocking services to family members of various ages. Typically, these programs assemble a range of related services at a single location or, at a minimum, provide case management services to ensure easy access to services and follow-up support.

Clients and staff who work together over a period of time in such programs have the opportunity to develop mutual trust and positive relationships. Administrators benefit by having to contend with only a single budget,

rather than several. In addition, the evaluation requirements that often accompany single-source funding can contribute greatly to the state of knowledge about "what works."

The considerable front-end cost of comprehensive service delivery, however, makes single-source funding—on the scale necessary to meet the needs of all who would benefit—an elusive goal in fiscally difficult times. Foundation support for single agency, comprehensive service demonstrations is, by design, short-lived. In the past, many new, externally-funded programs were developed as add-ons to existing community services. Unless strategies were employed to lock into permanent funding streams, many demonstration programs simply disappeared when outside funding ended.

Recently, however, several foundations have explicitly tried to tie their funding to the goal of institutional change. The Annie E. Casey Foundation's New Futures Initiative, described later in this document, is one notable effort to help communities develop interagency mechanisms to ensure permanent change in comprehensive service delivery.

Multi-Source Funding

Multi-service agencies, which mix public and private grants and in-kind contributions, offer another approach to comprehensive service delivery. The Door, a private, non-profit comprehensive services agency for at-risk youth in New York City, is a long-time pioneer of this method. It currently offers young people, their families, and other adults in the community over 30, preventive and remedial programs funded by public and private grants and contracts from more than 35 different sources. By creatively combining multiple funding sources, The Door and some other grassroots organizations have responded to highly visible community needs. Their breadth of services, and a particularly wide-angle lens on healthy development, can make such multi-service centers the heart of a neighborhood—places where young people can find alternatives to failure and where they and adults in the community can learn to work and live together.

Creating a flexible set of comprehensive services from literally dozens of health, education, social services, and employment and training funding streams, however, takes the combined talents of Mother Theresa, Machiavelli, and a CPA, says Lisbeth Schorr, Lecturer in Social Medicine at Harvard University.²⁰ Although a surprising number of gifted and hardworking comprehensive services program directors meet this description, the administrative time and staff required to patch together and maintain accountability for multiple money sources inevitably takes away from organizational development on other fronts. The need to take funding wherever it can be found also runs the risk of scattershot programming. Occasionally, the resulting services become "only a reflection of the confusion and problems of participants,"²¹ rather than pathways toward success.

The Door believes that multi-service agencies could do a better job if their funding mirrored the way they delivered services. For example, in order to provide clinic care including appropriate preventive, diagnostic, and health treatment services to the substantial number of young people not covered by Medicaid, The Door must mix State Department of Health preventive and prenatal care funds, federal family-planning monies, and community health center dollars, among others. Because each funding source requires categorical accountability, The Door must separate out exactly how many services were paid for by dollars from each source during non-Medicaid clients' clinic visits. The task then becomes how to subdivide the cost of a single visit into an accurate percentage of time spent on family planning, AIDS education, or general health care.

As proposed by The Door,²² a multi-year "master-contract," administered through a lead state agency and involving a number of service providers would greatly reduce this complexity. Such a contract would provide a base of guaranteed support for the organization's operations and allow it to subcontract for services that it was not equipped to offer from cooperating agencies. Instead of multiple and often conflicting rules and regulations itemizing specific services provided,

the master contract would identify *performance criteria* and a single set of regulations for which the agency would be held accountable. The immediate result: simplified administrative procedures, reduced overhead and supervision costs, and, most importantly, better delivery of comprehensive services. Interagency partnership initiatives at the state and federal level to pool funds and deal with conflicting rules and regulations can create the conditions that will facilitate this strategy and thus ratchet up the scale of comprehensive service delivery through multi-service agencies.

Taking Concerted Action

Communities intent on fashioning a comprehensive service delivery system are likely to experience the most progress when they take concerted action at both the service delivery and system levels.

At the *service delivery level*, interagency initiatives focus on meeting the needs of individual children and families. Initiatives are designed to improve access, availability, and the quality of services that participating organizations provide to their clients.

At the *system level*, initiatives are focused on creating a set of policies and practices that can help to build a community-wide network of comprehensive service delivery. Broad-based system level efforts involving a cross-section of human service, education, government, business, and civic organizations identify gaps in service systems across the community and recommend ways in which they could be filled. They can also negotiate changes in policy, rules and regulations that make it easier for agencies to work together. Ultimately, service delivery efforts must be joined by system-wide policy changes to ensure that all children and families *routinely* receive comprehensive services.

Local interagency initiatives can begin at either level. It doesn't matter where they start, as long as both service delivery and system level efforts eventually evolve. Frequently, the recommendations of system level initiatives spawn service delivery efforts. Conversely, partnerships that begin

"At a time when many families across all income levels are experiencing greater stress and when child poverty is at record levels, the school cannot view itself as an isolated institution within the community, separate from family and community services."

Council of Chief State School Officers¹²

“Common sense, fiscal responsibility, and compassion argue for policies that ensure all children and families access to supports before problems occur.”

W.T. Grant Foundation
Commission on Youth¹⁶

at the service delivery level can broaden into system-wide efforts guided by the same vision of high quality, comprehensive service delivery. Ideally, efforts at both levels will be closely linked. At a minimum, initiatives should be aware of each other's activities and acknowledge one another as potential sources of assistance and support.

♣ California's **New Beginnings** illustrates the interplay between system level initiatives and service delivery efforts. In 1988, when executives from the City and County of San Diego, the Community College District and the City schools came together to share information about each other's services, broader concerns quickly emerged. How could member agencies, working together, effect a substantial improvement in the lives of children and families throughout the Mid-City area of San Diego? Focusing on system level change, but gathering data from one high poverty neighborhood surrounding Hamilton Elementary School, the group devised a study to determine: 1) the extent to which families receive services; 2) the relationship between use of services and children's school success; 3) the barriers to effective service delivery perceived by both families and agencies; and 3) whether a more responsive, integrated, and cost-effective system of services could be created.

In addition to standard survey and interview methods, the partnership took an action-oriented approach to gather information on the effectiveness of services at the system level by initiating new services at the delivery level. In the partnership's case management/action research project, for example, a bilingual Department of Social Services social worker was assigned to Hamilton Elementary school to work in a new, expanded role as a Family Services Advocate. While providing case management assistance to 20 families with multiple problems, he was also able to document specific barriers to receiving services. These

could then be addressed at the system-wide policy level by New Beginnings partners planning a comprehensive, school-based service delivery system that is now moving toward implementation.

COOPERATION AND COLLABORATION: WHAT'S THE DIFFERENCE?²³

Once partners at either level decide to work together, they must also agree on whether their partnership will be primarily cooperative or collaborative in nature. That strategic decision will depend, in large measure, on the character of the local environment and how far partners wish to move beyond the status quo.

A collaborative strategy is called for in localities where the need and intent is to change fundamentally the way services are designed and delivered throughout the system. In those communities not yet ready for collaborative partnerships, cooperative initiatives to coordinate existing services offer a reasonable starting point for change. Ultimately, however, these efforts must become increasingly collaborative if they hope to achieve the goal of comprehensive service delivery.

Cooperation at the Service Delivery Level

In a cooperative arrangement at the service delivery level, partners help each other meet their respective organizational goals. They do so without making any substantial changes in the basic services they provide or in the rules and regulations that govern their agencies.

For example, one agency may find itself unable to provide a service that large numbers of its clients need in order to benefit from its core program, while another agency that routinely offers that service may wish to reach new clients. Cooperative arrangements to co-locate services, to make and accept referrals, or to cross-train staff in each participant's service offerings and eligibility requirements would further the objectives of both partners.

Although participants in cooperative ventures may agree to share space, information, or referrals, no effort is made to establish common goals. The services of each agency will continue to be designed, staffed, funded, and evaluated autonomously, with no alteration or input from their cooperating partners. Existing services will become more accessible to a given group of clients, but the quality of services is unlikely to change.

♣ The Northampton Community College Adult Literacy Program provides a comprehensive array of literacy, numeracy, Adult Basic Education, General Education Diploma (GED) preparation, English as a Second Language (ESL) courses, and workplace literacy services. Its programs reach more than 600 adults across the Lehigh Valley, in large part, because of extensive cooperation with other agencies whose clients need literacy help. The program co-locates services at homeless shelters, the county prison, a drug rehabilitation hospice, and offers family literacy services to Title 1 parents in a local school district. A strong relationship with the Bethlehem Chamber of Commerce has led to cooperative arrangements with four different industries in which Northampton provides on-site diagnostic testing in reading, language, and math, and customizes literacy training courses to meet their partners specific needs.

Northampton College, which provides administrative salaries, classroom and office space for the Literacy Program, and "a virtual playground of resources" for students, benefits by having an on-site program of services for the significant percentage of its students who need remedial assistance. All told, college students account for 20 percent of the department's referrals. Additional funding comes from the Department of Education, private foundations and the local Private Industry Council. An advisory board composed of human service agency

directors, business leaders, and administrators of other literacy efforts recommend program direction.

Cooperation at the System Level

At the system level, cooperative initiatives assess the need for more comprehensive services and recommend strategies to coordinate existing services. Because partners are not required to commit budgetary support or to make policy decisions on behalf of the organizations they represent, cooperative initiatives advocate for, rather than negotiate, policy.

Cooperative ventures usually engage in networking and information-sharing among members, conduct assessments of community needs and identify gaps and overlaps in services. They also recommend plans to better match needs and resources, advocate for their implementation, and improve community awareness and support for comprehensive services. Within this largely assessment and advisory mode, cooperative system level initiatives improve community-wide awareness of existing services, focus attention on the need for change, build trust among participants, and improve the climate for more decisive efforts later on. When used in combination with cooperative service delivery strategies, system level initiatives can foster better coordination of existing services.

Simply improving access, however, is insufficient to ensure high quality, comprehensive service delivery. Coordination alone creates neither the preventive and support services necessary to complement existing services' emphasis on remediation, nor the other elements of comprehensive service delivery essential to the creation of better outcomes for children and families. Efforts that result only in a "neater" system are, at best, "tinkering at the edges."²⁴ In order to transform our current system and change the institutional dimensions that foster single issue, crisis-oriented services, agencies must make substantial changes in the ways they have traditionally done business. Col-

"Administrative convenience must no longer govern service delivery. Health, social service, and education providers must modify "business as usual" to collaboratively meet the needs of individual adolescents and their families."

National Commission
on the Role of the School and the
Community in Improving
Adolescent Health¹⁹

laborative strategies offer much greater possibilities for change of this magnitude.

♣ **The Floyd County Youth Services Coalition in Indiana** uses a cooperative strategy to influence policy on a range of youth issues at the system level. Created in 1986 to address community-wide coordination of services, the group unites its 50+ public and private member agencies under the common banner of youth development and engages in networking, advocacy, and long-range-planning. As a result:

- the Coalition's Long Range Planning Committee has conducted a study of its members to determine the perception of service providers about the needs of their clients. This will be used as a companion piece to the United Way's large-scale Allocation Needs Assessment, a home-based field study. Results of client and provider perspectives will be compared and combined with service utilization information and used as the basis of a county-wide human services plan.
- FCYSC has joined the Chamber of Commerce and is working with business leaders to create a three-county community foundation. FCYSC's participation ensures that the needs of children and families will be one of the foundation's basic priorities.
- efforts underway to access computerized data bases and other hi-tech resources are enabling coalition members to find new funding sources and reduce a major source of inter-agency competition.

Collaboration at the Service Delivery Level

Instead of focusing on their individual agendas, collaborative partnerships establish common goals. In order to address problems that lie beyond any single agency's exclusive purview, but which concern them all, partners agree to

pool resources, jointly plan, implement, and evaluate new services and procedures, and delegate individual responsibility for the outcomes of their joint efforts.

The goal of better outcomes for teenage mothers and their children, for example, merges the concerns of the welfare, foster care, health, education, and employment and training sectors. To meet this end, partners might agree to establish a case management team to ensure that all of their shared clients' needs are addressed and to follow up on referrals. In addition, the collaboration might decide to co-locate parenting education classes and health services at the local school. These co-located services will differ significantly from those that result from a strictly cooperative arrangement. Careful negotiation will ensure that the services of entering agencies and those of the host organization are designed to further mutually agreed upon goals. Input from each agency will help to shape the initiative's common objectives, and both partners will be expected to make necessary accommodations in their accustomed methods of service delivery. Entering agency staff will not operate outside the institutional culture of their host agency, instead, they will participate as co-equals in agency-wide staff meetings and will be included in all regular decision-making and information loops.

♣ **The Ventura County Mental Health Department Children's Demonstration Project** in California shows how a collaborative inter-agency strategy works not only to coordinate existing services, but to use resources differently to improve the range and kind of services that are available.

Over a decade ago, the County Mental Health department set out to provide the best possible care for the most severely mentally-impaired youth at the lowest possible public cost. In order to meet this objective, staff had to provide new outreach mechanisms to locate the neediest clients and new interagency treatment delivery models

"A collaborative strategy is called for in localities where the need and intent is to change fundamentally the way services are designed and delivered throughout the system."

to provide them with services that would show cost effective results.

Before the Demonstration Project began, virtually no contact between other agencies and the mental health department existed. For example, in fewer than 15 percent of the cases in which special education children received mental health services, was the mental health worker likely to involve the school in any part of the student's treatment plan or even notify them that a student was under care. Interagency agreements to directly link the mental health department with the special education component of the school district, juvenile court, and child welfare departments—where children with severe mental health impairments were likely to be found—were developed to incorporate mental health services within each institution's set of core services.

In the special education sub-system, a collaborative strategy allowed administrators and line staff from both agencies to reformulate professional expectations, job descriptions, and program design in ways that would integrate services and reflect the interactive relationship between mental health and educational needs. Instead of simply co-locating mental health personnel on the school grounds, the project puts therapists and teachers together in the same classroom where they jointly plan, implement, and evaluate each student's learning plan. As a result, students receive a continuity and depth of services that goes far beyond the traditional "50-minute hour."

Collaboration at the System Level

Collaborative ventures at the system level are empowered—politically, by virtue of their members' collective "clout," or legally, by the state or other entity—to negotiate, as well as to advocate for,

programs and policies leading to more comprehensive service delivery.

Members representing a cross-section of youth-serving agencies and government institutions, as well as the private sector, must have the authority to commit staff, financial resources, and facilities and the power to alter existing policies and procedures. What sets these members apart from those in cooperative ventures is their agreement to use this leverage to advance common goals. Going beyond the assessment and advisory activities characteristic of most cooperative system level initiatives, partners in decision-making collaboratives can authoritatively call for new directions in system-wide programming and make the budgetary revisions and administrative changes necessary to implement them.

Through binding interagency agreements, system level initiatives can act to ensure, for example, that the coordinating role of an interdisciplinary case management team, set up as a service delivery level collaborative, is acknowledged by agencies throughout the community. As a result, each provider feels an obligation to follow through on recommendations for services made by case managers, even though the case manager may be located in another agency. System level collaboratives might also authorize the design and implementation of case tracking procedures to make it easier to apply for multiple services and to reduce the administrative time and cost incurred by duplicative intake processes.

When initiatives use an action-oriented collaborative strategy, the distinction between service delivery and system level efforts is frequently blurred. Tangible change at the service level can have system-wide repercussions, particularly, as in the Ventura County example, when several, rather than two or three, agencies are involved in efforts of some scale. At the system level, policy changes made for the express purpose of creating discernible differences in the actual delivery of services can automatically lead to service level collaboration.

"Communities intent on fashioning a comprehensive service delivery system are likely to experience the most progress when they take concerted action at both the service delivery and system levels . . . Ideally, efforts at both levels will be closely linked."

“The advantage of collaboration over cooperation is the possibility it affords to restructure the expertise and resources of partner agencies and . . . design and deliver services that are developmental rather than remedial in philosophy, preventive rather than merely corrective in approach, and centered on the total needs of the child and family.”

The advantage of collaboration over cooperation is the possibility it affords to restructure the expertise and resources of partner agencies and to balance their emphasis on specialized problems with a comprehensive approach to child and family development. Far more than simply creating greater access to existing services, a collaborative strategy enables participants, with the will to do so, the opportunity to fundamentally alter existing services. With the power to recombine existing resources, collaborative partnerships can design and deliver services that are developmental rather than remedial in philosophy, preventive rather than merely corrective in approach, and centered on the total needs of the child and family. It is collaboration, far more than cooperation, that offers the possibility of real movement toward the creation of an integrated service delivery system.

♣ The Savannah, Georgia New Futures Initiative illustrates perhaps the most ambitious use to date of a collaborative strategy at the system level. Its ultimate objective is “to trigger and sustain a political process that is powerful enough not only to modify established institutions, but actually to redefine their objectives, their accountability, and their interrelationships.”²⁵ It is still too soon to tell whether it will succeed.

One of four cities to receive and match between 5 and 12 million dollars from the Annie E. Casey Foundation over a five-year period, Savannah’s initiative seeks to reduce the overlapping problems of disadvantaged youth—school failure, youth unemployment, and teen pregnancy—by substantive improvements in the design and delivery of services.

After measuring and analyzing the needs of community youth and obstacles in the current service delivery system, Savannah leaders have developed plans to: 1) identify high risk youth; 2) improve their school performance; and 3) develop direct linkages between students, businesses, and post-secondary opportunities.

In order to meet these goals, the Savannah project has adopted a collaborative decision-making and governance strategy. A 15-member public corporation, the “Chatham-Savannah Youth Futures Authority,” empowered by state statute to pool monies from multiple jurisdictions and to enter into multi-year contracts, has been established to plan, coordinate, evaluate, and modify the New Futures initiative. It has the authority to receive and allocate funds and audit programs and the responsibility for day-to-day management of the Initiative’s undertakings.

To ensure breadth of ownership and input into the policy-making and evaluation process, four members each are appointed by the City Council, the Chatham County Board of Commissioners, and the County School Board. State level representation is provided by one appointee each from the Georgia Department of Labor and the Department of Human Resources, and the State Board of Education.

The city provides support for certain administrative tasks. At the state level, the governor has pledged new state money over five years, a redirection of state human service staff positions in Savannah to align with New Futures objectives, membership on the Youth Authority, and the utilization of the New Futures model, if successful, throughout the state.²⁶

THE STATE’S ROLE IN LOCAL INTERAGENCY INITIATIVES

State-level leadership can do a great deal to foster comprehensive service delivery at the local level. To be sure, a “first generation” of state-level initiatives has had an uneven effect on local communities. These state efforts routinely occurred at upper administrative levels—close to funding decisions but far removed from the actual provision of services. Many were limited by insufficient resources, members without sufficient authority or genuine commitment to

make substantial contributions, and the tendency of broad-based groups to avoid hard questions in favor of easy answers.²⁷

In addition, early state efforts often imposed, rather than facilitated, local action and were frequently seen as intrusive and counterproductive. In one recent study of youth employment and training programs, for example, virtually all the providers saw "mandated coordination as unrealistic and paper-producing."²⁸ Not surprisingly, top-down efforts that do not take into account local preferences, needs and circumstances are usually only minimally effective.

In contrast to first generation inefficiency, "second generation" state efforts to promote local partnerships are more promising. Many offer technical assistance and incentives to increase the appeal of joint ventures. This help extends to establishing common definitions for frequently used or ambiguous terms, simplifying eligibility requirements across agencies, or helping local institutions involved in partnerships to acquire necessary certifications, such as schools that must

be certified as Medicaid providers in order to receive reimbursement for services provided in on-site health clinics. State assistance can also be directed toward creating joint data bases and introducing management innovations to facilitate interagency work. In addition, vigorous state action can provide funding for joint operations, foster partnerships by making funding contingent on interagency involvement, and create demonstration models.

To be most effective in enabling localities to work together, demonstration programs should balance specific objectives to ensure direction, with sufficient flexibility to match local needs and resources. They should also offer oversight and evaluation support to assist localities in keeping programs focused and making progress. Perhaps of greatest importance, states must acknowledge where existing resources are insufficient to implement new models of service delivery and provide adequate financial support to achieve program goals.

"States should encourage providers to integrate their services and create a comprehensive, client-focused network. . . . State regulations that impede collaboration at the state and local level should be eliminated and program providers should be held accountable for how well students are being served."

National Governors' Association²⁹

PART TWO: THE DYNAMICS OF WORKING TOGETHER: FIVE VARIABLES SHAPING INTERAGENCY PARTNERSHIPS

“The most supportive climate is one in which . . . a problem with multiple causes and consequences . . . is a top priority of the community, key decision makers, and service providers, and where previously established working relationships exist among potential partners.”

This part of *What It Takes* discusses five factors that strongly influence all joint efforts: the **climate** in which these initiatives begin, the **processes** used to build trust and handle conflict, the **people** involved, the **policies** that support or inhibit partnership efforts, and the availability of **resources** to enable these efforts to continue. Case examples illustrate how these variables have affected the growth and development of a number of community-based interagency initiatives. They are presented to help similar local ventures take full advantage of those factors in their own environments that operate in their favor, recognize and take steps to minimize the obstacles that may occur, and move as quickly as possible toward collaborative solutions for comprehensive service delivery. Overviews of the initiatives used in the case examples are found in Appendix A.

CLIMATE: THE ENVIRONMENT FOR CHANGE

The social and political climate in a neighborhood or community is the first factor likely to influence an interagency initiative.

The external environment in which interagency initiatives exist can range from non-supportive to highly favorable. The most supportive climate is one in which the solution to a problem with multiple causes and consequences—for example, teen pregnancy, school failure, or unemployment—is a top priority of the community, key decision makers, and service providers, and where

previously established working relationships exist among potential partners.

A less than favorable climate—one in which a problem is not clearly recognized or in which potential participants are preoccupied with other concerns or have already developed negative relationships—need not preclude partnership efforts. Instead, a challenging climate can often provide valuable planning time. Agencies with foresight can take advantage of this period to assess their own in-house needs and performance and establish lines of communication with possible partners. In times of change and crisis, “institutional patterns tend to be less rigid, and people are more willing to consider fresh possibilities.”³⁰ When conditions improve, the groundwork that partners have laid can enable them to act quickly.

In some cases, partners with specific organizational needs, or those who have never worked together before, may choose a cooperative strategy to meet in-house objectives rather than attempting to tackle broad-based, joint concerns. When human needs, public sentiment, legislative priorities, and institutional readiness converge, however, conditions are ripe for collaboration. Collaboration requires a proportionately greater commitment of trust and resources among participants than does cooperation, but it can also expedite greater change. In many communities, the window of opportunity is wide open. Where it is not, agencies can begin to improve the climate for change by evaluating their own need to improve services and by reaching out to their colleagues in other fields.

♣ **Grand Academy** is an alternative school developed as a collaborative venture between the Grand Street Settlement (GSS), a multi-purpose community agency located in New York City's Lower East Side, and Community School District One. Its experience illustrates how a shared history, agency foresight, and the priorities of key policy makers culminated in innovative service delivery.

By 1981, the Director of GSS, the principal of Intermediate School #22, and the Superintendent of Community School District One had established close working relationships in several cooperative after-school programs. When a system of promotional "gates" tests was introduced city-wide, all three individuals were concerned about what would happen to young people who were unable to pass through these gates, and how they would get the help they needed to avoid repeated failure.

They proposed a solution that would take these students out of the traditional school setting which had for them become "contaminated by failure." The vision of Grand Academy was to give students a "fresh start" in a highly supportive environment where they could learn more easily. The School District would provide the teachers and materials; GSS would provide space, intensive counseling and support services. Together, they would create a nurturing setting in which young people would be met with encouragement and hope.

The District One School Board enthusiastically embraced the Grand Academy plan. With its endorsement, the planners presented a proposal for funding to the Central Board of Education. The issue had not yet become a priority for city funders, however, and the proposal was shelved.

By the next year, circumstances had changed. Realizing that the number of students failing the gates exams could grow dangerously high unless some-

thing better was done to help them, the Board began to cast about for solutions and soon recalled the Grand Academy design. In 1982, the program was funded and became the Board of Education's first contractual arrangement with a community-based agency to deliver services.³¹

PROCESS: THE HEART OF PARTNERSHIP

The second critical variable in creating and sustaining interagency efforts is the communication and problem-solving process participants use to establish goals and objectives, agree on roles, make decisions, and resolve conflicts.

The process establishes the working relationships and defines the operational rules necessary to guide the partnership initiative. Its effectiveness will influence the joint effort's ability to deflect turf and control issues, reconcile differences in institutional mandates and professional perspectives, and make critical mid-course corrections in strategy and implementation. While the external environment plays a substantial role in influencing the timing of an interagency partnership and its initial choice of a cooperative or collaborative strategy, this internal process dimension affects an initiative's continuing success and the likelihood that cooperative arrangements will evolve into collaboration.

In a cooperative arrangement, the process of communication and problem-solving must be sufficient to enable partners to accept each others' respective goals for the partnership and to resolve difficulties as they arise. A much more thoroughgoing process is necessary for partners to reach agreement on a common goal—the hallmark of collaboration—and to work through the accommodations and institutional changes that achieving shared goals entail.

Establishing A Shared Vision

Collaborative efforts to go beyond coordination require a basic conceptual shift in ways of thinking about service delivery to

"... agencies can begin to improve the climate for change by evaluating their own need to improve services and by reaching out to their colleagues in other fields."

“ . . . we may all have to swallow differences and set aside old notions of where our personal and professional responsibilities begin and end. Questions of values must be sorted out and long-held prejudices may have to be confronted.”

National Health/Education Consortium²⁴

children and families. In order to avoid becoming “embroiled in value-related controversy,”³² the partnership process must be based on a unified view of the elements of high quality service delivery and the kind of outcomes participants wish to achieve.

According to a Public/Private Ventures’ analysis of the first year of the National Alliance of Business’ Compact Project, an effective “shared vision” has two parts. The first is a *broad vision* that expresses the need for “systemized, substantial, and significant change.” When simply stated and often repeated, this broad vision can help an inter-agency initiative “sustain itself against the forces that lead to small projects and marginal change.” The second is a *practical vision* that outlines the major goals and objectives the initiative must accomplish if its broad vision is to have meaning.³³

A simply stated broad vision can unify, mobilize, and keep a partnership effort on course. But it is essential to “link vision with reality. The need for a grand vision must be balanced with a brutally realistic understanding of what is possible given the constraints of the situation.”³⁵ A practical vision requires that members move beyond generalities, come to terms with the assumptions underlying their vision, and consider the accommodations that may ultimately be required. Members must participate in a self-conscious process that asks not only what has brought them together, but where they hope to go, and, most important, what they have to lose. Calling for a comprehensive system of child-centered and family-oriented services, for example, sounds good, but its creation will require changes and trade-offs in how, where, and by whom resources are distributed. It also will raise difficult issues of quantity vs. quality in service delivery, and equality vs. equity in determining who should receive limited resources. If these issues are anticipated and resolved early on, conflicts at the implementation stage will be minimized.

- ♣ Beginning initiatives are often impatient to make immediate headway, but building a strong foundation takes time and considerable patience. As the experience of the **Harford County**

Maryland’s Tomorrow (MT) program attests, the best approach may be to make haste slowly.

In 1988, the Susquehanna Regional Private Industry Council (PIC), a private corporation with a strong track record and prior experience in running school-based dropout prevention programs, learned of the availability of state funds for local partnerships to develop school-based services for at-risk youth. The PIC’s first action was to bring together representatives from business and industry, community organizations, the public schools, and social service and community agencies to decide if they wished to participate.

Rather than looking for quick agreement, the PIC urged the group to be candid in expressing their reservations about what their efforts might accomplish. All parties saw MT as an opportunity to help the growing number of students “on the precipice,” children who could go either way, and who had not yet fallen through the cracks. But the school participants had serious concerns about increased teacher work-load, and fear of yet another short-lived, add-on program that would only serve to “jerk around” their students. They also had questions about how the program would mesh with their clear idea of what this target group needed.

Approaching these issues from their partner’s perspective, the PIC assured the school representatives that planning would not proceed if the school district had any serious doubts or felt pressured in any way to participate. With communication wide open, the group was able to resolve key program design and staff issues during several additional meetings.

Later, school district officials met with principals from schools identified as having the highest dropout rates to decide which schools would participate. As before, reservations and requirements were stated up front.

Representatives from the School District, the Juvenile Services Department, Alcohol and Drug Impact projects, the community college, the Department of Employment and Economic Development, and PIC representatives formed a formal planning committee only when common ground was firmly under foot.

The High Costs of a Weak Foundation

Unless joint efforts are launched on a solid foundation, partners will find it difficult to cooperate and impossible to collaborate. For example, when one school district in a major urban area requested that a community agency propose a plan for school-based dropout and truancy prevention services, an exceptionally tight timeline made it impossible to notify or plan jointly with the principal and staff of the school where services would be introduced. The school had no say in whether or not they wished to participate, and partners had no opportunity to explore assumptions and expectations or to work out problems in advance. Not only were partners unable to establish common goals, they were entirely unaware of each other's institutional needs and objectives.

From the perspective of the community-based organization (CBO), the partnership's goals were not only to prevent truancy and dropping out, but also to create a reentry point for young people who had already quit school. Accordingly, CBO staff introduced activities and incentives designed to bring long-term absentees back into the school.

The principal and staff, however, saw the return of these young people as a negative influence on students who were doing their best to conform to attendance guidelines. From the school's point of view, young people offered special enticements to lure them back to school were, in effect, being rewarded for disobeying school policies.

With no established communication and problem-solving process to resolve these differences, dissension threatened to destroy the program. A prior relationship between the CBO's executive director and the principal kept the partnership alive, but lingering

resentment limited its effectiveness. In one case, for example, the school persistently failed to make attendance information on students available to CBO counselors early enough in the day so that they could make home visits to absent students. As a result, staff began to collect the same information from individual classroom teachers on their own, a clear duplication of effort. The program persisted but the CBO and the school often operated at odds.³⁶ Whether initiatives are primarily cooperative or collaborative in nature, communication is the bedrock strategy vital to their success.

Moving From Cooperation to Collaboration

Over time, a strong communication and problem-solving process can help cooperative ventures develop an increasingly collaborative character. It is often easier for partners to develop common goals after they have experienced success in more limited efforts. Provided partners are motivated to create better outcomes for children and families, long-term working relationships can help partners recognize shared goals and encourage them to develop closer institutional linkages.

Based on its own history of implementing school-based services, the Grand Street Settlement has developed a set of guidelines³⁷ to promote communication and ensure that joint ventures are partnerships in more than name only. Although the following recommendations were originally written from the perspective of a community agency entering the school, with a slight twist of the lens, this restatement of Grand Street Settlement's list offers valuable guidance to agencies hosting outside agencies in service-level arrangements and to participants engaged in system level initiatives as well:

- Learn how your partners operate: who is in charge, officially and unofficially? What are their needs, pressures, and perceived roles?
- Engage staff who will deliver services in joint planning from the earliest possible moment; keep all other staff well-informed.

“ . . . the partnership process must be based on a unified view of the elements of high quality service delivery and the kind of outcomes participants wish to achieve.”

“Solutions are most likely to result . . . when all partners ultimately focus on what there is to be gained, rather than on how much power and control might be lost.”

- Create an effective working climate; establish rapport with key players; respect the procedures and conventions of the other participants.
- Ensure periodic communication at the highest administrative level among partners. Positive relationships at this level set the tone for effective relationships all the way down the line.
- Establish both formal and informal communication structures; use personal meetings as well as written correspondence.
- Present objectives from your partner's point of view; look for areas of agreement and be open to compromise.
- Earn credibility by efficiently meeting objectives and otherwise following through on promises.

These guidelines urge that agencies co-locating services make every effort to respect the power and control issues that can arise. A key objective in any joint initiative should be to develop a process in which *all* partners recognize the advantages to be gained and work together to make necessary accommodations. It is incumbent on the “guest” agency to actively foster good relations and to find ways to resolve problems quickly. Solutions are most likely to result, however, when all partners ultimately focus on what there is to be gained, rather than on how much power and control might be lost.

♣ In spite of a rocky start, the **Ahora Program**, a dropout prevention and enrichment venture between Concilio Hispano, a Latino community-based organization, and the Cambridge, Massachusetts schools, managed to follow the bulk of this advice.

After its first year of external funding dried up, the Ahora program, located at Cambridge Rindge and Latin School, dwindled down to a single staff member relegated to the already cramped office of two regular faculty. Dissension among disparate groups in the community was causing friction inside the school as well—tension that the presence of the Ahora program seemed to intensify. Communication was poor, limited more to snatches of

overheard and often misunderstood conversations than to open discussions of how Ahora could help the school.

Instead of pulling out, the Ahora staff member took action in this unstable period to secure additional funding. With another part-time staffer on board, they began to strengthen the program by establishing volunteer arrangements with area colleges. Their efforts brought them allies—among them a supportive assistant principal. Together, they began to mend fences in countless formal and informal meetings with teachers and members of the administration, sharing what they hoped to accomplish, and asking staff what Ahora could do to help them.

The program trained interns from the Harvard Graduate School of Education and dozens of work-study students and volunteers from Harvard, Brandeis, Boston College, and Massachusetts Institute of Technology to help them work effectively with Latino students. Eventually, a rejuvenated program was offering academic and personal counseling, tutoring activities, higher education counseling, recreation, and cultural enrichment to approximately 250 students yearly. In tangible ways, the program was supporting students and helping teachers accomplish their classroom objectives. As the program evolved and the student population became majority minority, mainstream teachers saw Ahora's non-traditional, culturally sensitive approach accomplishing what so many of them felt helpless to do— attracting and *involving* minority students in academic success.

Recognizing Ahora's growing identity as an integral part of the school community, the school has upgraded and expanded the space available to the program, relocating it into large, centrally-located quarters. The administration has also requested that Ahora invite regular teachers to participate in its cultural diversity training program.

In its fifth year at Cambridge High, the Ahora program was entered on the school's supplementary budget for the following year and plans were initiated to introduce the Ahora approach throughout the district's elementary and middle schools.

PEOPLE: THE HUMAN DIMENSION

The people who lead, participate in, and eventually implement the activities of interagency initiatives constitute the third variable affecting the growth and development of joint efforts. Their vision, commitment, and competence are central to a successful partnership.

Leadership

Whether joint ventures sink or swim "depends on the urgency of the problems and the willingness of somebody to take the leadership."³⁸ Considering the view that simply developing relationships in a joint effort "is about as easy as dancing with an octopus,"³⁹ exercising leadership is likely to be an especially tricky proposition. A laundry list of what leaders do suggests their pivotal importance. According to one list,⁴⁰ leaders:

- envision goals;
- affirm values;
- motivate;
- manage;
- achieve unity among groups;
- serve as symbols;
- represent the group;
- guide constituents toward renewal.

The quality of leadership greatly influences the process of agreeing on a common goal and negotiating a practical vision. Effective leaders press each side to understand their partners' point of view and the way they perceive the issues and problems at hand. Leaders generate alternative solutions and pursue, from the many interests identified, those that constitute common ground. A leader's ability to keep participants focused on goals prevents individual interests from derailing the initiative during the difficult process of determining how shared goals will be met and encourages partners to contrib-

ute to the full extent of their abilities. A leader focuses not only on the internal process of the group, but represents its goals and interests to the community at large and cultivates potential allies.

When a single individual from one agency has spearheaded the creation of a joint effort, he or she will often continue in a leadership role after the group has formed. This person is likely to have a strong commitment to the initiative's success and a clear vision of what it can accomplish. It is often possible to balance the views and interests of one's own institution while working to guide the group, but leaders who attempt to do so must be especially sensitive to the perceived conflicts of interest, real or imagined, that can occur. Frequently, those who are able to avoid such conflicts have broad-gauge, general backgrounds or cross-disciplinary training and experience that help them interpret and communicate issues from various points of view and pose solutions such that multiple interests are served.

In many cases, an established member of the corporate or private philanthropic community may be a preferable leadership choice. Neutral leaders independent of the internal complexities and demands of participating agencies can help ensure that "the ultimate purposes of collaboration—more effective services and better outcomes for larger numbers of individuals—remain the guide and measure of success"⁴¹ rather than the advancement of any single institution's agenda. In addition, their connections outside the human service and education communities can expand the resources potentially available to the partnership and increase the interest of the press and potential funders in its activities.

Continued reliance on a single voice, however, will ultimately stanch the flow of new ideas, under-utilize the pool of available talent, and undermine the growth of interdependence central to successful joint efforts. Even early on, when the values-oriented vision of a single individual may be essential, it is best when this leader teams up with a more pragmatic co-leader who can help members see the outcomes of long-term visions in actual costs and benefits.

"Effective leaders press each side to understand their partners' point of view . . . generate alternative solutions and pursue . . . those that constitute common ground."

“ . . . creating linkages among dozens of education and human service agencies requires not just one leader, but many, each working in concert with other partners.”

Robert Greenleaf's concept of "servant leadership"⁴² argues that nurturing leadership in others is as essential to prudent exercise of leadership as leading itself. Particularly in system level initiatives, creating linkages among dozens of education and human service agencies requires not just one leader, but many, each working in concert with other partners. An indicator of a partnership's effectiveness is the creation of "new champions or believers" whose additional actions on behalf of shared goals build strength in the community.⁴³ Offering expanding opportunities for participants to exercise leadership, and to periodically taste its rewards, should be an ongoing objective in any partnership effort.

Carefully designed organizational structures, especially in large coalitions, can ensure that all partners have a leadership role to play in achieving common goals. Shared leadership is fostered when participants have clearly assigned opportunities to plan and implement action and are held responsible for the successful completion of their activities. At the same time, a dynamic structure enhances the quality of the partnership's communication and problem-solving process.

♣ According to the **Floyd County Youth Services Coalition**, participants set adrift in an undifferentiated structure with few feedback and accountability mechanisms end up duplicating efforts and enhancing egos at the expense of the collaboration's genuine goals. In order to keep its 50+ members working in concert, the Coalition devised an organizational structure that mirrored the three themes of the group's mission statement—networking, advocacy, and planning.

Three permanent standing committees were established to correspond to each theme; action committees emanating from each theme focus on specific objectives. A steering committee comprised of representatives from each standing and action committee makes certain that individual initiatives do not work at cross purposes. Rather

than exerting top-down control, this structure promotes horizontal leadership and the flow of communication. Well-developed feedback mechanisms encourage participants to meet their obligations to the group, and provide a source of assistance when they experience problems or identify other needs. The result is greater coherence among the coalition's planning, advocacy, and networking efforts, and greater progress on behalf of children and families.

Participation

The power and position of the participants determine whether the partnership will have the necessary authority to alter the delivery of services or to negotiate system-wide policy changes. As the process of establishing a shared vision evolves, joint efforts must simultaneously anticipate the kind of resources, expertise, and political influence necessary to meet their objectives, and take steps to involve key players. Participants should include not only those whose political and institutional connections can open doors, but those who live and work in the community and represent the children and families the initiative is designed to serve.

♣ The absence of major players will affect the shape and effectiveness of the initiative's final plan. In Savannah, Georgia, for example, the county school system was asked early on to help develop a planning document that would be used to compete for **New Futures** funding and guide the initiative's subsequent action. For reasons that remain unclear, the school superintendent at the time participated only minimally until the end of the process. Certainly, the climate in which they were asked to participate was less than favorable as the system was at the time preoccupied with a \$179 million desegregation-related bond referendum. Whatever the cause, the superintendent's late involvement may well have lessened the scope of the in-school interventions the initiative adopted in its final plan.⁴⁴

When important players are hesitant to join a partnership effort, an effective leader can often help by expressing the reasons for partnership in terms that speak to the "bread and butter" needs of potential participants.⁴⁵ Potential participants have to see that the benefits of partnership outweigh the advantages of continued independence.

Once partnership efforts begin to gain momentum, however, little persuasion is necessary. As the experience of one large and active system level coalition suggests, even longtime holdouts are likely to join a partnership if they suspect that continued isolation will keep them out of an increasingly important information and decision-making loop.

High-level sponsorship and the visibility attached to such ventures can also attract broad-based participation. Many state initiatives and those with strong gubernatorial or mayoral support provide resources and/or other incentives that would make it unreasonable for agencies *not* to participate. Initiatives of this sort can also mandate participation, but they do so at some risk. Members who are required to participate may not feel the same commitment to the partnership as those who join voluntarily.

♣ When the **Connecticut Family Resource Centers** initiative to provide comprehensive school-based family support and education services began, the decision was made to pilot the program in specific rural, urban, and suburban locations. As a result, sites were selected more on political grounds than on the basis of where the climate was most conducive to change. Because local participation was mandated by the state without consulting schools or service providers, working relationships among providers were strained in some cases; in others, sites chosen without determining whether they had the requisite facilities, leadership, or commitment, were slow to develop.

Connecticut's early experience taught state leaders a valuable lesson: the comprehensive linkages they envisioned required the support and

commitment of a wide assortment of key decision makers at the local level. Now, the program's state technical assistance guidelines encourage localities interested in setting up an FRC to develop broad-based planning committees including, for example, the chairperson of the Board of Education, the director of the United Way, the Department of Social Services, the Superintendent of Schools, teachers' union representatives, child development specialists and others. They also acknowledge the critical importance of community members in the governance of Family Resource Centers and recommend that at least 51 percent of the participants in local advisory groups be parents who use the centers.

Once broad-based participation has been achieved, leaders must ensure that participants are fully involved in the partnership process. Those who feel they have no important role to play quickly lose interest. At the same time, careful stewardship of valuable human resources is essential. Frequent communication is necessary, but unreasonable demands should not be made on people's time; every meeting should have a purpose and should be called only when a letter or phone call will not suffice.

Implementation: The Critical Role of Staff

The successful implementation of interagency initiatives has a third face—the staff who must translate shared visions into quality service delivery. It is unrealistic to assume that all personnel will automatically and effectively implement the goals that the interagency effort hopes to promote. Virtually any new service delivery arrangement, from simple referral agreements to the creation of interagency case management teams, will add to staff members' responsibilities and may be perceived by some staff as unnecessary or even contrary to what they believe their roles and responsibilities should be.

Innovations can also make demands on workers that their professional training, and existing skills and abilities have not prepared

“. . . joint efforts must . . . anticipate the . . . resources, expertise, and political influence necessary to meet their objectives, and take steps to involve key players.”

them to meet. A diminished sense of justice and fair play enters the equation when staff from separate agencies working in joint ventures are paid according to very different wage scales. When even some staff feel overworked, ill-equipped to meet their responsibilities, or undervalued, their disenchantment can have a negative effect on everyone else, including their clients.

Selecting and Supporting Staff

Clear selection criteria greatly improve a partnership's chance of selecting staff well-suited to meet program goals. These are most likely to grow out of a partnership's clear sense of purpose and specific objectives.

♣ Because the participants in the **Harford County Maryland's Tomorrow (MT) initiative** knew exactly what kind of a program they wished to create, they had a good idea of the kind of person necessary to do the job. Rather than creating a set of services that would be available to students on an as-needed basis, with a design which would pull them out of their regular classes, the Harford program decided to devise a credit-bearing curriculum taught by a single full-time teacher. MT courses were to be fully integrated into targeted students' high school studies rather than kept separate from the academic curriculum; the teacher would function as mentor, advocate, and liaison between home and school.

In order to meet these objectives, school representatives insisted that MT teachers meet two qualifications. First, because the program intended to establish a child-centered focus, and envisioned the teacher as a mentor, individuals were sought who were creative, non-traditional enough to put the needs of children before personal or institutional needs, and willing to take the risks that this might entail. Second, in order to serve effectively as an advocate for the student within the school, and as a liaison between the school and the parents, it was recom-

mended that MT teachers be drawn from existing staff already familiar with school regulations, the faculty, administration, and student body. According to some participants, adhering to these explicit selection criteria was "the smartest thing we ever did."

The planning team also acknowledged the importance of adequate support to the teachers. The program established a half-day teaching/half-day home visiting format and provided mileage reimbursement so that teachers would have the time to establish working relationships with students' families. Potential recruits were guaranteed that they would not lose tenure and that their former position would be kept, although not necessarily at the same school where it was originally held.

In addition, the initiative took pains to support other staff affected by the program whose acceptance and cooperation would be essential to its success. The design of the Harford initiative and the rationale behind the half-day teaching format were fully explained before the program began in order to dispel any resentment over the difference in teaching load. MT teachers continue to send out bi-weekly progress reports to their colleagues and communicate with them frequently to find out how MT services can help shared students master their work in other classes.

Training

An investment in training pays rich dividends in more effective service delivery. Decisions governing the content and design of pre-service and in-service training, and plans for on-going supervision are vital issues that warrant a partnership's careful consideration and periodic review.

Most staff have been educated in a system that promotes competition, rather than the principles of sharing and consensus building that collaboration requires.⁴⁶ Ongoing training can help partnerships anticipate and over-

“ . . . staff . . . must translate shared visions into quality service delivery [but] innovations can . . . make demands on workers that their professional training, and existing skills and abilities have not prepared them to meet.”

come the practical challenges that arise as staff learn new ways of working with families and with each other.

According to a set of research-based guidelines developed by David Williams and Nancy Chavkin of the Southwest Educational Development Laboratory, in-service training to help staff accept new roles and extra responsibilities should focus, first, on changing attitudes and developing motivation, and second, on building specific skills.⁴⁷ After staff have had an opportunity to air feelings and concerns about new expectations and proposed changes, they are more likely to benefit from the training in cross-agency policies and practices necessary to provide the best service to shared clients.

Staff participants in case management teams, in particular, must be knowledgeable about community resources, trained in clinical and service delivery techniques, case documentation and record-keeping methods, and introduced to concepts of positive youth development and family support.⁴⁸ Because case managers have the potential to exercise broad discretion in the lives of children and families, interagency initiatives must also set standards for case management that reach beyond the basic admonition: "First, do no harm." On-going training should expand workers' sensitivity to cultural issues and ensure their meticulous protection of clients' rights.⁴⁹

Even highly able, committed staff need the periodic revitalization and time for reflection that training can offer. Hard charging staff members who refuse to stop and to divert at least some program resources to staff development risk burnout. They also flirt with a subtle form of "clientism"—a distorted perception of their own strength and the weakness of those they serve.⁵⁰

Coping with Differential Salaries

When two or more agencies come together in a collaborative effort, they frequently bring with them differing staff pay scales. Sometimes these disparities are great enough that care must be taken to minimize the potential for staff resentment. Voluntary participation is usually important. Since job satisfaction results not only from

financial rewards but from less tangible benefits as well, the opportunity to work in a setting that provides, for example, greater autonomy, less bureaucracy, and more freedom to innovate may help to compensate for salary differences, especially if potential staff agree—in advance—to the trade-offs they are making.

♣ **In Connecticut's Family**

Resource Centers, for example, child care staff, often as well-qualified as elementary and secondary staff, work an additional 90 days per year and typically make about one-third less in salary than their colleagues at the elementary and secondary levels. Program coordinators don't try to hide this imbalance. Instead they try to ward off resentment and keep cooperation high by emphasizing the rewards of taking part in an exciting and important new initiative and the opportunity it offers to build experience and a strong resume.

POLICIES: OVERCOMING TECHNICAL DIFFICULTIES

A fourth variable affecting inter-agency partnerships is the set of governing policies which each agency brings to the table.

These rules and regulations include the federal, state and local level policies, guidelines, and definitions that establish their institutional mandates; target population and eligibility requirements; budgets and programmatic reporting cycles; methods of supervision and evaluation; salary and career development structures; and operational "language," among others. Combined, these elements comprise each institution's unique identity. The natural tendency of participants to maintain their distinctive organizational characteristics gives rise to the "turf issues," which, in greater or lesser degree, many joint efforts experience.

When the laws, regulations, and standard operating procedures of participating agencies are perceived as generally compatible with each other and the goals of the collaboration, turf-related conflict is minimal. Fre-

"Decisions governing the content and design of pre-service and in-service training, and plans for on-going supervision are vital issues that warrant a partnership's careful consideration and periodic review."

“The natural tendency . . . to maintain . . . distinctive organizational characteristics gives rise to the ‘turf issues,’ which . . . many joint efforts experience.”

quently, however, substantial differences exist, and adjustments and accommodations are necessary to improve their “fit.”

School policies, for example, that automatically fail students who are absent a specified number of days, must be modified to bring them in line with partnership goals focused on finding ways to keep young people *in* school. Eligibility guidelines that exclude pregnant women from participation in certain drug treatment programs may need to be broadened to provide services to a partnership’s entire target group.

Partners committed to shared goals can often overcome the barriers that policy differences create. Part of the process of negotiating a practical vision needs to be identifying what policy differences exist and whether they result from differences in terminology and in-house rules that can be changed or from statutory mandates. The latter are binding requirements that may not be violated, such as those defining who may receive services, or others limiting the geographic areas in which services may be provided. Some barriers may be addressable without changing the law; when this is not possible and the law serves no useful purpose, legal change needs to be advocated. In other cases, clear policy reasons for differences in eligibility and jurisdiction may be appropriate and should be left as is.

From Doubletalk to Plain Talk

The most easily resolved differences are those that arise from the inability of participants from different institutional settings and backgrounds to speak the same “language.” Said a member of one joint effort, “Our biggest problem was creating a common language, a kind of Esperanto that we would all agree to use.”⁵¹ The welter of specialized terms, phrases, and acronyms—PINS, CHINS, IEP, SED, and many others whose meanings colleagues from the same agency or service area take for granted—can sound like Greek to their partners from other sectors.

A strong communication and problem-solving process and persistent efforts to avoid jargon and shorthand, clarify terms, and

establish mutually acceptable definitions can help partners learn to understand each other. A simple principle—using general, cross-cutting words like “children” instead of “client” or “student”—emphasizes what participants have in common rather than what separates them.⁵²

Statutory Policy Differences

Technical difficulties that originate in statutory definitions are not as easily resolved, but a shared vision can often help partners resolve the obstacles presented by binding policy differences.

♣ In Ventura County, for example, when the schools and the mental health department joined forces to provide better services to children considered severely and emotionally disturbed (SED), they soon realized that they were using this key descriptor in very different ways. For mental health agencies, the term SED was used in a solely diagnostic sense. For educators, its meaning originated in P.L. 94-142 (Education for All Handicapped Children Act) and indicated eligibility for certain services only to SED students who were also failing in school. As a result, not every child considered SED by the mental health department would be so defined by the school district, a difference with clear implications when the definition was used as a criterion for services eligibility.

After lengthy consideration, the Ventura partners agreed to base eligibility for services on the student’s *needs* as identified in his or her Individual Education Plan (IEP), instead of on the child’s special education *label*. Since P.L. 94-142 requires that all services specified on a special education student’s IEP must be provided, any child determined to need mental health services could receive them regardless of whether they were defined as SED, blind, hearing-impaired, or any one of many other categories of eligibility for special education services. In this way, statutory

definitions were preserved, *and* services were brought to all the children who needed them.

Privileged Information

Confidentiality requirements—protocols to protect a client's privacy—are a common source of technical difficulties. An inherent tension exists in collaborative arrangements where partners must reconcile the need to share information with the privacy rights of these same families and children. Multi-disciplinary case management teams need to address this issue. Initiatives in which health care workers are co-located in a school setting face a similar responsibility.

Arrangements that guarantee confidentiality while allowing multiple agencies to work together on behalf of the same client are possible, but they require sensitivity, patience, and, often, legal assistance to create.⁵³ The parameters of what constitutes privileged information must be carefully explored so that team members understand what information can and cannot be shared. In addition, the manner in which it is exchanged must accord with both the intent and the letter of the law.

Apart from the critical constitutional rights at stake, protection of privileged information is essential to effective service delivery. Unless adolescents, particularly those engaged in or with questions related to high-risk or illegal behavior, feel that their confidences will be protected, they will be unlikely to seek help and information from staff and to benefit from available services.⁵⁴

♣ As a result of their experience, the **Fulton County (KY) KIDS initiative** advises interagency groups to avoid grappling with the confidentiality issue until partners have established an effective communication and problem-solving process. During the first phase of any initiative, partners should focus on "common ground" issues: identifying needs and resources and developing "common sense" coordination strategies to share resources, facilities and staff. When participants discuss information

sharing, confidentiality concerns will naturally emerge.

When the issue arose in Fulton County, participants systematically reviewed each agency's regulations regarding confidentiality and disclosure. They took enough time to air points of disagreement as well as to discover areas of commonality. Convinced that the intent of such regulations was to protect against the misuse of information rather than to hinder the cooperative efforts of agencies to provide better services, the group sought legal advice to find a way to meet both objectives.

With state guidance, the partnership developed a formal release limiting the terms and conditions on which the collaborating agencies could exchange specific kinds of information. This form was signed by the client, kept on file, and periodically updated. In addition, each member of the case management team signed a confidentiality statement. This arrangement only allowed team members to share specified information verbally. When the team felt it necessary to review a client's previous written records, members agreed to follow each agency's preexisting rules governing disclosure.

RESOURCES: MAKING CHANGE PERMANENT

The availability of resources will determine 1) whether or not the changes in services and service delivery that the joint effort has established will become permanently institutionalized, and 2) the size of the population that will eventually benefit from these changes.

Cooperative arrangements to coordinate existing services are often financed on a contractual basis by earmarked funding or implemented through sharing of space and information. In collaborative ventures to create new services, resources of all kinds must be pooled and reconfigured to achieve the

"Arrangements that guarantee confidentiality while allowing multiple agencies to work together on behalf of the same client are possible, but they require sensitivity, patience, and, often, legal assistance to create."

hoped for results. From the beginning, collaboratives need to share staff time and expertise, in-kind services, and especially funds. The commitment of resources is the acid test of any joint effort's determination to make a difference and a prime factor in determining whether partnership goals are likely to be institutionalized, replicated, and expanded.

Reconfiguring the Use of Available Resources

In some cases, the way in which schools and human service agencies use existing resources, or the manner in which essential new resources are deployed, can be changed to create more comprehensive services.

The decision of the Cambridge Rindge and Latin School to assume partial support for the Ahora program by entering it into the school's supplemental budget is a clear example of how partners can begin to institutionalize new services by jointly contributing financial resources. The willingness of partners to redefine job descriptions and envisage new ways for staff to work together to achieve shared goals is equally important.

♣ In Los Angeles, for example, two regions participating in **Focus on Youth**, a partnership between the Los Angeles Education Partnership and the LA Unified School District, have revised job descriptions for school principals to guarantee continuing progress toward program goals. Principals are now required to implement mechanisms to coordinate social services to children as part of their formal responsibilities. This action has institutionalized the commitment of these schools to comprehensive service delivery and created a permanent leadership resource. Whether or not the Focus on Youth initiative continues in its present form, the goal of supporting children's learning through the delivery of a wide range of prevention, treatment, and support services will continue as an integral part of the school's mission.

♣ At least one school in Harford County, Maryland, impressed by the success of schools participating in the **Maryland's Tomorrow (MT)** initiative, has reconfigured its internal resources to begin its own grass-roots replication. By reallocating each period's discretionary teacher to an MT-like classroom for special tutoring, counseling, and employability training, a creative principal and five committed teachers have begun to find new ways of doing business. The school provides a telephone to ensure frequent parent contact and to coordinate student participation in summer-time employment and training opportunities through the local Private Industry Council. This kind of initiative, in the absence of incentives, technical assistance, or any requirement to act, is a rare commodity. But it demonstrates the capacity of many schools to use available resources flexibly, to broaden the scope of their educational responsibilities to children and families, and to get the job done.

♣ In Rochester, New York, the City School District has voted to implement the community schools approach in the district's next three schools scheduled for construction. These schools will replicate the strategy in operation at the **Chester E. Dewey Community School 14**. One of the first schools chosen to receive funds from the New York State Board of Regents to create a "community school," the Dewey program aims to improve students' academic performance by establishing the school as the nucleus of educational, health, nutritional, recreational, and support services to the entire community, before and after school, and throughout the calendar year. In addition, the City Council is exploring the cost-effectiveness of housing a variety of public services—libraries, recreation programs and the like—in school buildings, creating a community school setting that would eventually

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reduce the rental and maintenance costs required to support many different facilities.

The Need for Additional Resources

As valuable as these changes are to the children and families touched by them, the rate of such incremental growth is painfully slow. Interagency partnerships have the potential capacity to harness the large and permanent funding channels that support our major education and human service institutions. Even when linkages are created, substantial new funding will be necessary to bring services to sufficiently large numbers of children and families to make a real difference.

- ♣ The most promising coordinated service delivery strategies need financial “teeth”—the availability of adequate and permanent resources—to really put them in business. In Kentucky, for example, the KIDS initiative has only partially met its objectives because the program provided no new funds for implementation. Its **Fulton County KIDS** demonstration site, recipient of a 1990 award from the American Council on Rural Special Education, has developed an interagency case conference team and the infrastructure needed to provide service delivery to children and families on the school grounds—the central feature of the KIDS approach. However, with no additional funding to supplement already overburdened human services agency staff, services continue to be provided in traditional settings, in the home, or at the agencies themselves.

All this is likely to change as the result of a recent legislative decision. The concept of school-based, child and family-centered service delivery advocated by the KIDS initiative was included and expanded in an educational restructuring plan passed by the General Assembly in 1990. Ten million dollars has been authorized to support the development of Family Resource

Centers, similar to those underway in Connecticut, as well as Youth Service Centers to bring a range of age-appropriate comprehensive services to older children and their families.

Located at or near all schools with a student population at least 20 percent low-income, these centers will soon become standard operating procedure throughout the Kentucky school system. (Still, these funds will only cover services at some of the schools which qualify.)

The continuity of funding is as important as the amount of money available. A predictable level of support allows participants to make long-term plans and consider priorities beyond day-to-day survival. Unless funding is legislatively authorized to extend beyond the convening leader’s term of office, partnerships reliant on funding from gubernatorial or mayoral support to initiatives can suffer when administrations change.

- ♣ **The New Jersey School-Based Youth Services Program**, which brings comprehensive services to young people at school-based “one-stop shopping centers,” is an example of a gubernatorial initiative that has survived a change in leadership—even party—and is moving along well. According to former Governor Thomas H. Kean, it is a “commitment intended to withstand the vagaries of public whim.”⁵⁵ When the state authorized \$6 million in unrestricted funds out of the Department of Human Resource’s overall operating budget to create the SBYSP, it authorized the program not as a one-time allocation, but as a permanent part of the state budget. Since then, a new gubernatorial administration has not only kept the same level of funding, but has added another \$500,000 to establish an elementary school demonstration site.

Defining Outcomes to Demonstrate Success

In order to convince funders and key decision-makers that interagency initiatives

“ . . . partners should negotiate and specify each partner’s responsibilities and the terms under which they agree to meet them.”

“Accountability is a sure-fire way to counter the temptation to over-promise, an easy trap for an up-and-coming initiative trying to drum up interest and support.”

warrant expanded resources, collaborative efforts must result in direct benefits to children and families; express human benefits in terms of dollars saved and costs avoided; and design strategies to share evidence of this success with a wide audience. As much as any other issue, creating the political will to sustain and replicate their innovations is the central challenge facing local collaborative efforts.

In order to make a real difference to children and families, interagency initiatives—or any other method to design and deliver high quality, comprehensive services—must begin with a clear statement of the results they expect to achieve. Specifically stated objectives should anticipate the outcome services will have on people’s lives—in higher school attendance rates, for example, or in fewer low birth-weight babies—rather than simply estimating the number of services the initiative hopes to provide or people it plans to reach.

The initiative as a whole, and the individual agencies within it, must each be held responsible for measuring, monitoring, and meeting these objectives within a reasonable period of time. Establishing clear targeting goals and objectives, and benchmarks to monitor progress on a continuous basis, can provide important feedback. It can also allow for mid-course corrections and help interagency initiatives determine if and how their efforts should be expanded, modified, or dropped.⁵⁶

Although final accountability for the partnership’s success or failure will be shared by all participants, efforts to achieve individual objectives should not be laissez-faire arrangements left to the good intentions of member agencies. Instead, partners should negotiate and specify each partner’s responsibilities and the terms under which they agree to meet them. The process of developing a formal document enables participants to anticipate problems, find solutions, move toward specific goals and objectives, and minimize later misunderstandings. In order to facilitate progress rather than constrain it, however, these agreements should remain subject to change and renegotiation as need dictates.

- ♣ The interagency agreements developed in the **Kentucky KIDS** initiatives, for example, serve as formal statements of each group’s broad and practical visions. Key elements of each agreement include: a statement of the purpose and scope of the agreement among participating agencies; definitions of key terms; a statement of both the separate and mutual duties of each party; the effective date of the agreement; conditions for its termination, and, finally, an implementation plan.

Accountability is a sure-fire way to counter the temptation to over-promise, an easy trap for an up-and-coming initiative trying to drum up interest and support. While a certain amount of “marketing” is necessary to engage the participation of key leaders, creating inflated expectations can easily backfire, especially on the children and families who have the most to lose.⁵⁷ Setting attainable short-term objectives, especially in the beginning, is necessary to create a sense of accomplishment and build momentum. At the same time, sufficiently ambitious long-term goals will help to capture the interest of funders and ensure that momentum is maintained. Impressive results will go far to attract the funding necessary to make change permanent.

- ♣ **Ventura County Children’s Demonstration Project** set an ambitious goal: the creation of a community-based, culturally-sensitive mental health delivery system that would provide improved service to the most severely troubled population at reduced public cost. By establishing reasonable objectives and building in accountability for their attainment, the Project set the stage for success. At the end of their first four-year funding cycle, the targeted outcomes specified in the Project’s authorizing legislation were not only met, they were far exceeded.

In the special education subsystem, for example, the Project’s target was a 10 percent reduction in out-of-county residential placements. They achieved a 21 percent decrease.

Hoped for individual gains in attendance and academic performance resulted in statistically significant increases for all children in school-based day treatment programs. Across all subsystems, the Project anticipated that at least 50 percent of the children at imminent risk of institutionalization would be enabled to stay with their families for at least six months; instead, 85 percent stayed at home substantially longer. Perhaps most critically important for the long-term support of the Ventura strategy: a careful cost accounting showed that 77 percent of all program costs were off-set by long-

term, residential costs avoided. This figure far outstripped the 50 percent target they originally planned to meet.

These well-publicized accomplishments garnered considerable public and political support for the program. As a result, in 1988, the General Assembly passed new four-year legislation to use what is now referred to as the Ventura County Planning Model to create an interagency system of mental health services for adults. The state has also authorized funding to replicate the Ventura Model for Children in two additional counties.

“ . . . collaborative efforts must result in direct benefits to children and families; express human benefits in terms of dollars saved and costs avoided; and design strategies to share evidence of this success with a wide audience.”

PART THREE: MAKING IT HAPPEN!

Our hope is that the variety of joint efforts described in this report will encourage child protective workers, intake and maintenance caseworkers, family support counselors, juvenile justice personnel, health care personnel, school administrators, teachers, counselors, mental health therapists, employment and training specialists, vocational educators, civic and religious leaders, members of the business community, policy makers, and others to consider the possibility of launching joint ventures in their own localities. All across America, families such as the Wagners need the help of caring people *and* a more responsive, integrated system of education, health, and human services. Collaborative efforts can mobilize the energy and resources within each of these separate sectors, and provide the high quality, comprehensive services children and families need to go as far as their talents and industry will take them. The essential elements of such services are summarized below; they cannot be forgotten in the process of collaboration, lest that process not yield the essential product: better outcomes and more successful futures for our nation's children and families.

SOME ESSENTIAL ELEMENTS OF COMPREHENSIVE SERVICE DELIVERY

- Easy access to a wide array of prevention, treatment, and support services.
- Techniques to ensure that appropriate services are received and adjusted to meet the changing needs of children and families.
- A focus on the whole family.
- Agency efforts to empower families within an atmosphere of mutual respect.
- An emphasis on improved outcomes for children and families.

In the final analysis, each interagency effort must find its own best way to proceed. No two interagency initiatives will progress in exactly the same way—a fact that those attempting to transplant successful models must take into account. Nevertheless, the experience of those who have gone before can be distilled, if not into a sure-fire recipe for success, then at the very least into a set of valuable guideposts that will keep new partners pointed in the right direction and help them to find their way around some predictable bumps in the road.¹ The Guidelines for New Partners on the following page are such a resource.

We conclude with a series of questions that agencies can use to assess their readiness for change and to mobilize action. Both the guidelines and questions have been printed on single pages so that they may be duplicated easily for use in workshops and roundtable conversations. The story of the Wagner family with which this document began is similarly formatted, and offers a useful discussion tool for people beginning to consider why they must collaborate.

In addition, a Feedback Form is contained at the end of this Part. It is designed to let you, the readers and users of this monograph, tell us your reactions to this document, how you have used it, how future publications might be improved, and what other assistance you may need in pursuit of your collaborative agenda. We hope that you will respond.

The members of the Education and Human Services Consortium want to work with you in the implementation of your collaborative efforts. The names of contact people from the participating organizations are listed in Appendix B. Bulk quantities of this report are available at cost for distribution at conferences and annual meetings. Single copies are available at \$3.00 postpaid. Requests for speakers on the topic of collaboration and comprehensive delivery services may be made to individual member organizations.

Finally, a growing body of literature, focusing on key issues related to interagency initiatives and directed to both general and specific audiences, is available to assist local efforts. An extended bibliography listing many of these is included in Appendix C.

GUIDELINES FOR NEW PARTNERS

● INVOLVE ALL KEY PLAYERS

Commitment to change must be broad-based and include all key players. In both service delivery and system level efforts, participation that involves representatives from appropriate levels of all the sectors and services necessary to achieve the initiative's goals and objectives is essential. Participants should include not only those with the power to negotiate change, but also representatives of the children and families whose lives will be affected by the results.

● CHOOSE A REALISTIC STRATEGY

Partners need to choose an interagency strategy that accurately reflects the priorities of service providers, the public, and key policy makers, the availability of adequate resources, and local needs. In situations where potential partners are not yet ready to undertake the financial commitment and degree of change inherent in collaboration, a cooperative strategy to coordinate existing services is a realistic starting point. Down the road, the trust and sense of accomplishment built up in these initial efforts will make it easier for agencies to accept the greater risks and more ambitious goals of collaboration. By the same token, when conditions already bode well for change, partners who never move beyond cooperation toward collaboration waste resources and pass by an important window of opportunity.

● ESTABLISH A SHARED VISION

Cooperative ventures are based on a recognition of shared clients. Collaborative partnerships must create a shared vision of better outcomes for the children and families they both serve. It will be far easier to agree on common goals and objectives if participants work to understand the issues, priorities, and perspectives that partners bring to the table and demonstrate a willingness to incorporate as many of these as possible.

● AGREE TO DISAGREE IN THE PROCESS

Participants need to establish a communication process that gives them permission to disagree and uses conflict and its resolution as a constructive means of moving forward. Interagency initiatives that circumvent issues about how, where, why, and by whom services should be delivered and resources allocated, in an effort to avoid turf issues and other conflicts, are likely to result in innocuous objectives that do little to improve the status quo.

● MAKE PROMISES YOU CAN KEEP

Setting attainable objectives, especially in the beginning, is necessary to create momentum and a sense of accomplishment. At the same time, sufficiently ambitious long-term goals will ensure that momentum is maintained.

● "KEEP YOUR EYE ON THE PRIZE"

It is easy for collaborative initiatives to become so bogged down in the difficulty of day-by-day operations and disagreements that they

lose sight of the forest for the trees. Particularly in system level efforts, a leader from outside the direct service community who is committed to the goals of the initiative and able to attract the attention of key players, policy makers, and potential funders can ensure that a sufficiently ambitious agenda is devised and stays on track.

● BUILD OWNERSHIP AT ALL LEVELS

The commitment to change must extend throughout the organizational structure of each participating agency. Include staff representatives in planning from the earliest possible moment and keep all staff members informed. In-service training should allow staff time to air feelings about proposed changes and identify the advantages changes are likely to bring. Cross-agency training is essential to provide staff with the specific information, technical skills, and abilities necessary to meet new expectations.

● AVOID "RED HERRINGS"

Partners should delay the resolution of the "technical difficulties" that impede the delivery of comprehensive services to shared clients until partners have: 1) had the opportunity to develop a shared vision and 2) assessed whether specific impediments result from policies and operating procedures that can be changed or from statutory regulations that must be maintained. The bulk of the differences that emerge usually result from misunderstandings or from policies that can be changed or otherwise accommodated. They should not be allowed to become "red herrings" that provide convenient excuses for partners who are not fully committed to working together.

● INSTITUTIONALIZE CHANGE

No matter how useful or well-designed, the net effect of interagency initiatives that are here today but gone tomorrow is minimal. If changes in programming, referral arrangements, co-location agreements, and other initiatives are to endure, both service delivery and system level efforts will need facilities, staff, and a continuing source of financial support. Participants must incorporate partnership objectives into their own institutional mandates and budgets and earmark the permanent flow of adequate resources to keep joint efforts up and running.

● PUBLICIZE YOUR SUCCESS

Interagency partnerships are a promising conduit for the large scale creation and delivery of comprehensive services to children and families, but, even when resources are reconfigured and used more wisely, current funding levels are insufficient to meet the level of need. Partnerships must demonstrate the ability to improve outcomes for children and families and express their success in future dollars saved and taxpayer costs avoided. Well-publicized results that consistently meet reasonable objectives will go far to attract the funding necessary to replicate and expand innovation.

QUESTIONS FOR AGENCIES: ASSESSING THE NEED FOR INTERAGENCY PARTNERSHIPS

Agencies and communities can take the first steps toward improving outcomes for the children and families they serve by asking themselves tough questions. The following inventory is presented to stimulate reflection and to assist organizations to make the case for change. We trust that the conversations begun by these inquiries will lead to action on behalf of more comprehensive services for children and families.

I. How are we doing on our own?

1. Are the lives of the children, youth, and families we serve improving? If not, why not?
2. Have we reassessed our mission recently in light of the overlapping economic, education, health, employment and social services needs of our clients?
3. Are services to clients well-integrated within our own agency?
 - a. Do staff working with the same clients communicate frequently?
 - b. Do staff and clients work together to set personal and family goals?
 - c. Does our agency measure the impact of its services on the lives of children and families or do we simply tabulate the number of services we provide?
 - d. Do we offer preventive supports and services to help our clients avoid more serious problems?
 - e. Are our services organized in response to client needs or are the kinds of services we offer constrained by the limitations of available funding and administrative rules?
4. How well are we connected with other agencies offering services which our clients need?
 - a. Do our line workers have effective working relationships with their counterparts in other agencies?
 - b. When our clients are referred elsewhere for services are we kept informed of their progress and changing needs?

II. Do we need to change?

1. How effective will we be in ten years if the needs of our client population continue to increase

and we continue to do "business as usual"?

2. What resource limitations do we face in bringing more comprehensive services to our clients?
3. How might closer relationships with other agencies help us improve outcomes for the families we serve?

III. How ready are we to engage in interagency partnerships?

1. Do the agencies serving children and families in our neighborhood, our school community, our city, our county, have a common vision of what they are trying to accomplish?
2. What is the history of cooperation and collaboration in our neighborhood, community, city/county? What lessons can we learn from past experience (or lack of it)?
3. Do we have close working relationships with the directors of other agencies that deliver services to the same clients? What do we know about other agency's current needs and priorities that might encourage them to discuss common problems and potential solutions on behalf of our clients?
4. Who are the leaders from outside the direct service community who are interested in the well-being of the community and who might take a leadership role in a collaborative effort or assist with the expansion and improvement of ongoing activities?
5. What are we willing to pay in terms of tangible resources and loss of unilateral control to formulate common goals with other agencies and to better serve our shared clients?

FEEDBACK FORM

Please take a few minutes to think about your reactions to *What It Takes* and how you have used it. Your responses will assist the Education and Human Services Consortium to provide even better resources in the future. Please mail back this pre-addressed form.

NAME _____

TITLE _____

ORGANIZATION _____

ADDRESS _____

CITY _____ STATE _____ ZIP _____

1. How did you receive *What It Takes*?

2. Why did you take the time to read *What It Takes*?

3. Were you and your agency already involved in collaborative activity when you read this document? If yes, please describe.

4. What was most helpful to you about the monograph?

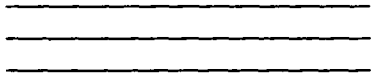
5. Do you think further resource material or technical assistance on collaboration or comprehensive service delivery would be useful to you and your colleagues? If yes, what topics/issues/problems related to collaboration and/or more comprehensive service delivery would you like to see addressed?

6. Have you used the publication to initiate or to support collaborative activities in your area? If yes, please describe.

7. Have you requested additional copies of *What It Takes*? If so, how many and how will they be used?

8. Other comments?

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NOTES

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- ⁴⁵Gardner, p. 9.
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- ⁴⁸Annie E. Casey Foundation's *New Futures Initiative Strategic Planning Guide*, p. 133.
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- ⁵⁴William A. Morrill and Martin H. Gerry, "Integrating the Delivery of Services To School-Aged Children At Risk: Toward a Description of American Experience and Experimentation." Paper sponsored by the U.S. Department of Education, February 1990, p. 16.
- ⁵⁵Thomas H. Kean, "The Life You Save May Be Your Own: New Jersey Addresses the Prevention of Adolescent Problems," *American Psychologist*, 44, 5, p. 828.
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APPENDIX A

Program Descriptions and Contact Information

**AHORA PROGRAM
CAMBRIDGE RINDGE AND LATIN SCHOOL
459 BROADWAY
CAMBRIDGE, MASSACHUSETTS 02138
Stephanie Smith, Project Director
617-864-1068**

The Ahora Program, a bilingual, multi-cultural youth enrichment program located at the Cambridge Rindge and Latin School (CRLS), is a partnership between the Concilio Hispano de Cambridge and the Cambridge, Massachusetts School District. Envisioned as "a bridge to the future," Ahora provides tutoring, mentorship, higher education and financial aid counseling, job counseling, leadership development, and recreational and cultural activities to approximately 250 Latino students each year. Seventy to 80 volunteers from several area colleges and universities receive cultural awareness training and contribute more than 150 hours each week to help meet program goals. In addition to services and activities open to the entire Latino community at CRLS, outreach and referrals help Ahora identify students with special needs. Activities are offered before and after school, and—as during a 1989 six Saturday cultural exchange with Boston College students—on weekends as well.

A large percentage of students, nearly 90 this year, choose to make a formal commitment to the program and negotiate contracts with staff that define their mutual responsibilities. Staff make frequent home visits and phone calls to build a bridge between families and the CRLS teachers and administration. Ahora's emphasis on peer leadership and advocacy has led to a student-run tutoring program at a nearby elementary school and the student's active participation along with parents and staff at district budget committee and school board meetings to speak on behalf of Latino students' needs.

Although time and money have not been available to support data collection and program evaluation, the one-to-one assistance and close relationships forged with staff and volunteers do make a difference. In 1989, each of the dozen at-risk Latino young men who played on Ahora's basketball team increased their academic average, several by as much as 12 points. Eleven of the seniors receiving higher education counseling went on to college or technical school. In 1990, Ahora was selected for presentation as a model program at the Annual Conference of the National Council of La Raza.

**CHESTER E. DEWEY COMMUNITY SCHOOL
PROJECT #14
200 UNIVERSITY AVENUE
ROCHESTER, NEW YORK 14605
Merrilyn Parks, Coordinator
716-325-6738**

The New York State Board of Regents began to promote the idea of school-community partnerships as part of school reform and community revitalization in 1983. In 1987 the state legislature appropriated funds for four pilot Community Schools, one each in Rochester, Binghamton, Brooklyn, and the South Bronx. By 1989, additional state funding increased the number of community school sites across the state to 14.

The Community School Program (CSP) initiative is designed to build school/community collaborations, promote instructional change and year-round schooling, and organize schools as sites for access to a wide range of social, cultural, health, recreation, and other services for children, their families, and other community adults.

The Community School Project #14 in Rochester, New York, began serving families at the Chester E. Dewey School—over 85 percent of whom receive assistance from the Department of Social Services—in 1988. A steering committee composed of the school principal, key representatives from the Department of Social Services and the Lewis Street Neighborhood Center, the CSP coordinator, and parents began by conducting a community needs assessment. Dozens of programs now operate before and after school. Six of the on-site offerings, including after-school care and mentoring, result from cooperative arrangements with other agencies. Eleven evening programs and activities reach hundreds of adults throughout the year.

The CSP has also developed several strategies to address the community's serious housing needs—identified as a top priority by parents. First, the CSP, using DSS staff, designed and conducted workshops on tenants' rights. Second, they arranged with the local housing council to gain access to a computer-generated daily listing of available housing in the area. Third, the steering committee developed a flyer for parents explaining the negative impact of repeated moves on children's school performance. Fourth, CSP partners work closely to assist parents who might be having housing difficulties. When school or CSP staff learn that a family is moving, DSS is notified so that they can explore the cause and offer services that could resolve the situation. A DSS outreach worker, who

visits the school daily to create supportive relationships in frequent, informal encounters, helps in this regard. As a result, family evictions have decreased and the student mobility rate—student turnover in a given year—has dropped from 112 percent to 59 percent.

In order to allow localities the time and flexibility necessary to develop creative models, the state has not required programs to be formally evaluated in their first year or two. The Rochester site believes this grace period has been "a blessing." They have felt free to experiment because they don't have to be frightened of failure.

The open school ethos central to the Community Schools model has encouraged local agencies to include the school as a key element in local community development efforts in CSP sites across the state. In Rochester, the School Board has recently voted to use the CSP model in the design of four new schools planned for construction.

**CONNECTICUT FAMILY RESOURCE CENTERS
DEPARTMENT OF HUMAN RESOURCES
BUREAU OF PLANNING AND PROGRAM
DEVELOPMENT**

**1049 ASYLUM AVENUE
HARTFORD, CONNECTICUT 06105**

**Paul Vivien
203-566-8048**

and

**THE KILLINGLY PUBLIC SCHOOL FRC
PO BOX 218**

**ROGERS, CONNECTICUT 06263
Anne Desjarlais, Project Coordinator
203-774-8022**

In 1988, the Connecticut General Assembly passed legislation, authored in consultation with Connecticut's Permanent Commission on the Status of Women, the Bush Center for Child Development and Social Policy at Yale University, and the State Departments of Education and Human Resources, to create Family Resource Centers (FRC). Three hundred thousand dollars was allocated for a six-month demonstration program. In 1989, the Assembly increased its commitment to \$500,000 for the fiscal year.

The Family Resource Center in Killingly, Connecticut is one of three original demonstration sites funded by the State Department of Human Resources and operated in partnership with the public schools and other community service agencies. Modeled after Edward Zigler's Schools of the 21st Century concept, Family Resource Centers use the schools as the point of access to a *system* of family support and child development services. Centers are operated by child development specialists, usually in cooperation with existing community-based child and family service agencies. FRCs offer four basic categories of preventive services and fundamental child development supports

appropriate for *all* children and families in the community.

Childcare, full-time for preschoolers, and before and after-school for children up to sixth grade is the centerpiece of each Center. Enrollment selection is based on a list of priorities with a sliding fee scale. Programs attempt to be "user friendly" with centers open from 7:00 AM to 6:00 PM year round, closing only on five major holidays.

A second component focusing on parent education and training is open to anyone living in the geographic area. Relying on hospital referrals, birth announcements in the papers, and word of mouth, the FRCs send letters inviting new parents to participate in a program of home visiting, toy and resource libraries, and child development education classes. These activities bring parents into the schools and help to create positive home-school relationships long before their children are formally enrolled. Parents who have not graduated from high school can enroll in literacy and General Education Diploma (GED) preparation courses while their preschool-age children are receiving full-time care at the center.

A third component is designed to provide support and training for family daycare providers, the major source of infant care in the state. The centers provide workshops and continuing information on insurance, taxes, and other business concerns and involve providers in child development and other child and family-focused training.

Teen pregnancy prevention is the fourth program component. Centers provide positive youth development activities aimed at younger students and use a group format to help young men and women up to age 18 develop support networks and build health-related and social skills. In each area, the centers provide information and resource referral on a wide range of children, youth, and family issues.

**FLOYD COUNTY YOUTH SERVICES
COALITION**

**ST. PAUL'S PARISH HOUSE
1015 E. MAIN STREET
NEW ALBANY, INDIANA 47150
Ralph Thumas, Project Director
812-944-2972**

Relationships among key service providers on the Youth Services Board, a direct service agency, gave birth to this system level coalition in 1986 as a mechanism to coordinate community services for youth. Through a three-pronged committee structure focusing on networking, advocacy, and long range planning, Floyd County Youth Services Coalition (FCYSC) action committees work to identify needs and resources, to design short and long term strategies to maximize available resources, and to generate new avenues of support for youth and families. Coalition activities were underwritten by in-kind donations of time and staff for the first 3 years of its existence; in 1989 a \$111,000,

three-year Lilly Endowment grant was received to support its work. The Endowment will also support a 1990 evaluation of the coalition to identify the elements of the process the partnership uses to build ownership and achieve results. Recent accomplishments and continuing efforts focus on both more responsive service delivery and system-wide improvements.

An FCYSC Juvenile Justice Action Group's exploration of local needs led to the creation of a holdover program in which youthful offenders could be temporarily housed in a local rented room with adult supervision rather than in adult jails or in institutional settings at great distance from their families. Since the county could not afford its own permanent facility, the Action Group approached the chief probation officers in several other counties. Together, they applied for and received state funding to establish regional juvenile detention centers in three locations throughout south central Indiana.

A survey conducted by the Child Care Action Group identified the glaring need for services especially among parents working evening and night shifts. While working to secure funding to create a coordinating mechanism similar to a 4Cs (Coordinated Community Child Care) approach, the group is negotiating a new partnership among an interfaith social service agency, a local church, and city government to markedly expand existing day care service slots.

The Long Range Planning Committee has conducted a key informant study of its members to determine the perception of service providers about the needs of their clients. This will be used as a companion piece to the United Way's large-scale Allocation Needs Assessment, a home-based field study. Results of client and provider perspectives will be compared and combined with service utilization information and used as the basis of a county-wide human services plan.

The Coalition has attempted to put the needs of youth and families on a broader community agenda. It has joined the Chamber of Commerce and is working with the Tourism and Convention Board and the University of Southeastern Indiana among others to create a three-county community foundation that would provide money for broad-based community development and special projects. FCYSC's participation ensures that the needs of children and families will be one of the foundation's basic priorities.

The Steering Committee is currently developing a plan for ongoing funding. Possible options include some combination of member agency contributions, support from other community resources, and external matching grants.

FOCUS ON YOUTH PROGRAM
315 W. NINTH STREET
SUITE 1110
LOS ANGELES, CALIFORNIA 90015
Jose Colon, Director
213-622-5237

Sponsored by the Los Angeles, California Education Partnership (LAEP), a private sector school reform effort, this joint venture with the LA Unified School District is designed to integrate non-academic human services with students' educational programs. A Leadership Advisory Committee composed of representatives from the participating agencies, the Mayor's Office, Chamber of Commerce, the business community, and other educational, civic, and philanthropic organizations operates as a pool of consultants.

During a three-year pilot demonstration phase, a Focus on Youth Director was hired by the district with LAEP funding from the Whittier and Stuart Foundations and coordinators were assigned to 16 participating elementary, junior, and senior high schools. An original group of 740 at-risk students was identified. Working within the school system, coordinators began to develop the program's "structured way of building relationships." Coordinators demonstrated case management techniques, initiated relationships with public and private agencies, and coordinated their services on behalf of individual students.

Preliminary data show that dropout rates for Focus students are much lower than school averages. For example, from 1986 to 1989, the cumulative dropout rate for the original sample of 102 students in the Manual Arts High School site was 12.8 percent compared to the school's three-year estimated cumulative rate of 66.4 percent. At Belmont High, the rate among their 72 student sample was 8.9 percent in contrast to the school's cumulative dropout rate of 49.3 percent.¹

FOY is now permanently shifting its attention from actually delivering services to working with principals and school teams to institutionalize an effective program. During a transition stage, Focus on Youth (FOY) staff worked with school site personnel to help them develop in-house teams to continue the program after funding for individual site coordinators was no longer available. In each team, school and agency staff now rotate the role of facilitator, lead case conferences on individual students, and follow up on referrals. Members include dropout and recovery program consultants, vice principals or administrative deans, counselors, school psychologists, and others.

While dropout rates have been lower in all Focus schools, academic improvement has been cited only at those schools where there has been an effective school team meeting regularly to evaluate the status of students and the effectiveness of school and community resources. According to evaluation data, FOY "significantly reduces the dropout rates among at-risk students and raises their academic performance" when the school principal is involved and supportive

and when the study team meets on a weekly basis. Evaluation data also show that FOY services were most likely to be effective for students with at least a 1.0 grade point average and no more than 12 days of truancy.

The LAEP is now developing new sources of corporate support to supplement a limited school budget. Study team members need ongoing, cross-agency training and technical assistance to provide effective case management. Because Focus on Youth fits the model of a "wrap around services" approach advocated by the United Way, that organization is another potential source of interim support.

**GRAND ACADEMY
C/O GRAND STREET SETTLEMENT
80 PITT STREET
NEW YORK, NEW YORK
Paul Winum, Assistant Executive Director
212-674-1740**

Grand Academy, a collaborative effort between the Grand Street Settlement (GSS) and New York City's School District #1 is an alternative-site, dropout prevention program designed to change patterns of school failure and truancy. The program began in 1982 to provide a fresh start in a new environment for 7th grade students who repeatedly failed promotional "gates" tests. City-wide promotional tests are no longer used, but the program has been expanded to serve 120 7th through 9th grade students otherwise failing in school and chronically truant. The Board of Education funds the program's lead teacher/administrator and provides classroom teachers. GSS contributes space, vocational and mental health counseling services, and day-to-day supervision. According to GSS, the creation of Grand Academy represented the first time the Board of Education entered into a financial contract with a community-based organization to deliver services.

Although the education program differs little from that offered in traditional classrooms, Grand Academy is unique in 1) its small class size; 2) location away from school buildings that are often "contaminated with failure;" 3) persistent counseling interventions to identify and resolve problems that interfere with school attendance; 4) easy access to the full range of services offered by Grand Street Settlement; and 5) the opportunities it provides students for positive daily interaction with many community adults.

The design for the Academy was jointly conceived by the principal of Intermediate School #22, the Superintendent of District One, and Grand Street Settlement staff. Nothing was assumed or left to chance. All parties agreed in advance how the program would operate. A full-time, on-site supervisor assigned to the program from the Board of Education, teachers, Grand Academy counselors, supervisor, and other members of the Grand Street The clinical team meets daily to discuss progress, resolve problems, and con-

duct regularly scheduled case conferences on specific students.

As a result of Grand Academy services, attendance among students identified as chronically truant improved markedly, to an average of 85 percent. Skill levels improved substantially as well. Ninety-six percent of the 1988 entering class improved their reading skills sufficiently to be promoted. Twenty-one percent were graduated to the next grade and 75 percent advanced two grade levels. Math scores improved 25 percent on average.

**KENTUCKY INTEGRATED DELIVERY SYSTEM
(KIDS)
DEPARTMENT OF EDUCATION
CAPITOL PLAZA TOWER
FRANKFORT, KENTUCKY 40601
H. Gippy Graham
502-564-2117**

**and
FULTON COUNTY SCHOOLS SITE
P.O. BOX 50
HICKMAN, KENTUCKY 42050
Glenda Cochrum, Special Education
Coordinator
502-236-3923**

In 1988, the Kentucky Integrated Delivery System (KIDS) initiative began as a joint venture between the State Department of Education and the Governor's Cabinet of Human Resources, which includes the Departments of Social Services, Health, Mental Health and Mental Retardation, and Employment. Its purpose was to help local agencies develop mechanisms to coordinate existing services and make the services of social workers, mental health counselors, public health professionals and others available at school sites. No new funds were attached.

In an interagency memorandum of understanding, the Department of Education agreed to provide a state coordinator and technical assistance. The Cabinet of Human Resources put up \$5,000 for travel and secretarial support, and committed the services of its local agencies to provide services. Sites were chosen by first identifying a wide cross-section of social service departments organizationally able to undertake an additional set of responsibilities, and then matching them with school districts with an established record of interagency cooperation which had volunteered to participate in the program.

By the end of the 1989-90 school year, 14 local joint ventures were underway and working to:

- develop formal agreements specifying their goals and objectives and each agency's responsibilities in accomplishing these objectives;
- create a multi-agency case conference team to identify and share information on children whose families are or need to be receiving services from

more than one agency, make referrals, and ensure follow-up;

- specify procedures for 1) ensuring confidentiality and 2) sharing case conference recommendations with parents;
- train school and agency staff on the purpose of collaboration and the operation of the case conference team;
- physically locate designated service delivery staff at school sites.

**MARYLAND'S TOMORROW
DEPARTMENT OF EDUCATION
200 W. BALTIMORE STREET
BALTIMORE, MARYLAND 21201
Irene Penn
301-333-2426**

**and
HARFORD COUNTY MARYLAND'S
TOMORROW
SUSQUEHANNA PRIVATE INDUSTRY
COUNCIL
410 GIRARD STREET
HAVRE DE GRACE, MARYLAND 21807
Linda Siegal
301-575-7248**

In 1987, the Education Task Force of the Governor's Employment and Training Council developed the concept of a dropout prevention program in which Private Industry Councils (public-private partnerships established under the federal Job Training Partnership Act (JTPA) and known as PICs) would work in tandem with the public schools to provide long term, year-round services to at-risk students.

Supported by state general funds and augmented by monies from a portion of the JTPA funds designated for state educational coordination and services, Maryland's Tomorrow (MT) serves over 5,000 students in 75 secondary schools across the state.

In order to receive funds, PICs and schools districts in their areas were required to jointly plan and implement a local program that would utilize local resources and integrate MT's five basic components: basic skills enhancement, work experience, motivation and leadership development, student support, and transition services.

In the 1988-89 school year, approximately 5,000 students in 75 secondary schools received services. An independent evaluation of a representative statewide sample of MT students showed that their educational outcomes were significantly better than those of non-participants. By the end of 9th grade, students *not* in MT had a 45 percent higher dropout rate, a 26 percent higher failure rate and a 20 percent lower promotion rate. Twenty eight percent more MT students had passed all of the Maryland Functional Tests

needed for graduation than those who had not received services.

Although the nature and intensity of local MT services varies widely within the parameters of the MT model, evaluators report qualitative changes in the school environment at many sites. Factors that contributed to strong outcomes were identified as:

- specification by the state of core program components rather than the imposition of a rigid model;
- early agreement among district and school staff that institutional changes were necessary to help at-risk youth;
- active involvement and support of the local PIC and its members;
- a specially selected staff of experienced teachers who knew the system;
- highly supportive school principals.

Currently in its second year of funding, MT has an operating budget of over \$5,000,000. During the 1989-90 school year, it has served approximately 5,800 9th through 12th graders at an average cost of about \$1,000 per student.²

**NEW BEGINNINGS
SAN DIEGO CITY SCHOOLS
4100 NORMAL STREET
SAN DIEGO, CALIFORNIA 92103
Jeanne Jehl, Administrator on Special
Assignment
619-293-8371**

In 1988, partners in San Diego's New Beginnings collaboration began work toward a shared vision: to develop alternative strategies to respond to family and community needs—particularly in the area of prevention—and to develop closer working relationships among agencies in order to bring about institutional change. The initiative is composed of high level representation from the San Diego County Departments of Health, Probation, and Social Services, Juvenile Court, as well as the County Chief Administrative Officer. Members also include representatives from the City of San Diego's City Manager's office, and the Housing and Planning Commissions, the Superintendent of the City School District, and several Assistant Superintendents, as well as the Chancellor of the San Diego Community College District. Each partner contributes leadership, staff time, and support services to the collaborative effort.

Their first step was the design and implementation of a feasibility study to assess the effectiveness of services to meet a broad range of children and family needs in the high poverty neighborhood surrounding Hamilton Elementary school. A variety of methods were used to gather initial information including: family interviews, focus groups with line workers, data derived by providing case management services to 20 families for three months, and cross-matching school data with the Departments of Social Services and Probation, and Housing Commission files.

Using this information, the partnership is developing an integrated, school-based service delivery model that could be implemented at Hamilton, with the potential for replication in other neighborhoods. The New Beginnings approach would serve all families with children between the ages of 5 and 12 years attending public school in a designated school attendance area. A staff of Family Service Advocates (FSAs)—generalists from participating agencies retrained to work with families and students as case managers—would be co-located at a center in or adjacent to the school. An extended team of agency staff located at their respective organizations would provide specialized services and meet regularly with center staff for training and consultation. The school staff would serve as the primary source of referral. School support service staff such as the guidance counselor, nurse etc., and specific activities including school enrollment, free lunch eligibility determination, and language and health assessments would be moved to the center. Teachers would have the opportunity to job share or serve temporarily as FSAs.

Anticipated outcomes would be the more efficient use of education and social service monies to enhance the skills, environments and well-being of families. Over time, an increased percentage of the community would manifest improvement on numerous specific indicators, for example, employment, welfare enrollment and duration, abuse reports, adult and juvenile arrest rates, school attendance and graduation, teacher stability, birth weights and inoculation rates, among others. The New Beginnings Team, with assistance from California Tomorrow, a non-profit educational corporation and support from the Stuart Foundations, convened a conference in June 1990 to share their model. With feedback from state and national policy analysts, New Beginnings is working with practitioners involved in collaborative programs across the state to discuss the next steps for school-based services throughout California.

NEW JERSEY SCHOOL-BASED YOUTH SERVICES PROGRAM
DEPARTMENT OF HUMAN SERVICES
CN 700
TRENTON, NEW JERSEY 08625
Roberta Knowlton, Acting Director
609-292-7816

A program of the NJ State Department of Human Services, the School-Based Youth Services Program (SBYSP) funds 29 "one-stop shopping" centers across the state. The program was inspired by the school-based health clinic demonstrations funded by the Robert Wood Johnson Foundation and hopes to replicate their success on a far broader scale. SBYSP centers link the education and human service systems by coordinating their services at a single location and help 13-19 year-olds complete their education, obtain skills and further training, and lead a mentally and physically

healthy life. The program imposes no single model, but all projects must provide mental health and family counseling and health and employment services at a single location. They must also offer year-round services during and after school and on weekends.

The initiative fosters local collaboration by requiring that local agencies collaboratively plan programs while allowing them substantial flexibility in meeting basic program requirements. Applications made jointly by school districts with at least one other public or non-profit organization were required to show broad public and private sector support. In order to build local commitment, host communities were asked to support 25 percent of their own program costs through direct aid or in-kind contributions. The state offers assistance when necessary to expedite the coordination of services. For example, SBYSP can assist a school in obtaining Medicaid certification so that it can be reimbursed for providing on-site health services to Medicaid-eligible students.

All sites are located at or near participating schools, but over half are managed by a variety of non-school agencies designated by the community, including mental health agencies, a private industry council, a city human resources department, medical schools and hospitals, a community development organization and other entities. In addition to core services, many sites offer childcare, family planning, and transportation. Services are available to *all* students who need them. The stigma attached to receiving services reserved for "at-risk" students is eliminated, and resource-consuming eligibility determinations are avoided.

In the first year, \$6 million was earmarked for SBYSP as part of the annual state budget appropriation. An additional \$500,000 has since been added to develop an elementary school level demonstration. In its first 18 months, the state-wide effort connected 10,000 students with 35,000 prevention and treatment services.

NORTHAMPTON COMMUNITY COLLEGE
ADULT LITERACY PROGRAM
DIVISION OF COMMUNITY EDUCATION
3835 GREEN POND ROAD
BETHLEHEM, PENNSYLVANIA 18017
Eleanora Bell, Acting Director
215-861-5427

The Northampton Community College Literacy Department provides a comprehensive array of literacy, numeracy, Adult Basic Education, General Education Diploma (GED) preparation, English as a Second Language (ESL) classes, Family Literacy programs and workplace literacy services to more than 600 adults across the Lehigh Valley. The college provides administrative salaries, classroom and office space, and "a virtual playground of resources" for students; additional funding comes from the Department of Education, private foundations and the local Private Industry Council. The college benefits by having an on-site

program of services for the significant percentage of its students who need remedial assistance, and provides 20 percent of the department's total referrals. An advisory board composed of human service agency directors, business leaders, and administrators of other literacy efforts recommends program direction.

In part due to a strong relationship with the Bethlehem Chamber of Commerce, Northampton currently has cooperative arrangements with four different industries to design on-site, diagnostic testing in reading, language, and math, and customized literacy training. The department also co-locates services at homeless shelters, the county prison, and a drug rehabilitation hospice and offers family literacy services to Title I parents in a local school district. Only two classes are offered at the main campus.

A recent on-site review by a team from the U.S. Department of Education noted Northampton's range of community sites and contacts with community agencies, number and quality of course offerings, and the diversity of students who participate. These factors, in addition to strong support and training services for staff, led the USDE to award Northampton the 1990 Secretary's Award for Outstanding Adult Education and Literacy Program in Region III.

**SAVANNAH, GEORGIA NEW FUTURES
INITIATIVE
CHATHAM COUNTY-YOUTH FUTURES
AUTHORITY
128 HABERSHAM STREET
SAVANNAH, GA 31401
Otis Johnson, Director
912-651-6810**

The Chatham County-Savannah Youth Futures Authority, the governing body of the Savannah, Georgia New Futures Initiative, will receive \$10 million from the Annie E. Casey Foundation over five years, and another \$10.5 million from state and local cash and in-kind contributions. The goal of this ambitious commitment is to create a comprehensive system to rescue at-risk youth.

The Initiative currently serves about 350 students and, by 1991, plans to operate at a total of five middle schools and four high schools. By 1993, the Initiative anticipates overall improvements in math and reading scores, absenteeism, dropout rates, teen pregnancy, and unemployment.

To respond to students' multiple needs as flexibly as possible, each student is assigned to an in-school support team composed of an academic facilitator, a nurse, psychological counselor, and social worker. Case managers, considered the heart of the program, coordinate the individual services each student should have, make sure that students are receiving all that they need, and help to ensure that the combination of services is having the intended effect. To provide continuity, the same case manager follows a student throughout the program.

Reduced-size classes give students special help in math and language arts. Those who have been held back and are over-age for their grade may participate up to three hours daily in individualized, competency-based remedial instruction. Working at their own pace, students can be promoted as soon as they master grade-level skills.

On-site health services are provided through the Department of Public Health at one high school. School policies have been modified to authorize school-related health clinics and revisions in the life skills courses so that students and teachers can freely address concerns about sexuality and the consequences of teen pregnancy.

After school programs and clubs and exposure to adult mentors are designed to help students experience success and develop realistic personal goals and objectives. Career clubs for middle school students use field trips and volunteer opportunities to introduce students to the world of work. Senior Career Development Clubs provide training, counseling, and other assistance to older youth who are immediately at risk of unemployment. Students in School Success Clubs can compete for 15 scholarships offered annually by area colleges.

A Savannah Compact has recently been established in which the local Chamber of Commerce and the school district have made a joint commitment to improve the educational achievement and job readiness of Savannah students, as well as to assure employment and post-secondary education opportunities to those who graduate.

**VENTURA COUNTY CHILDREN'S
DEMONSTRATION PROJECT
MENTAL HEALTH SERVICES, RESEARCH AND
EVALUATION
300 HILLMONT AVENUE
VENTURA, CALIFORNIA 93003
Daniel Jordan
805-652-6775**

In 1984, the California State Assembly established the Ventura Children's Demonstration Project to test the effectiveness of a community-based, culturally sensitive, interagency system of mental health care designed to improve services and reduce costs. The demonstration targeted the mental health needs of the most severely mentally disordered children in several specific sectors of the community: 1) court-ordered dependents who have been abused, molested, or abandoned; 2) juvenile offenders; 3) children receiving other intensive public services; and 4) students in county special education programs.

Interagency agreements were established between the Ventura County Mental Health Department and key agencies in each of the four sectors. These agreements specify each partner's responsibilities in coordinating services. In each case, collaborative efforts were guided by two key principles; 1) that young

people with the greatest needs should be served at the lowest possible cost; and 2) that strategies should be explored to meet young people's mental health needs within their home communities in the least restrictive setting possible.

As a result of interagency agreements between the Mental Health Department and the public schools, a sub-system of care has been developed that provides critical mental health services to children who need them directly at the school and front line support to school staff to help them meet their special education responsibilities. Mental health services are tailored to a special education setting. Possible service options follow mental health guidelines e.g., outpatient, day treatment, and residential services, but they are provided in accordance with the Individualized Education Plan (IEP) and other procedures and regulations specified by federal and state special education legislation.

Eligibility for services is jointly determined. A mental health assessment is requested, but the mental health professional joins the IEP team only if an initial evaluation indicates that the child is likely to need mental health services in order to benefit from special education. Team members then recommend the appropriate services in the least restrictive environment. Students who need outpatient services, for example, can often receive them while mainstreamed in a regular school program. Individual, family, or group psychotherapy, medication, or consultation can

be provided with on-site staff. Day treatment services, which before the advent of the Ventura Children's Demonstration Project were available only in a public residential setting or a non-public day treatment program, are now available on-site as well.

Three special education classes, each with a full-time special education teacher, and an education aide share the in-class services of a full-time mental health professional. Two clinical social workers work with children and their families, and six hours of psychiatric consultation are provided weekly. The program is jointly supervised by senior representatives of the County Superintendent of Schools and a clinical psychologist from the County Mental Health Department.

The Project's anticipated outcomes in all sub-systems of care were specified in authorizing legislation passed in 1984, and exceeded in every case. Significant gains in attendance and academic performance were achieved by mentally disordered special education pupils receiving services in the day treatment program. The number of out-of-county special education nonpublic school placements declined by 21 percent. Overall, the Project offset 77 percent of its costs through reductions in other public sector expenses. Client outcome evaluation is an integral part of the Ventura Model and sets a precedent for human service programs. In 1988, the General Assembly passed new legislation extending the Ventura approach to adults and replicating the children's model in two additional counties.

¹John B. Orr. *Evaluation Report on Focus on Youth* rev. ed. Los Angeles, CA: Los Angeles Educational Partnership, September 22, 1989.

²Laura H. Salganik, Karen E. Banks, Lori A. Bruner. "Maryland's Tomorrow: Making A Difference." Executive Summary. Prepared by Pelavin Associates for the Johns Hopkins University Institute for Policy Studies, Washington, DC, 1990.

APPENDIX B

Resources for Additional Information and Assistance

American Public Welfare Association (APWA)

Beverly Yanich, Associate Director
Bard Shollenberger, Director of
Government Affairs
810 First Street N.E.
Suite 500
Washington, DC 20002
(202) 682-0100

APWA represents state and local human service departments and individual members. It advocates sound, effective, and compassionate social welfare policy and brings state and local policy leadership into national decision-making. APWA carries out a comprehensive agenda of social welfare policy research, development, and analysis and provides information and technical assistance to state and local officials and others on all aspects of the Family Support Act of 1988.

Center for Law and Social Policy (CLASP)

Alan W. Houseman, Executive Director
Mark Greenberg, Senior Staff Attorney
1616 P Street N.W.
Suite 350
Washington, DC 20036
(202) 328-5140

CLASP works to establish effective linkages between U.S. welfare and education systems to help address the problems of poverty in America's poor families. The Center provides information and technical assistance to state and federal officials, school personnel, and legal and policy advocates in meeting the requirements of the Family Support Act of 1988.

Center for the Study of Social Policy (CSSP)

Tom Joe, Director
Cheryl Rogers, Senior Research Associate
1250 Eye Street N.W.
Suite 503
Washington, DC 20005
(202) 371-1565

The Center provides information on the principles of interagency and intergovernmental planning, budgeting, and service delivery.

Child Welfare League of America, Inc. (CWLA)

Earl N. Stuck, Jr., Director of
Residential Care Services
440 First Street N.W.
Suite 310
Washington, DC 20001-2085
(202) 638-2952

CWLA is a 70 year-old organization of over 630 child welfare agencies from across the United States and Canada. Together with the 150,000 staff members from our member agencies, CWLA works to ensure quality services for over two million abused, neglected, homeless, and otherwise troubled children, youth and families. CWLA participates actively in promoting legislation on children's issues, and provides a wide variety of membership services including research, consultation, training and publication.

Children's Defense Fund (CDF)

Clifford M. Johnson, Director,
Family Support Division
Arloc Sherman, Research Associate
122 C Street N.W.
Washington, DC 20005
(202) 628-8787

CDF, a private, non-profit organization, gathers data, publishes reports, and provides information on key issues affecting children. It also monitors the development and implementation of federal and state policies, provides technical assistance and support to a network of state and local child advocates, organizations, and public officials, pursues an annual legislative agenda, and litigates selected major cases.

Council of Chief State School Officers (CCSSO)

Cynthia G. Brown, Director, Resource Center on
Educational Equity
Glenda Partee, Assistant Director
400 North Capitol Street
Washington, DC 20001
(202) 393-8159

CCSSO is a non-profit organization composed of the heads of the 57 departments of public education in every state, the District of Columbia, the Department of Defense Dependent Schools, and five extra-state jurisdictions. The CCSSO Resource Center on Educational Equity is responsible for implementing various CCSSO leadership initiatives to provide better educational services to children and youth at risk of school failure. It provides technical assistance in policy formulation, develops programs and materials, holds conferences, monitors civil rights issues, and provides training. The Center also publishes a quarterly newsletter.

Council of the Great City Schools

Milton Bins, Deputy Director
1413 K Street, N.W., 4th Floor
Washington, DC 20005
(202) 371-0163

The Council of Great City Schools, the primary advocate for public urban education in America, within a national focus on urban education that includes cooperation with other organizations, articulates the positive attributes and needs of urban youth. The Council promotes public policy to ensure the improvement of education and equity in the delivery of comprehensive educational programs, and provides a forum for urban educators to develop strategies, exchange ideas and conduct research on urban education.

Education Commission of the States (ECS)

Robert M. Palaich, Director of Policy Studies
707 17th Street, Suite 2700
Denver, CO 80202-3427
(303) 299-3600

Created in 1965, ECS is an interstate compact that helps state leaders improve the quality of education. ECS conducts policy research, surveys and special studies; maintains an information clearinghouse; organizes state, regional, and national forums; provides technical assistance to states; and fosters nationwide leadership and cooperation in education. ECS priority issues include restructuring schools for more effective teaching and learning, addressing the educational needs of at-risk youth, improving the quality of higher education, and ensuring the full participation of minorities in the professions by ensuring their full participation in education.

Institute for Educational Leadership (IEL)

Jacqueline P. Danzberger, Director of
Governance Programs
Martin J. Blank, Senior Associate
1001 Connecticut Avenue N.W.
Suite 310
Washington, DC 20036
(202) 822-8405

IEL is a non-profit organization 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.

Joining Forces

Janet E. Levy, Director
Sheri Dunn, Project Associate
400 North Capitol Street
Suite 379
Washington, DC 20001
(202) 393-8159

Joining Forces promotes collaboration between education and social welfare agencies on behalf of children

and families at risk. Information is available on strategies and programs for successful collaboration.

National Alliance of Business (NAB)

Center for Excellence in Education
Esther Schaefer, Senior Vice President
and Executive Director
Terri Bergman, Senior Manager
1201 New York Avenue N.W.
Suite 700
Washington, DC 20005
(202) 289-2888

NAB seeks to help build a quality workforce for America that will provide business with highly qualified, job ready workers. The Alliance carries out its mission by working with private employers and through public/private partnerships to: 1) upgrade the skills and abilities of the existing workforce through workplace learning efforts, 2) improve the output of America's public schools by involving business in education reform, and 3) train the unemployed and under-skilled for entry into the labor force through second chance initiatives.

National Assembly of National Voluntary Health and Social Welfare Organizations, Inc.

Gordon A. Raley, Executive Director
Kae G. Dakin, Director of Membership Services
1319 F Street, N.W.
Suite 601
Washington, DC 20004
(202) 347-2080

The National Assembly is an association of national voluntary human service organizations that work together to advance the mission of each agency and the human service sector as a whole. The Assembly facilitates organizational advocacy for public policies, programs and resources which are responsive to human service organizations and those they serve.

National Association of Counties (NACo)

Michael L. Benjamin, Associate Legislative Director
Marilou Fallis, Research Associate for
JOBS Implementation
440 First Street, N.W.
Washington, DC 20001
(202) 393-6226

NACo represents more than two-thirds of the country's 3,110 counties. NACo serves as a national advocate for county concerns and assists county officials in finding innovative methods for meeting the challenges they face. In human services, NACo's mission is to assist counties in developing human services programs designed to achieve the full objectives of encouraging self-support, self-reliance, strengthening of family life, and the protection of children and adults.

National Association of Secondary School Principals (NASSP)

Timothy J. Dyer, Executive Director
Thomas Koerner, Associate Executive Director
1904 Association Drive
Reston, VA 22091
(703) 860-0200

NASSP is an association serving all school administrators in middle schools and high schools. It provides more than 40,000 members with professional assistance in managing effective schools. As a service organization, it publishes a host of materials in print, audio and videotapes, and software; it conducts conventions and conferences for professional development; it provides a national voice in government; it offers legal advice; and it conducts research into learning and instruction, among many other subjects.

National Association of State Boards of Education (NASBE)

Janice Earle, Program Director,
Youth Services
1012 Cameron Street
Alexandria, VA 22314
(703) 684-4000

NASBE provides information on: educational policy-setting at the state level; successful programs for youth at risk, especially adolescent parents; and early childhood programs. Publications on these subjects are available.

National Governors' Association (NGA)

Evelyn Ganzglass, Director of Training
and Employment Program
Linda McCart, Director of the Consortium
on the Implementation of the Family Support Act
(APWA, NACO, CCSSO, and NGA)
Susan Traiman, Acting Director
Education Program
444 North Capitol Street
Suite 250
Washington, DC 20001
(202) 624-5300

NGA, representing the Governors of the 50 states and the territories, seeks to influence the shape and implementation of national policy and to apply creative leadership to the solution of state problems. NGA provides assistance to Governors and their staffs in the areas of education, social services, employment/training, and health policy through research, publications, conferences, and consultation.

National League of Cities (NLC)

John E. Kyle, Project Director
Children and Families in Cities Project
1301 Pennsylvania Avenue, N.W.
Washington, DC 20004
(202) 626-3030

The NLC represents 1,400 cities directly and 15,000 cities and towns through 49 state municipal leagues. It serves as an advocate for its members in

Washington, DC; provides training and technical assistance to municipal officials; and undertakes research and policy analysis on issues of importance to the nation's cities. The Project on Children and Families in Cities is an ongoing effort to encourage and assist local officials in meeting the needs of children and families. Project activities are focused on education, child care, and collaborative strategic planning.

National School Boards Association

Thomas A. Shannon, Executive Director
Philip A. Smith, Communications Director
1680 Duke Street
Alexandria, VA 22180
(703) 838-6722

The National School Boards Association is a not-for-profit organization with four basic objectives to: 1) advance the quality of education in the nation's public elementary and secondary schools, 2) provide informational services and management training programs to local school board members, 3) represent the interest of school boards before Congress, federal agencies, and the courts, and 4) strengthen local citizen control of the schools, whereby education policy is determined by school boards directly accountable to the community.

National Youth Employment Coalition (NYEC)

Linda R. Laughlin, Ph.D.
1501 Broadway, Room 1111
New York, NY 10036
(212) 840-1834

NYEC, a nonprofit membership organization, has existed since 1979 to increase and promote opportunities for the education, employment, and training of disadvantaged youth. Through a range of activities aimed at disseminating information, monitoring legislation, providing technical assistance, and promoting collaborative efforts, the Coalition brings together 60 member organizations concerned with youth employment. The Coalition holds quarterly meetings and publishes a bi-monthly newsletter.

United States Conference of Mayors

J. Thomas Cochran, Executive Director
Laura Dekoven Waxman, Assistant Executive
Director
1620 Eye Street N.W.
Washington, DC 20006
(202) 293-7330

The U.S. Conference of Mayors is the official non-partisan organization of the mayors of the more than 900 cities with a population of 30,000 or more. The Conference of Mayors has two primary functions: influencing the development of public policies to assure that they are responsible to the needs of cities and their residents and providing information and assistance to mayors and other city officials on critical urban issues. Among the human development issues of primary concern to the nation's mayors are those

relating to hunger and homelessness, poverty, drug abuse, education and employment and training.

Wider Opportunities for Women (WOW)

Cynthia Marano, Executive Director
1325 G Street N.W.
Lower Level
Washington, DC 20005
(202) 638-3143

WOW is a national women's employment organization which works to achieve equality of opportunity and economic independence for women. WOW coordinates the Women's Work Force Network, connecting 450 local employment and training programs and serving 300,000 women each year. WOW's resources include program models and technical assistance guides related to combining literacy and employment training for single mothers.

**William T. Grant Foundation
Commission on Work, Family and Citizenship**

Harold Howe II, Chairperson
Samuel Halperin, Study Director
Atelia I. Melaville, Senior Research Associate
1001 Connecticut Avenue, N.W.
Suite 301
Washington, DC 20036
(202) 775-9731

The Grant Commission has issued two major reports and two dozen background and information papers on the special needs of the Forgotten Half, the approximately 20 million young people between the ages of 16 and 24 not likely to pursue a college education. The Commission's office works to implement the recommendations of both reports, and to improve the school-to-work transition of the Forgotten Half by raising public and scholarly awareness, building coalitions, sharing information, consulting, and providing technical assistance to federal, state, and other policy makers. Publication lists are available on request.

APPENDIX C

For Further Reading

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THINKING COLLABORATIVELY:

Ten Questions and Answers to Help Policy Makers Improve Children's Services

by CHARLES BRUNER

PUBLISHED BY THE EDUCATION
AND HUMAN SERVICES
CONSORTIUM:

American Public Welfare Association
Center for Law and Social Policy
Center for the Study of Social Policy
Child Welfare League of America
Children's Defense Fund
Council of Chief State School Officers
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National Youth Employment Coalition
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Wider Opportunities for Women
William T. Grant Foundation
Commission on Work, Family and
Citizenship

PREFACE AND ACKNOWLEDGEMENTS

This is the third document in the Education and Human Resources Consortium's *SERIES ON COLLABORATION*. Initiated in 1988 with eleven members, the Consortium is a loosely-knit coalition of 24 national organizations whose shared goal is more responsive delivery of education and human services to children and families. This Series is designed to bring resources that make a significant contribution to the study and practice of collaboration to a wide audience. By providing such resources, the Consortium hopes to foster dialogue and constructive action. Through this and other activities, the members of the Education and Human Services Consortium, and other groups that may choose to join, exemplify the kind of close professional collaboration necessary to improve the prevailing system.

THINKING COLLABORATIVELY: TEN QUESTIONS AND ANSWERS TO HELP POLICY MAKERS IMPROVE CHILDREN'S SERVICES, authored by former Iowa State Senator Charles Bruner, uses a question and answer format to help state and local policy makers consider how best to foster local collaboration that truly benefits children and families. Checklists are provided to help policy makers quickly assess key issues in establishing interagency initiatives, demonstration projects, and statewide reforms to foster collaboration.

The first publication in this Series, **NEW PARTNERSHIPS: EDUCATION'S STAKE IN THE FAMILY SUPPORT ACT OF 1988**, explores the potential for collaboration among education and welfare agencies in the implementation of the Family Support Act. It was released in March 1989 as a collective statement by Consortium members and is directed to an audience of state and local education and human services policy makers, administrators, and practitioners.

A second monograph, **WHAT IT TAKES: STRUCTURING INTERAGENCY PARTNERSHIPS TO CONNECT CHILDREN AND FAMILIES WITH COMPREHENSIVE SERVICES** was published in January 1991. Written by Atelia I. Melaville with Martin J. Blank, it describes what high quality, comprehensive services should entail and focuses on interagency partnerships as a potential key to the large-scale delivery of such services. Drawing on the experiences of numerous partnerships from across the country, **WHAT IT TAKES** describes the factors that affect local efforts at both the system and service delivery levels and provides guidelines to help beginning initiatives succeed. Copies of this monograph are available for \$3.00 pre-paid.

The following persons provided many valuable comments to earlier drafts of this report: Michael Benjamin, Terri Bergman, Martin Blank, Cynthia Brown, Janice Earle, Sid Gardner, Samuel Halperin, Alan Houseman, Harold Howe II, Lynn Kagan, Janet Levy, Atelia Melaville, Doug Nelson, Lisbeth Schorr, Bard Shollenberger, and Shelley Smith. The author expresses special thanks to the William T. Grant Foundation Commission on Work, Family and Citizenship, which provided financial support for the writing and production of this monograph.

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Additional copies of publications in the Education and Human Services Consortium's Series on Collaboration are available for \$3.00 each, **pre-paid**. Make check or money order payable to IEL, 1001 Connecticut Avenue, NW, Suite 310, Washington, DC 20036-5541. Tel.: 202-822-8405. Any or all portions of this report may be freely reproduced and circulated without prior permission provided the source is cited as: Charles Bruner. **Thinking Collaboratively: Ten Questions and Answers to Help Policy Makers Improve Children's Services**. Washington, DC: Education and Human Services Consortium, 1991.

THINKING COLLABORATIVELY: TEN QUESTIONS AND ANSWERS TO HELP POLICY MAKERS IMPROVE CHILDREN'S SERVICES

by **CHARLES BRUNER, Ph.D.**, Director
Child and Family Policy Center
Des Moines, Iowa

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INTRODUCTION: FRAGILE FAMILIES, FRAGMENTED SERVICES

Every state has its "\$50,000 families," with those public dollars expended year after year without a coherent, binding strategy to meet basic family goals.

When Gary Wegenke, superintendent of the 23,000 student Des Moines, Iowa school district, gave his "condition of the school" address in 1990, he presented a case study to highlight the "educational reform dilemma"—the fact that a child brings more than educational needs into the classroom. Wegenke's case study is similar to thousands of others throughout the United States:

"Mike is a fifth grade boy, eleven years of age. He does not have a father at home. As far as is known, he has no contact with his father. Mike's mother is sickly and is generally homebound. He has an older sister who stays with him along with her boyfriend and a baby. Mike's older brother is in reform school.

At the beginning of the year he was identified as a child who "gets into trouble and seldom finishes or does his homework." Mike responded by saying, "I don't care about school and my work is too hard." Mike follows peers who delight in disrupting classroom activities; he never smiles, and when things get too stressful, breaks into tears with no sound."

Educators, social workers, and community development activists are increasingly asking what can be done to help the many "Mikes" of our country to become productive, well-adjusted members of American society. Business leaders looking toward their future workforce show similar concerns.

The answer is not simply "more of the same." Longer school days and school years, increased academic standards, and more intensive pedagogy of the traditional sort—whatever their benefits may be for many students in Mike's classroom—are not

likely to benefit "at risk" students like Mike.

Mike's needs are social, psychological, and economic, as well as educational. The needs of "at risk" children seldom fall neatly into a single category. In addition to needing a strong educational system to succeed, children need adult support, attention, and love. They need proper nutrition and health care. They need a safe place to live. They need guidance in developing their identities, including a supportive peer culture. They need role models that demonstrate the benefits of work, learning, and self-discipline.

Just as clearly, however, our current system of delivering services to children and families has been structured within discrete categorical boundaries, usually related to professional disciplines and bureaucratic needs. Under most current service funding systems, children and their families must meet separate eligibility guidelines in order to qualify for mental health services, juvenile justice services, special educational programs, home heating and subsidized housing assistance, food stamps and nutritional services, welfare benefits, job training support, and a host of other counseling or development activities. It is not uncommon for an apologetic professional to say to a disappointed parent, "I'm sorry, we can't help you. Your child is not handicapped (or poor, neglected or abused, suffering mental illness, disadvantaged, behavior-disordered, or any of a number of other labels)." The irony of this statement is not lost on either the parent or the professional. Both know the child has needs that could be met, yet categorical constraints limit services only to those who meet certain, ultimately inflexible standards labeling them as eligible.

At best, this system eventually will meet some of Mike's needs, but by several different professionals working within separate agen-

cies. Each of these professionals, usually without consulting each other, will develop a case plan for Mike or another family member but it will be the family's task to integrate these separate plans into something that can better their lives. This is neither the most efficient, nor the most effective way to help Mike or his family.

At worst, instead of receiving multiple services, Mike will fall through the cracks in each of several child-serving systems. Each agency is likely to contend truthfully that it does not have sufficient resources to address Mike's needs and must save its services for more needy children. By the time he reaches the required point of crisis, however, responses will be more costly and likely to remediate only a part of the damage he will have sustained.

This costly fragmentation in service delivery has prompted reformers like Wegenke to call for collaboration among agencies serving children and families. Not only can collaboration help existing institutions better use current resources and avoid duplication, it has the potential to help children like Mike develop educationally, socially, and emotionally—all at the same time.

In the present system of separate agency initiatives, it is difficult to track all the services Mike's family will receive or to determine their total cost. Mike's brother has been in contact with the juvenile court and is currently costing the state a hefty sum for his stay at reform school. Family assessments and probably family counseling, as well as psychological assessments for his brother, have, no doubt, added to the expense. Mike's mother may be receiving Aid to Families with Dependent Children (AFDC) payments and Medicaid, as may his sister and her family. Altogether, in a patchwork and uncoordinated fashion, government may be spending tens of thousands of dollars annually on Mike and his family with no integrated plan to lead them toward greater self-sufficiency. Every state has its "\$50,000 families," with those public dollars expended year after year without a coherent, binding strategy to meet basic family goals.

It also is essential to remember that Mike probably has not developed a close relation-

ship with any individual worker. A caring adult who can serve as a mentor is likely to be absent from his life. Most professionals in contact with the family and most policy makers presented with this case would agree that such a supportive, ongoing relationship is needed. They would also agree that none of the various agencies providing services is truly responsible for helping Mike's family meet its overall needs even though the need for accountability is one rationale given for the current categorical funding system. Unless collaborative initiatives are structured to deploy resources to help children form positive attachments to real people, collaboration will not make a difference in those children's lives.

If collaboration is to result in more responsive services for children and families, it must do more than redesign organizational flow charts. It is too important a concept to be trivialized in this fashion. Collaboration will succeed only if it changes the nature of the relationship between workers and families and has as its goal the alleviation of children's very real needs. Even then, collaboration alone cannot create more Head Start slots for needy children, house homeless families, or create jobs for unemployed youth. The issue of limited resources must still be faced.

This guide uses a question and answer format to help state and local policy makers consider how best to foster local collaboration that truly benefits children and families. **Chapter One** answers questions about the definition and purpose of collaboration. **Chapter Two** discusses questions relating to state roles and strategies in fostering local collaboration. **Chapter Three** explores additional issues—the role of the private sector, possible negative consequences of collaboration, and collaboration's role in the overall context of improving child outcomes. The **Conclusion** summarizes the most critical observations made in addressing the questions in the other chapters. Checklists are provided to help policy makers quickly assess key issues in establishing inter-agency initiatives, demonstration projects, and statewide reforms. Resources that offer additional insights on collaboration and provide examples of exemplary initiatives are referenced in the **Appendices**.

Collaboration will succeed only if it changes the nature of the relationship between workers and families and has as its goal the alleviation of children's very real needs.

CHAPTER ONE: UNDERSTANDING THE BASICS

QUESTION #1

Q. What do we mean by collaboration?

A. "Collaboration" is a process to reach goals that cannot be achieved acting singly (or, at a minimum, cannot be reached as efficiently). As a process, collaboration is a means to an end, not an end in itself. The desired end is more comprehensive and appropriate services for families that improve family outcomes.

Webster's New World Dictionary defines the word "collaborate" as follows:

"1. To work together, especially in some literary, artistic, or scientific undertaking; 2. to cooperate with an enemy invader."

Many persons confronted with a mandate from above to "collaborate" may indeed feel that the second definition is an appropriate one. In their view, they are being asked to add another feature to their job description—either to "do someone else's job," or, at a minimum, to do their job in a manner that makes someone else's work easier at the expense of their doing more.

In this guide, however, collaboration includes all of the following elements:

- *jointly developing and agreeing to a set of common goals and directions;*
- *sharing responsibility for obtaining those goals; and*
- *working together to achieve those goals, using the expertise of each collaborator.*

Because collaboration involves sharing responsibility, it requires consensus-building and may not be imposed hierarchically. It is likely to be time-consuming, as collabora-

tors must learn about each other's roles and responsibilities, as well as explain their own. Collaborators must also acquire expertise in the process of group goal-setting and decision-sharing, which may not be part of their other work.

Collaboration means more than either communication or coordination. *Communication* can help people do their jobs better by providing more complete information, but it does not require any joint activity. *Coordination* involves joint activity, but allows individuals to maintain their own sets of goals, expectations, and responsibilities. In contrast, *collaboration requires the creation of joint goals to guide the collaborators' actions.*

QUESTION #2

Q. What problems is collaboration designed to solve?

A. Collaborative strategies may help to 1) provide better assistance to families already receiving services in several systems; 2) keep children from falling through the cracks and ensure that they receive needed services and 3) reduce environmental risks that affect all children in a given neighborhood or community.

One of the most profound changes in American society over the last two decades has been the change in family structure. The proportion of single parent families, blended families, and families in which both parents work outside the home has grown dramatically. All families need support at some times—support that transcends any single agency's mission. As society has become more complex and family capacities

Because collaboration involves sharing responsibility, it requires consensus-building and may not be imposed hierarchically.

strained, collaboration among child and family-serving agencies offers an important mechanism to meet the multiple needs of parents and children.

Collaborative strategies will vary under differing circumstances. For example, many services can be provided to large numbers of children and families without any need for cross-agency involvement. The majority of children grow up healthy and successful in school — with educational services provided through the public education system, health services through a pediatrician or other health practitioner, and social and psychological services through only episodic uses of other support services. Most children are reasonably well-served by school, health care, and social service providers despite minimal contact among these providers.

As a result, the existing structure of the services system “works” for most children and families. Children and families usually overcome, with little ill effect, poor teaching, conflicting advice from different authority figures, or some other failing within the system, because these families have other resources available to offset negative experiences. For the fortunate majority, the *family* is the collaborator and integrator of services.

Fragile families, however, are less able to play this managerial role. Their needs are more likely to be complex and require services over extended periods. For several reasons, service collaboration strategies for families like these are critical. First, these families are more likely to have difficulty in accessing and using all of the services they need. Second, although they ultimately are more likely to be involved with several systems at once, these families are far less likely to have the skills to integrate the goals and requirements of the various services they are receiving. These systems need to develop case plans with reinforcing, rather than conflicting, goals. Third, when system failures do occur, these families seldom have outside resources to offset the resulting negative consequences.

Not all families will require the same degree or type of collaborative support. Three case examples illustrate how various

collaborative strategies can be designed to respond to different levels of family needs.

Families in Several Systems

Case Example One

Annie, age seven, and Kent, age twelve, attend elementary school. Annie shows signs of emotional disturbance, and is in special education for learning disabilities. Kent has been picked up by the police for vandalism and is on probation. Annie, when four, was placed in foster care because of abuse and neglect. She is now home but the family must participate in monthly therapy through social services. Due to staff turnover, the family has worked with several different therapists.

In this case, collaboration among the people already involved with Annie and Kent’s family is essential. Various counselors, probation officers, and human service workers are simultaneously setting goals for family members. It is unlikely that each provider is aware of all the other interventions, let alone working together on a coordinated family treatment plan. Goals that are set for individual family members may be in conflict with one another and the family may be confused by these various expectations. While categorically eligible for a wide array of services, this family may never receive the level or intensity of comprehensive involvement that it needs, or support in the form that it can accept.

All states expend large amounts of scarce resources on families like Annie and Kent’s. Reducing the number of separate interventions and individuals working with the family, and providing more support for those that remain would be a better use of resources. Developing a unified “family plan” and re-deploying resources across several agencies to meet that plan’s goals requires collaboration and, possibly, changes in the current system of financing services. The potential benefits of such collaboration will be better outcomes for each family member and a reduced need for future interventions, and their substantial costs.

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Families Falling Through the Cracks

Case Example Two

Johnny, a nine year-old first grader, is behind his fellow students in reading. He often is late to school, as his mother works nights and does not get up to see him off. A drop-out from ninth grade, she views the school system with a sense of powerlessness and distrust. They live in a ten-year old trailer, and Johnny frequently gets colds from the drafty structure.

This example describes very different challenges to the existing service delivery system than those illustrated in the first case. While Johnny's family has a number of needs and many stresses, the intensity of the family's immediate problems is much less than in Annie and Kent's situation.

Since the family is not in "crisis," it does not qualify for a number of categorical programs. While both school teachers and community service providers may recognize that Johnny and his family have needs that are not being met, both are likely to say that "it's not my job" to provide services to assist the family. The school does not provide teachers with time outside the classroom to nurture parental involvement in Johnny's education. The school counselor or social worker has a large caseload that requires that most attention goes to students with major school behavior problems. The department of human services does not provide preventive services to assist such families. It must concentrate its efforts on homes where there is evidence of child abuse or neglect. Meanwhile, Johnny remains "at risk" of educational failure, limited future life options, and the social maladjustment that educational failure is likely to bring.

Families like Johnny's are common throughout the country. Policy makers and professionals generally concur that such families can be helped, provided someone—a school teacher, a community service worker, a minister, or some other caring adult—connects with that family to provide guidance and help the child experience success. Testimonials abound from highly suc-

cessful adults who considered themselves "at risk" youth and point to a caring adult who stuck with them and made a critical difference in their lives.

For Johnny and his family, cross-agency collaboration is not necessarily needed. Instead, there must be collaboration between the family and a caring adult to support and help Johnny and his family meet their needs. Under the current system, however, no one is responsible to fill that role. If school teachers are to take on part of this responsibility, they must be freed from classroom teaching or otherwise compensated for their work, in order to make home visits and work directly with parents. They must be given flexibility in their jobs to target families such as Johnny's for special attention. If community service workers are to take on part of this responsibility, they must be allowed to support families without the limitations imposed by categorical labels and to develop programs that do not suffer the stigma of such labels. Ultimately, greater involvement with families like Johnny's will require smaller class sizes or reduced caseloads, as well as enhanced training and support for frontline workers. In contrast to cross-agency collaboration, where it may be possible to redeploy existing resources, collaboration between workers and families to provide guidance and prevent problems will require new resources. In the long run, however, such investments may save families from reaching the level of distress found in Annie and Kent's family.

Families Living in High-Risk Neighborhoods

Case Example Three

Carolyn attends Jerome Middle School where she is an above-average student, but her test scores still rank in the lowest quartile statewide. Her school is located in an inner city neighborhood with the state's highest rate of adult unemployment and welfare dependency. Forty percent of the students at Jerome will not graduate from high school and one-third of the girls will become teenage mothers. None of the teachers at Jerome live in the neigh-

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borhood. Church leaders express grave concern about the children in their community.

All states have schools like Jerome Middle School, with many children like Carolyn. Strategies focusing upon individual students in those schools may occasionally succeed in improving an individual student's educational performance and even economic outlook, but community-wide strategies are necessary if *most* students are to escape pervasive environmental risks. If Carolyn is given the opportunity to succeed in school—but has to “escape” her neighborhood, friends, and families to experience the rewards of that success—her victory will be partial, at best.

In this instance, community-wide collaborative strategies are needed. All children and families in the neighborhood served by Jerome Middle School are subject to serious housing, health care, safety, and economic concerns. Such concerns are best addressed on a community-wide rather than an individual family basis. A rethinking and potential redirection of the existing, individually-focused resources being deployed within the community are required. Rather than focusing on individual eligibility, it might be more appropriate to make services available to *all* families in the neighborhood, to emphasize community outreach, and to involve existing community institutions in designing community solutions. In many respects, this orientation is a return to the 1960s concepts of community action, maximum citizen participation, and community self-determination.

QUESTION #3

- Q. At what organizational level should collaboration occur?**
- A. Collaboration should be fostered at every level of organization, from the top administrative level to the level at which the family meets frontline service workers. Collaboration at one level of organization will facilitate collaboration at other levels as well.**

Interagency Collaboration at the Administrative Level

Collaborative initiatives often occur at the administrative or managerial level in both state and local government. Most of the initial state efforts to foster collaboration have focused on upper echelon administration and planning. Policy makers have established the creation of task forces, interagency coordinating councils, or other administrative structures to improve interagency understanding and planning in addressing cross-agency concerns. Coordinating councils and task forces have been established on specific youth concerns requiring a cross-agency response, such as adolescent pregnancy, chemically-exposed infants, youth gangs, and school dropouts. They also have been developed to address youth concerns more broadly since these specific problems are often interrelated.

As used here, administrative-level collaborative initiatives are not simply reorganization efforts designed to change organization charts and agency structure. Rather, they focus on enabling different institutions serving the same families to solve common problems. Agency structure matters a lot less than human relationships in fashioning strategies to solve mutual concerns.

Interagency collaboratives at the administrative level can identify areas in which more coordinated approaches among providers are needed. They also can help participating agencies better understand the various roles each plays in the child and family-serving system. Understanding each other's organizational demands often can lead to a greater willingness to take an extra step in one's own job and not to see other agencies as “part of the problem.”

According to one local agency director involved in a collaborative venture, what “broke the ice” was the recognition that all participants were committed to the same end—producing drug-free, nonabusive families able to help their children avoid the problems of adolescent pregnancy and juvenile delinquency, and succeed in school. “It came as a revelation to many of us that juvenile justice, child welfare, education, and

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public health officials actually shared this goal," he said.

Interagency Collaboration at the Service Level

A second level at which collaboration can occur is among line workers in different agencies. Ideally, whatever "formal" agreements exist between a school and the department of human services, department of human services social worker Ginnie, must get on the phone to school counselor Ken to compare notes and plan actions for Jessica and her family. "Collaboration ultimately is people working with people," states Toby Herr, project director of an employment program called Project Match in Chicago's Cabrini-Green housing project:

"A good worker gets to know what workers you send clients to in what agencies, and what types of follow-up you need when you do. You have to be able to assess the strengths of people in other organizations and use them accordingly. It's not the formal job responsibilities people have; it's what they actually do for clients that is important."

Developing this knowledge base about other people and resources in the community is

critical to cross-agency collaborative strategies.

Intra-Agency Collaboration

A third level where collaboration should exist is between the frontline worker and other workers in the same agency, particularly other frontline workers and immediate supervisors. If the frontline worker is to be given greater discretion in working with families and to do more than mechanically apply rules and procedures, organizational policies must be developed that support these increased expectations. A hierarchical work setting, with the worker at the bottom of the authority pyramid, is not consistent with the degree of responsibility the worker is expected to bear. A collegial setting, where frontline workers collaborate with supervisors, other workers, and staff, both in handling individual cases and in setting agency goals, balances responsibility with authority and enhances the capacity of workers to collaborate with clients.

Worker-Family Collaboration

A fourth level at which collaboration should exist is between the frontline worker and the family. In collaborative efforts at this level, the worker becomes the caring adult

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LEVELS OF COLLABORATION

Level 1 Interagency Collaboration— Administration

Administrators at the state or local levels manage agencies to facilitate interagency and intra-agency collaboration through protocols, interagency agreements, staff organization, staff incentives, and job evaluation systems.

Level 3 Intra-Agency Collaboration

Workers at the frontline, service-delivery level are given discretion in serving clients, provided support for decision-making, and involved in agency planning.

Level 2 Interagency Collaboration— Service

Workers at the service-delivery level in various agencies are given incentives and support for joint efforts with staff in other agencies.

Level 4 Worker-Family Collaboration

Frontline worker and family members determine needs, set goals, and work toward greater family autonomy and functioning.

who can connect with the family and provide guidance. The relationship here is not hierarchical, with a desk separating client from worker and a set of rules and regulations dictating the worker's response to a client's request for help. Instead, the provider works in partnership with the family to develop and achieve goals that lead toward self-sufficiency.

To achieve this level of collaboration, workers must be appropriately recruited, trained, and supported in providing such assistance, whether they are in the school system, the social welfare system, the juvenile justice system, the mental health system, or the community service system. Since the worker must help each family in setting jointly agreed-upon goals, the worker must exercise considerable discretion and exhibit substantial skill and flexibility in problem-solving. Most workers cannot assume such responsibilities without being freed from the paperwork and accountability systems upon which their jobs currently are structured and upon which they are evaluated.

These four levels of collaboration are interrelated and interacting. From the bottom up, workers are likely to work in collaboration with their clients only if their own work setting is conducive to collaboration. They must be rewarded for devising creative solutions for families rather than for following prescriptive organizational regulations. If that is the case, interagency collaboration among workers is more likely to be accepted and rewarded by the agencies involved in such work. Agencies, however, are likely to be able to provide workers with the time for this involvement only to the extent that statutory responsibilities, procedural dictates, and financing systems support such activity. Finally, by providing feedback on the collaborative initiatives undertaken at the administrative level, frontline workers themselves can provide a valuable perspective on systemic changes needed to better serve families.

From the top down, state interagency planning must be implemented at the local, service-delivery level. If planning is to produce changes for children and families,

incentives for local staff to collaborate must be provided from those at the top. Interagency planning will produce success only to the extent that workers are given the discretion to develop cross-agency linkages. Workers who are given authority to make decisions and are provided back-up support and feedback on their activities are most likely to work with families in an innovative, client-centered manner. In short, at all levels of organization, the atmosphere must be favorable to collaboration and partnership.

Successful collaborative initiatives may start at any one of these levels of organization, although they most frequently begin either at the administrative planning level or the worker-family level. Because they interact, success at any one level is likely to lead to calls for collaboration at all other levels.

QUESTION #4

- Q. How do we know if collaboration is happening and if it is working?
- A. In the long run, interdisciplinary outcome measures that show reduction in major risk factors, (e.g., adolescent pregnancy, infant mortality, family instability, school dropout, abuse and neglect) must be the goal of collaborative efforts. Until corresponding evaluation methods are devised, however, no higher standard of proof for collaborative initiatives should be required than for mainstream, traditional services. In addition, process-oriented measures such as agreement among clients and workers that services are improving should also be considered valid indicators of success.

The goal of collaboration is much greater than simply changing the processes by which services are provided. Its ultimate aim must be to successfully address family or societal problems that are unlikely to be effectively managed by persons or agencies working separately. In the long-term, the value of collaborative initiatives must be measured in terms of their success in eliminating or reducing the difficulties that place our children

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and youth at risk—adolescent pregnancy, infant mortality, family instability, school drop-out, child abuse and neglect, drug involvement, delinquency, youth unemployment, suicide, mental illness, and poverty.

Because collaborative strategies are designed to be interdisciplinary and family-centered, judgments of effectiveness should be comprehensive and interdisciplinary rather than narrowly defined or single-agency focused. For example, by pooling resources and expertise, a collaborative effort to help adolescent mothers become better parents has the potential to increase maternal school-completion rates, reduce the likelihood of second pregnancies, help birth fathers become involved in employment and training programs, and increase the identification of infants with special health needs. It may even convince high schools to provide on-site day-care and to offer alternative programming both for adolescent mothers and other students at risk of dropping out, thereby improving school attendance for all students significantly. Taken together, the returns on investment from these positive outcomes may more than justify the initial investment in the teen-parenting program. If the program were judged only on improved parenting skills, however, critics might argue that program outcomes were not sufficient to warrant continued program expenditures.

In fact, the use of a number of measures of program impact in the Perry Pre-School Project in Ypsilanti, Michigan, was instrumental in demonstrating the public rates of return on investments in high quality, early childhood programs. When children in the Project were tracked over a 15-year period and contrasted with a comparison group, the study showed improved school performance, reduced use of special education services, reduced welfare use, increased employment, and reduced juvenile court involvement for those children participating in the early childhood program. Calculations of averted costs to society from these improved outcomes showed a return of more than three dollars for every dollar expended on the program.

These results and others like them have been so dramatic that they occasioned the Committee for Economic Development to state in its report, *Children in Need*, that the country cannot afford *not* to invest in such programs. The Perry Pre-School Project itself was a very comprehensive initiative that emphasized a collaborative spirit at the worker-family level (although it was not a cross-agency collaborative initiative). The emphasis upon program impact evaluation across a wide array of developmental areas was critical to measuring the program's effect.

A major lesson of this Project is that considerable patience is required to evaluate properly the impacts of any initiatives that seek to alter the life trajectories of fragile families. Improved long-term outcomes in the Perry Project were not reflected in cognitive gains measured over shorter periods of time. In fact, by third grade the differences between treatment and comparison groups on cognitive skills had disappeared, although children in the treatment group had better attitudes and orientations to school. If broader measures than cognitive gain had not been employed, and the children not followed over a longer period of time, interpretations of the Project's value would have been quite different.

Further, unless initiatives are so comprehensive in scope that they seek to affect poverty rates and community employment and housing needs, they cannot be held accountable for failing to show positive outcomes for families who suffer persistent poverty, unemployment, and bad housing. This is especially true for collaborative initiatives undertaken in distressed neighborhoods and communities.

While outcome-oriented evaluations should be sought, a higher standard of proof for the value of a collaborative initiative should not be required than for existing, mainstream programs or state initiatives. Outcome-based evaluation methodologies for services provided in the complex, social world are still evolving and require adaptation just as the collaborative initiatives that are the subject of evaluation are evolving and require the flexibility to adapt.

In addition to seeking outcome-based evaluations to measure the effect of collaborative initiatives, there also should be evaluations based upon inter-subjective, process-oriented measures. If effective initiatives are implemented at the top levels of organization, they should be reflected in what is occurring within the families for whom the collaborative initiatives are deemed appropriate. If services are still being provided in a fragmented and uncoordinated fashion to multi-system families, or if families in need of assistance are still falling through the cracks, collaborative approaches have not been effectively implemented. Alternatively, if evaluations indicate sharing of resources among workers in different agencies and client involvement in goal setting and attainment, collaboration is occurring.

Initially, the issue of whether or not collaboration is occurring may best be reflected

in how people's attitudes have changed toward their roles. Client and worker assessments of the services they are receiving or delivering can provide insight into the collaborative's effectiveness. If there is a sense of client and worker empowerment and enthusiasm in an initiative, that is a good sign that collaborative strategies are being employed. If not, there is little likelihood that the initiative itself is going to have much impact upon clients' lives. In a complex world, particularly where families face significant environmental risks, identifying the impact of collaborative strategies will be particularly challenging. If cost-effective strategies are to be identified, they ultimately must be based upon a broad, rather than a narrow, view of program success based on multiple indicators of improved outcomes for children and families.

Outcome-based evaluation methodologies for services provided in the complex, social world are still evolving and require adaptation, just as the collaborative initiatives that are the subject of evaluation are evolving and require the flexibility to adapt.

CHAPTER TWO: TOP-DOWN STRATEGIES— BOTTOM-UP COLLABORATION

To the extent that local initiatives are involved in the evolution of state-level regulations, evaluation systems, and rules governing their initiatives, they will be more likely to implement these policies effectively.

Most state-level efforts to improve collaboration represent one of three different approaches. *First generation approaches* are initiated from the top down, usually through the establishment of interagency task forces, councils, commissions, or committees. *Second generation approaches* support local col-

laborative initiatives, often in the form of demonstration projects. *Third generation approaches* involve comprehensive, collaborative initiatives applied to all levels of organization in all parts of the state. While a *first generation approach* is still the most common method to foster collaboration, an increasing number of *second and third generation approaches* are being undertaken by states.

STATE APPROACHES TO FOSTER COLLABORATION

First Generation Approaches

Through the establishment of interagency groups (task forces, commissions, committees, or councils), state policy makers direct agencies to plan together to address child and family needs.

Second Generation Approaches

States finance and provide guidance and technical assistance to local collaborative initiatives through multi-site demonstration projects. Sites are selected for their ability to develop models to meet child and family needs that could apply to other parts of the state.

Third Generation Approaches

Building on the experiences of multi-site demonstration projects, state policy makers design comprehensive, statewide collaborative approaches to meet child and family needs, incorporating strategies to develop the leadership base needed to support successful programs.

QUESTION #5

- Q.** First generation approaches: How effective can state-level interagency groups be in reducing system fragmentation and improving services to children and families?
- A.** First generation efforts begin the communication process but unless states take specific steps they will fail to address difficult restructuring issues. Such initiatives can be catalysts to broader change, however, if they develop clear and specific goals, are provided the authority to implement policies to meet their goals, and remain responsive to the needs of those who will be providing and receiving services.

A typical *first generation* response to service fragmentation at both the federal and state level has been to require, through budget authorization, statute, or executive order, the development of an interagency group (task force, commission, council, or committee) to conduct joint planning or to oversee and direct the expenditure of funds.

Many federal programs designed to serve special populations and administered through the states require states to develop interagency councils to coordinate planning and service delivery as a condition for receiving federal funds. Examples include P.L. 99-457 (reauthorizing certain programs created under the Education of All Handicapped Children Act and authorizing early intervention programs for infants and toddlers with handicapping conditions); P.L. 100-77 (Stewart B. McKinney Homeless Assistance Act), the Maternal and Child Health Block Grant and its programs for children with special health care needs, the Family Support Act of 1988, the Job Training Partnership Act, and the National Institute of Mental Health's Child and Adolescent Service Program (CASSP). (Interestingly, each of these calls for collaboration has been issued through separate funding streams, yet they focus on many of the same children and families!)

States also have developed their own interagency groups to bring multiple perspectives to bear on a wide range of child and family issues, including commissions on chemically-exposed infants, adolescent pregnancy and parenting, drop-out prevention, welfare reform, child sexual abuse, and adolescent suicide. Councils and commissions with even broader foci—children at risk, the changing family, and families and the workplace—also have been established, often including community and corporate leaders as well as public sector representatives.

These *first generation approaches* represent efforts to establish collaborative links at the state administrative level (that organizational level closest to state funding decisions but most removed from actual contact with clients). The obvious benefit of these interagency groups is that they bring people who otherwise may have no contact with one another into the same room to begin to share information.

In exceptional cases, these interagency groups have been catalysts for significant changes at other levels of organization. In general, however, the results of these efforts have been mixed. Rather than serving

as catalysts for major change, they far more often have produced a *pro forma* response to legislative or executive mandate.

Factors Limiting the Success of Interagency Groups

One reason for the disappointing performance of many interagency groups is that responsibility for attending meetings is relegated to those without significant decision-making authority or with little interest in changing the manner in which their own agency interacts with other agencies.

A second reason is that available resources to support these undertakings are not adequate. If members are provided no significant incentives for their collaborative work—such as relief from other duties and incentives to work on the group's tasks, authority to redirect agency resources, or ability to finance and implement group recommendations—members are likely to expend only as much effort as is necessary to meet minimum requirements. Freeing good staff people to work on collaborative initiatives is not a costless action. Effective collaboration often requires tens, if not hundreds, of thousands of dollars in collective staff time.

A third reason for the limited success of many first generation collaborative activities is that interagency groups are unlikely to develop recommendations that will be perceived as threatening any one partner's existing activities. Since the one predictable requirement of each such group is to deliver a report, members generally can achieve easy consensus on a number of points. Common conclusions include the following:

- Current resources are insufficient to solve the problem at hand.
- Additional study is needed to fully understand the issue and to plan a successful resolution that will address all contingencies.
- A variety of obstacles exists which must be overcome before agencies can change their operations (confidentiality provisions, co-campusing needs, federal funding restrictions, eligibility criteria, etc.).

Freeing good staff people to work on collaborative initiatives is not a costless action. Effective collaboration often requires tens, if not hundreds, of thousands of dollars in collective staff time.

- Each agency represented already is understaffed and requires more resources to take on any additional responsibilities.
- Underlying societal issues have created the problem at hand. Dealing effectively with these issues (expanding prevention and early intervention services rather than dealing only with clients in crises, educating everyone in society, ending poverty, etc.) is the real solution to the problem.

However true these may be, state policy makers should realize that these responses

do little to reduce service fragmentation or to challenge agencies to examine their own categorized way of doing business, and do even less to directly improve the lives of children and families.

State Actions to Improve First Generation Approaches

Although policy makers should not underestimate the difficulty of using *first generation approaches* to achieve cross-agency reforms, *first generation* initiatives can serve as an impetus to system reform if state action truly

Policy makers can increase the likelihood that interagency groups will serve as catalysts for reform. . . . An interagency group can be clearly directed to develop . . . measurable goals and to propose action steps to meet those goals.

QUESTIONS TO ASK WHEN PLANNING FIRST GENERATION COLLABORATIVES

- | | |
|--|--|
| <ul style="list-style-type: none"> <input type="checkbox"/> Is there a clearly defined problem identified that the interagency group is designed to address? <input type="checkbox"/> Does each member of the group identify this problem as pertinent to their organization's other responsibilities as well as to the group itself? <input type="checkbox"/> Does the mission of the group require the development of measurable goals, based upon child and family outcomes? <input type="checkbox"/> Does the responsibility of the group include the development of action steps, and time-frames for taking those steps that will be attempted in order to meet those goals? <input type="checkbox"/> Are all key stakeholders represented on the group, and/or is there a process to assure that additional stakeholders can be added and that the group is inclusive? <input type="checkbox"/> Is the group organized—through appropriate subcommittees and advisory groups, as well as a decision-making body—to enable it to make decisions and implement policy in a manageable fashion? <input type="checkbox"/> Is sufficient status given to the group that representatives selected from each organization are influential within their organizations and can carry forward to their organizations the recommendations of the group? | <ul style="list-style-type: none"> <input type="checkbox"/> Is there a strong role for local and front-line staff input to group deliberations, not only to provide feedback but also to set direction? <input type="checkbox"/> Are there mechanisms in place to obtain meaningful participation from families to be served, at least to serve as a reality test? <input type="checkbox"/> Are members provided sufficient support (time off from other duties, staffing, etc.) to meet their responsibilities to the group? <input type="checkbox"/> Is the group given sufficient authority so that members implement its recommendations? <input type="checkbox"/> Is there appropriate independent staffing for the group, to provide the group with the information it needs to function? <input type="checkbox"/> Is technical assistance available to facilitate and guide meetings or to provide specific expertise on issues raised by the group, to assure that the group can move forward and avoid as many dead-ends as possible? <input type="checkbox"/> Is the guiding thrust of the group for each member to seek ways their respective organizations can help to meet the collective goals shared by the group? |
|--|--|

enables groups to tackle tough issues. Policy makers can increase the likelihood that interagency groups will serve as catalysts for reform. First, an interagency group can be clearly directed to develop specific proposals for improving services through collaboration. This directive can use cases to illustrate the problems in the present system. Groups also can be charged to develop measurable goals and to propose action steps to meet those goals. Members can be required to identify how the problems the group is addressing also negatively affect their own agency's efforts to help children and families.

Second, the group can be given authority to direct new funds into collaborative initiatives, to restructure existing regulations under which separate agencies may operate, or to have some degree of control over existing agency budgets. In short, the agencies involved in the interagency group can be required to share some of their individual authority.

Third, members of the interagency group can be selected for their status in their agencies and provided with staff support and release time for group-related responsibilities. Since it is essential that the agencies become "invested" in the group, service on the interagency group should not be assigned to personnel with little standing or influence.

Fourth, groups can be structured to involve local service deliverers (both in terms of input and feedback) to help assure that planning at the administrative level is connected to implementation at the service-delivery level. More than nominal membership on the group will be necessary to achieve this critical link.

Fifth, interagency groups can be designed to include all key agencies and decision-makers to ensure that essential players are not left out. In addition to the identification of initial membership, groups can be directed to open their memberships to all appropriate and interested entities. They must, however, make sure to remain manageable and able to make decisions and set policy.

Sixth, interagency groups can be provided realistic time schedules for developing their proposals, recognizing that reforming deliv-

ery systems is an extremely process-intensive, time-consuming activity.

While a group's activity is likely to be dynamic, adapting to new demands and to the personalities and perspectives of its members, the initial directives to a group are very important for they set expectations for the group's activity.

QUESTION #6

Q. Second generation approaches: What strategies can state policy makers initiate to further collaboration at the local level?

A. Second generation state initiatives establish collaborations at the local, service-delivery level on a demonstration basis. By offering specific incentives to communities or programs which support collaboration, these initiatives constitute top-down strategies for supporting bottom-up services. To develop effective local collaboratives, states can design site selection criteria that reward collaboration at all organization levels, offer technical assistance and regulatory flexibility as well as financial supports, and provide the time and incentives necessary to build working relationships and agree on shared goals.

To be successful, *second generation approaches* must recognize and address the obstacles local agencies face when collaborating. Some of these obstacles are external to the local agencies, but some are likely to be reflected in each agency's structure and how it works with children and families.

Challenges to Fostering Local-Level Collaboration

First, collaboration challenges the authority structure inherent in most organizations. All partners must share responsibility and authority when establishing goals and developing plans to meet those goals. At the top administrative level, this sharing may be seen as "giving up power." At lower levels

As collaboration is to some extent the art of "continuous problem-solving," solutions must be tailored to specific clients and circumstances.

of organization, it may be seen as a threat to the current status an employee holds within the organization.

Second, collaboration allows others to challenge the assumptions of one's profession or occupation. Collaborators must work with others who do not respond to the same professional tenets and practice guidelines. Their own beliefs and views are likely to be challenged by those with differing perspectives and they will be forced to justify their professions' assumptions. To the extent that professional boundaries are eliminated, some practitioners will feel uncomfortable and threatened.

Third, collaboration requires the abandonment of mechanical decision-making. As collaboration is to some extent the art of "continuous problem-solving," solutions must be tailored to specific clients and circumstances. Rules must be modified and made less rigid. The regulation manual cannot serve as the determinant of one's job performance unless it makes clear that the primary rule is to "get the job done to help the client." Regulations and rules are designed to make jobs more routine and to provide more quality control, uniformity, and equity, yet rigid adherence to standard service delivery patterns destroys the flexibility needed to provide children and families with what they need when they need it. Some workers may feel uneasy when they cannot justify their actions simply by pointing to a set of regulations, but instead must measure the effectiveness of their services by their impact on the problems they seek to resolve. Under current conditions, many workers are untrained and unprepared for this degree of discretion and responsibility.

Fourth, collaboration is time-consuming. Communication needs to occur, and the positions, roles, and responsibilities of others need to be learned. This time must be added in when calculating caseload size or other responsibilities. Committed persons sitting through meetings discussing coordination or collaboration often privately ask themselves, "Wouldn't it be easier for me just to do this myself?"

Fifth, worker accountability must be measured differently. The time expended upon

collaboration is difficult to measure in terms of units of service provided, and the individual activities undertaken in a job are dependent upon factors outside the ability of the worker alone to determine. Workers should not be judged by how well they followed the manual, but, rather, by how skillfully they have engaged others in developing and implementing successful solutions to problems, many of which will be seen only in the long-term outcomes for the family.

Sixth, program accountability must be redefined. If programs are to "creatively problem-solve" rather than strictly follow administrative rules or professional practice standards, program evaluation must be driven toward measuring outcomes, i.e., whether the problem was solved. This outcome measurement may seem threatening, particularly when programs believe that external factors impede their ability to solve problems. If the teacher is responsible not only for preparing a good lesson but also for ensuring that students learn from it, he or she will want assurances that students are eager to learn, not distracted in the classroom, and able to spend time at home studying. If the teacher does not feel these other requirements are being met, he or she may rebel against an evaluation of teaching effectiveness based upon student performance. Nevertheless, the system must be held accountable for meeting desired outcomes and workers must share responsibility for achieving specified results.

Seventh, many existing sources of funding, both state and federal, are categorically-based. While states may modify the conditions under which state funds are provided, federal funds may remain restricted to certain conditions or clients. Because of their magnitude, such federal funding sources as Chapter One (compensatory education), IV-E (foster care), AFDC (Aid to Families with Dependent Children), and Title XIX (Medicaid) cannot be ignored in developing state initiatives to serve children and families, particularly those most at risk.

Meeting the Challenges

States can take many steps to meet these challenges to successful collaboration.

If programs are to "creatively problem-solve" rather than strictly follow administrative rules or professional practice standards, program evaluation must be driven toward measuring outcomes, i.e., whether the problem was solved.

When states finance or authorize specific local demonstration projects, policy makers can design requests for proposals which reward collaborative strategies. At a minimum, letters of support from related agencies can be required as part of grant applications. Evidence of the manner in which clients will be engaged by the program and share in the program's development, and discussion of the responsibilities and authority that will be vested in frontline workers can also be required. States can recommend that applicants conduct focus groups, both with frontline workers and with the families they serve, as they design their grant proposals. It can be made clear at the outset that demonstration programs will be evaluated on a broad range of outcome measures.

Policy makers also can provide ongoing technical assistance and staff support, including group process work, in the development and evolution of those grant programs. Rather than approaching local demonstration sites from a traditional regulatory and accountability perspective, policy makers can offer more flexibility in program design while clearly delineating desired program outcomes. At the same time, they can work with the local sites to develop comprehensive, outcome-based evaluation systems.

These actions can help provide the time and resources necessary for potential collaborators to understand each other's roles and agree on shared goals—two major prerequisites of success. According to one student of collaboration, people may go into a collaborative venture with good intentions but they are likely to underestimate the obstacles to implementing change. Participants often assume that the major goal of collaboration is to get *others* to change the way they do their jobs. It is only when they accept their own responsibility to change the way *they* do things, in order to make other people's work more productive, that participants become partners. "The first sign that a collaboration meeting is moving somewhere," this student indicated, "is when people start their sentences with 'I could try. . .'" Frequently, it takes a substantial amount of time simply to get people's individual agendas on the table,

let alone to build a collaborative agenda. State policy makers can aid in the process by putting into sharp focus the specific problems the collaborative process is designed to solve.

Healthy and secure agencies usually find it easier to collaborate than those in less favorable circumstances. Agencies mired in budgetary or other crises, lacking in leadership, or subject to internal dissension are less likely to negotiate as equals with collaborative partners. The health of key agencies and their leadership should be assessed when selecting localities for *second generation* collaboration initiatives.

Particularly when the impetus for program change has come from the state rather than the local level, it is important that state policy makers provide local communities with technical assistance and support. Facilitators skilled in group process work may be needed to challenge partners to look at issues differently. Without forward thrust, participants may simply hold their own ground and block decisions that could make them do things differently. With engagement, however, comes ownership of collaborative goals and the potential for institutional change. "Sharing power" does not necessarily mean giving up power.

State policy makers can provide state regulatory flexibility to reduce external obstacles to collaboration. They can encourage evaluation designs that include both internal accountability measures and "family outcome" measures. Providing collaborative initiatives with "regulatory relief" and/or a streamlined method to handle problems, frequently expedites collaboration. To the extent that local initiatives are involved in the evolution of state-level regulations, evaluation systems, and rules governing their initiatives, they will be more likely to implement these policies effectively.

Finally, state policy makers can make sure that the salaries, support, and training for the workers who are responsible for collaboration are commensurate with the skills they will be required to exhibit. As positions move from administering regulations to problem-solving, the need for training, support, and compensation increases.

Rather than approaching local demonstration sites from a traditional regulatory and accountability perspective, policy makers can offer more flexibility in program design while clearly delineating desired program outcomes.

QUESTIONS TO ASK WHEN DESIGNING SECOND GENERATION DEMONSTRATION PROJECTS

- Is there commitment from the state to provide sufficient flexibility to allow local programs to adapt and develop?
- Has any request for proposal (RFP) drafted to be used in the selection of projects emphasized a collaborative philosophy, encouraged local adaptation, and discouraged traditional service or categorical boundaries in describing activity?
- Are proposals evaluated on the basis of inclusive planning and organizational decision-making, provision of appropriate support for frontline workers, and family-centered services at the worker-family level?
- Is attention given in site selection to projects whose key organizations and organizational leadership are committed, healthy, secure, and ready for risk-taking?
- Are technical assistance, support, and guidance available to assist demonstration projects to resolve problems that arise?
- Is there a strong evaluation component for project efforts that both the state and the local projects recognize as legitimate and valuable for program development?
- Is there a mechanism for individual projects to share experiences with one another?
- Are there mechanisms for local projects to gain quick access to state systems, particularly for "regulatory relief" from state standards that impede project development?
- Is there sufficient support—both financial and organizational—for key personnel in the project, including the frontline staff who will be in direct contact with children and families?
- Are there rewards and supports established within the system to support risk-taking occurring at the local demonstration project level?

Providing collaborative initiatives with "regulatory relief" and/or a streamlined method to handle problems, frequently expedites collaboration.

QUESTION #7

- Q. Third generation approaches: What strategies can states employ to promote collaboration across all jurisdictions, including those where obstacles are greatest?**
- A. Statewide approaches must develop local leaders to serve as change agents and provide support in jurisdictions where greater capacities for change must be developed. Intermediaries— formal organizations jointly supported by the state and local initiatives—can provide leadership training, technical assistance and oversight and make tough resource decisions when initiatives fail to meet realistic goals.**

First and second generation approaches can provide state-level administrators with experience in working collaboratively with each other and with local programs; determining what strategies seem most effective in nurturing collaboration at the service-delivery level; and trying different models for adaptation to other communities within a state. Collectively, these state actions set the stage for moving to the next, most difficult step in supporting collaboration — *third generation approaches* that promote collaboration statewide and across all jurisdictions. Second generation approaches are likely to attract those local communities most eager to adopt collaborative approaches; the challenge in third generation approaches is to implement collaborative initiatives in communities where that eagerness does not exist and where obstacles to collaboration are greatest.

If third generation approaches are to be successful, state policy makers will have to provide support for leadership development within communities where the necessary attributes for collaboration do not exist. State-level guidance and direction may be more useful than mandates and requirements. States, however, also must be in a position to redirect community resources away from agencies or entities that are not taking a collaborative approach, toward those that can.

Most collaborative initiatives, even when they involve efforts at replicating well-developed and defined models, inevitably undergo some re-invention and adaptation as they fit within the unique circumstances and resources of each local context. To ensure local adaptation, it is critical that statewide approaches to collaboration develop resource people who can serve as *change agents*, with all the skills that term implies.

A strong complement of second generation initiatives can help produce appropriate resource people for third generation efforts. *Intermediaries* can also be created to develop local leadership. As used here, an

intermediary is a formal organization that is supported jointly by the local initiative and the state. The responsibilities of an *intermediary* can include providing hands-on technical support and leadership development for new initiatives, developing and conducting training programs required by the initiatives, networking and providing a vehicle for sharing problem-solving experiences among initiatives, and developing and implementing monitoring and oversight mechanisms for the initiatives. Consistent with the overall definition of collaboration, such intermediaries are neither controlled solely by the state system nor do they represent an association of programs. Instead, the *intermediary* serves an advocacy, problem-solving, brokering, and oversight role for the statewide initiative.

One of the most difficult issues faced in statewide reforms is in providing accountability and oversight. The intermediary can play a critical role in this capacity. Particular attention must be given to the potential for "model drift," in which new initiatives modelled after successful projects make local adaptations that are not collaborative in

... an *intermediary* can include providing hands-on technical support and leadership development for new initiatives, developing and conducting training programs ... networking and providing a vehicle for sharing problem-solving experiences ... and developing and implementing monitoring and oversight mechanisms.

QUESTIONS TO ASK WHEN DEVELOPING THIRD GENERATION STATEWIDE COLLABORATIVES

- Are there clear models embodying the collaborative philosophy that can be identified for replication or adaptation statewide?
- Have the "critical attributes" of those models been described clearly, and is there a strategy for developing those attributes in new projects?
- Is there a strategy and capacity within the state for providing the necessary technical assistance and guidance to develop key attributes in new sites throughout the state?
- Are existing exemplary projects integrally involved in providing that assistance and themselves given the support needed to offer this guidance?
- Is there support for an intermediary or other formal structure that can provide technical assistance, advocacy, problem-solving, and monitoring for new sites?
- Are there quality control techniques and instruments being developed that can seek to identify "model drift," distinguishing between formal project structure and project essence?
- Are any sanctions or other mechanisms established to deal with projects failing to meet their goals regarded as legitimate and appropriate by the local projects being developed and is the entity with the power to levy these sanctions also regarded as legitimate and appropriate?

approach or fail to provide the comprehensiveness and intensity of services needed to help children and families. The intermediary can be instrumental both in reducing the likelihood that model drift occurs and identifying it when it does.

States that have moved farthest to develop statewide strategies for supporting local collaboration have recognized the need

for a new structure, much like the *intermediary* described above, to nurture the development of initiatives and to make tough decisions on those which have failed to achieve agreed-upon goals. However that structure is designed, it must be regarded as legitimate and effective by both the local initiatives and by state policy makers.

Particular attention must be given to the potential for "model drift," in which new initiatives modelled after successful projects make local adaptations that are not collaborative in approach or fail to provide the comprehensiveness and intensity of services needed to help children and families.

CHAPTER THREE: OTHER IMPORTANT COLLABORATION ISSUES

Collaboration is not a process that should exist solely within the public sphere nor is it a process that, when implemented poorly, is free from potential damage.

Finally, it is far from the solution to all problems faced by children and families.

QUESTION #8

- Q. What is the role for the private sector in collaboration initiatives?**
- A. Private sector involvement provides political and financial support for government action by increasing the visibility of child and family issues, by developing a valuable source of volunteer citizen oversight focused on measurable objectives, and by generating additional funding free of government red tape. Ultimately, the private sector's most important contribution must be expanding employment opportunities including the creation of salaries and working conditions sensitive to the needs of employees who are also family members. An ongoing educational process that recognizes the limits on the time of private sector leaders will be necessary to take full advantage of private sector potential.**

In recent years, numerous "public/private partnerships" have been spawned as a means of supporting at risk youth. This private sector involvement offers several potential benefits to collaborative efforts.

First, private and corporate sector involvement lends greater visibility to child and family issues and provides additional legitimacy to policy proposals addressing those concerns. Corporate participation can be instrumental in establishing initiatives and may increase the publicity surrounding them through active use of the corporation's own public relations resources.

Second, private sector involvement can provide seed funding for new or innovative approaches to child and family concerns. If corporate leaders become convinced of the value of collaborative efforts, they often can provide funding with fewer strings and regulations attached than come with public dollars.

Third, private sector volunteers can provide one-to-one guidance, support, and role models for children and families. Although more difficult to obtain than either verbal or financial support, hands-on community involvement by private sector leaders can provide valuable, two-way learning opportunities.

Fourth, citizen oversight generally improves public sector accountability. The involvement of business leaders in strategic planning can encourage outcome-based program evaluation. Business leaders are likely to raise questions of both efficiency and effectiveness in service delivery and demand that initiatives be held accountable to clearly stated and measurable goals. This involvement also can help business leaders understand the need both for long-term commitment to initiatives and for realistic expectations.

To make these important contributions, private sector involvement must be care-

. . . the private sector's most important contribution to meeting child and family needs may be to provide employment to youth commensurate with their work skills and work readiness and to establish working conditions that reflect the needs of workers who are family members as well as employees.

fully nurtured. In general, private sector leaders are not aware of the tremendous obstacles most fragile families face in providing support for their children. An appropriate educational process must be developed while recognizing the demands on these leaders' time and the need to put their talents to efficient use.

Overall, the private sector's most important contribution to meeting child and family needs may be to provide employment to youth commensurate with their skills and work readiness and to establish working conditions that reflect the needs of workers who are family members as well as employees. Armed with a better understanding of the barriers many families experience in seeking economic self-sufficiency, business leaders may begin to critically assess the structure of work itself and, where possible, change that structure to remove those barriers. The private sector may be willing to establish compacts that guarantee employment to youth commensurate with the skills and work readiness those youth obtain. Further, the report of the Commission on the Skills of the American Workforce, *America's Choice: High Skills or Low Wages!*, argues that there is the potential for this restructuring within many, if not most, businesses in the country. Business and government must engage in substantial prior cooperative activity and relationship building, however, before they will be able to agree on joint strategies to restructure traditionally organized, private sector work settings.

QUESTION #9

Q. What are the risks in collaboration?

A. When poorly implemented or when a single agency would be more effective acting alone, collaboration can waste time and deplete scarce resources without improving children's lives. Without adequate training and supervision, authority and discretion at the worker-family level may be abused or ineffectively meet family needs.

In spite of its many advantages, collaboration is not always the best solution to every problem. Some services can and should be provided through a single agency without the need for cross-agency collaboration. Even when collaboration is appropriate, some risks remain.

First, poorly implemented initiatives may take time away from other tasks and stretch already thin resources to the breaking point, while not significantly improving outcomes for children and families. Interagency collaboration must be evaluated in terms of the outcomes it produces, compared with the resources it expends.

Second, the discretion and authority provided at the frontline worker-family level may be abused. Under the categorical system of service provision, clients may not receive what they want and may feel alienated by the bureaucracy, but it may be easier for them to use the legal or administrative system to protect their rights, since those rights are outlined categorically. A frontline worker, engaging in dialogue with a client to collaboratively define a family's needs, however, represents a more personal intervention than a worker sitting behind a desk asking well-defined, specific questions and referring to a manual. This discretion has the potential to greatly improve service delivery, but it also can be damaging. The adverse effects of poor worker performance can be much greater when the worker is given greater discretion and authority. In fact, the movement away from social workers toward income maintenance workers in the AFDC program in the 1960s was a response to the intrusiveness of the prior system and the powerlessness some clients felt at the perceived arbitrariness and prejudice of their caseworkers.

Individuals who are given the authority to use their own discretion, without the responsibility to share their authority with their clients or co-workers, can use their own prejudices and biases to the detriment of their clients. Just as collaboration at the client level holds great potential for doing good, it can do substantial harm if handled inappropriately. Training which is sensitive to multicultural issues is essential for front-

Individuals who are given the authority to use their own discretion, without the responsibility to share their authority with their clients or co-workers, can use their own prejudices and biases to the detriment of their clients.

line workers expected to exercise substantial discretion.

QUESTION #10

Q. What problems won't collaboration solve?

A. Collaboration, alone, will not resolve underlying environmental causes of child and family problems. It will not magically create the vision and skills needed for state and community leaders to tackle tough issues nor will it lessen the need for additional resources to address complex problems.

Since no one is opposed to the concept of collaboration, politicians and other policy makers can call for collaborative efforts without political risk. By making such calls, however, they may infer that the structure of the current system of delivering services is entirely to blame for the worrisome outcomes facing many American children and families. If only more collaboration occurred, suggests this reasoning, problems would be solved without the need for additional resources. Unfortunately, this is not the case.

First, by itself, collaboration will not build affordable housing for all who need homes, create a vibrant economy, provide employment opportunities that pay a decent wage, and ensure safe neighborhoods for families seeking self-sufficiency. It will not provide Head Start slots for all children who need them nor assure that families on welfare can meet basic needs. A substantial commitment

of new resources may be necessary to provide such services.

Second, although collaboration may more efficiently use currently available resources in the long run, it cannot automatically create the expertise necessary to conduct training, provide technical assistance, or develop necessary accountability and evaluation systems. If collaborative efforts are to succeed, resources must be identified and secured for start-up costs, and lead times must not be underestimated.

Finally, if children and their parents see that they have no realistic options for family-sustaining employment—regardless of the efforts they make—a service provider working in collaboration with them will not be able to establish trust by telling them otherwise. Youth won't say "no" to drugs unless they have something to say "yes" to. A worker isn't likely to be effective asking adolescents to maintain control over their sexuality if they don't feel they have control over other important aspects of their lives. If realistic opportunities for economic self-sufficiency do not exist within the community where the family lives, collaborative initiatives must address these larger community needs or resign themselves to becoming damage control efforts.

Collaborative strategies must identify all obstacles to the productive development of families and their children and target their efforts appropriately. Collaboration can be an effective strategy in surmounting many of these obstacles, but it may do nothing to surmount others. In such instances, state policy makers will have to devise other solutions if more children and families are to succeed.

Training which is sensitive to multicultural issues is essential for frontline workers expected to exercise substantial discretion.

CONCLUSION: SEVEN KEY POINTS TO REMEMBER

All families need support at some times—support that transcends any single agency's mission. . . . Collaboration among child and family-serving agencies offers an important mechanism to meet the multiple needs of parents and children.

1. **Collaboration is not a quick fix** for many of the vexing problems society faces. It will not build affordable housing, create sufficient Head Start slots for all eligible children, end poverty, or stop the tragedy of abuse and neglect.
2. **Collaboration is a means to an end, not an end in itself.** Policy makers must ask what problems collaboration is designed to solve, prior to proposing collaboration as the means to solve them. The end goal is more successful, productive lives for children and families.
3. **Developing interagency collaboration is extremely time-consuming and process-intensive.** Policy makers must recognize that the substantial resources that go into establishing interagency collaborative ventures should be expended only when the benefits of collaboration are correspondingly large. While some initiatives may leverage new resources and deploy existing ones more efficiently, collaboration will not create resources. Collaboration is not *always* the best investment of resources; depending on local needs and circumstances, some services may be better provided without multiple agency involvement.
4. **Interagency collaboration does not guarantee the development of a client-centered service system nor the establishment of a trusting relationship between an at risk child or family and a helping adult.** If that is the goal of policy makers, they must make collaboration at the worker-client level a central part of their initiatives and not trust it to occur because agencies are required to coordinate with one another at the administrative/management level.
5. **Collaboration occurs among people—not among institutions.** Workers must be supported at each level of organization where collaboration is expected to take place. Time for collaboration must be built into the work day, and workers must be rewarded for their efforts. Interagency agreements—important institutional mechanisms to clarify, formalize, and spell out relationships and to avoid misunderstandings among agencies — must be structured to support workers' interactions with colleagues within the agency, with those in other agencies, and with the families being served.
6. **Creative problem-solving skills must be developed and nurtured in those expected to collaborate.** Among these skills are the ability to deal with the ambiguity and stress that increased discretion brings. Policy makers must recognize that, if workers are expected to share responsibility and make decisions based on family needs and flexible guidelines rather than rigid protocols, they must be provided with back-up support and guidance to assure that this autonomy is wisely employed. The interpersonal, problem-solving skills required in collaboration will be skills many collaborators have not previously been called upon to use in their work.
7. **Collaboration is too important a concept to be trivialized.** It must represent more than the shifting of boxes on an agency organizational chart. If the very real needs of children and families are to be met, service providers must find ways to meet these needs more comprehensively, and more holistically. Ultimately, this will require more careful, considered, and extensive collaborative activity.

APPENDIX A

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APPENDIX B

Resources for Additional Information

American Public Welfare Association (APWA)

Beverly Yanich, Associate Director
Bard Shollenberger, Director of Government Affairs
810 First Street N.E.
Suite 500
Washington, DC 20002
(202) 682-0100

APWA is a bipartisan, nonprofit organization representing the state human service departments, local public welfare agencies, and individuals concerned with public welfare policy and practice. It advocates sound, effective, and compassionate social welfare policy and brings state and local policy leadership into national decision-making. APWA carries out a comprehensive agenda of social welfare policy research, development, and analysis and provides information and technical assistance to state and local officials and others on a variety of topics including the Family Support Act of 1988, child welfare and family preservation, economic security, child support enforcement, food assistance programs, health and Medicaid, immigration policy, and family self-sufficiency.

Center for Law and Social Policy (CLASP)

Alan W. Houseman, Executive Director
Mark Greenberg, Senior Staff Attorney
1616 P Street N.W.
Suite 450
Washington, DC 20036
(202) 328-5140

CLASP works to establish effective linkages between U.S. welfare and education systems to help address the problems of America's poor families. The Center provides information and technical assistance to state and federal officials, school personnel, and legal and policy advocates in meeting the requirements of the Family Support Act of 1988.

Center for the Study of Social Policy (CSSP)

Tom Joe, Director
Cheryl Rogers, Senior Research Associate
1250 Eye Street N.W.
Suite 503
Washington, DC 20005
(202) 371-1565

The Center provides information on the principles of interagency and intergovernmental planning, budgeting, and service delivery.

Child Welfare League of America, Inc. (CWLA)

Earl N. Stuck, Jr., Director of Residential Care Services
440 First Street N.W.
Suite 310
Washington, DC 20001-2085
(202) 638-2952

CWLA is a 70 year-old organization of over 630 child welfare agencies from across the United States and Canada. Together with the 150,000 staff members from our member agencies, CWLA works to ensure quality services for over two million abused, neglected, homeless, and otherwise troubled children, youth and families. CWLA participates actively in promoting legislation on children's issues, and provides a wide variety of membership services including research, consultation, training and publication.

Children's Defense Fund (CDF)

Denise Alston, Senior Program Associate
Education Division
122 C Street N.W.
Washington, DC 20005
(202) 628-8787

CDF, a private, non-profit, advocacy organization, gathers data, publishes reports, and provides information on key issues affecting children. It also monitors the development and implementation of federal and state policies, provides technical assistance and support to a network of state and local child advocates, organizations, and public officials and pursues an annual legislative agenda.

Council of Chief State School Officers (CCSSO)

Cynthia G. Brown, Director, Resource Center on Educational Equity
Glenda Partee, Assistant Director
400 North Capitol Street
Washington, DC 20001
(202) 393-8159

CCSSO is a non-profit organization composed of the heads of the 57 departments of public education in every state, the District of Columbia, the Department of Defense Dependent Schools, and five extra-state jurisdictions. The CCSSO Resource Center on Educational Equity is responsible for implementing various CCSSO leadership initiatives to provide better educational services to children and youth at risk of school failure. It provides technical assistance in policy formulation, develops programs and materials, holds conferences, monitors civil rights issues, and provides training. The Center also publishes a quarterly newsletter.

Council of the Great City Schools

Milton Bins, Deputy Director
1413 K Street, N.W., 4th Floor
Washington, DC 20005
(202) 371-0163

The Council of Great City Schools, the primary advocate for public urban education in America, within a national focus on urban education that includes cooperation with other organizations, articulates the positive attributes and needs of urban youth. The Council promotes public policy to ensure the improvement of education and equity in the delivery of comprehensive educational programs, and provides a forum for urban educators to develop strategies, exchange ideas and conduct research on urban education.

Education Commission of the States (ECS)

Robert M. Palaich, Director of Policy Studies
707 17th Street, Suite 2700
Denver, CO 80202-3427
(303) 299-3600

Created in 1965, ECS is an interstate compact that helps state leaders improve the quality of education. ECS conducts policy research, surveys and special studies; maintains an information clearinghouse; organizes state, regional, and national forums; provides technical assistance to states; and fosters nationwide leadership and cooperation in education. ECS priority issues include restructuring schools for more effective teaching and learning, addressing the educational needs of at-risk youth, improving the quality of higher education, and ensuring the full participation of minorities in the professions by ensuring their full participation in education.

Family Resource Coalition

Judy Langford Carter, Executive Director
200 S. Michigan Avenue
Suite 1520
Chicago, IL 60604
(312) 341-0900

The Family Resource Coalition is a national organization whose immediate goal is to improve the content and expand the number of programs available to parents that strengthen families. The Coalition serves programs, parents, researchers, and policy makers by providing information and technical assistance related to prevention program models, strategies, and research.

Institute for Educational Leadership (IEL)

Jacqueline P. Danzberger, Director of Governance Programs
Martin J. Blank, Senior Associate
1001 Connecticut Avenue N.W.
Suite 310
Washington, DC 20036
(202) 822-8405

IEL is a non-profit organization 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.

Joining Forces

Janet E. Levy, Director
Sheri Dunn, Project Associate
Robin Kimbrough, Project Associate
400 North Capitol Street
Suite 379
Washington, DC 20001
(202) 393-8159

Joining Forces promotes collaboration between education and social welfare agencies on behalf of children and families at risk. Information is available on strategies and programs for successful collaboration.

National Alliance of Business (NAB)

Center for Excellence in Education
Esther Schaefer, Senior Vice President and Executive Director
Terri Bergman, Director, Program Activities
1201 New York Avenue N.W.
Suite 700
Washington, DC 20005
(202) 289-2888

NAB seeks to help build a quality workforce for America that will provide business with highly qualified, job ready workers. The Alliance carries out its mission by working with private employers and through public/private partnerships to: 1) upgrade the skills and abilities of the existing workforce through workplace learning efforts, 2) improve the output of America's public schools by involving business in education reform, and 3) train the unemployed and under-skilled for entry into the labor force through second chance initiatives.

National Assembly of National Voluntary Health and Social Welfare Organizations, Inc.

Gordon A. Raley, Executive Director
Kae G. Dakin, Director of Membership Services
1319 F Street, N.W., Suite 601
Washington, DC 20004
(202) 347-2080

The National Assembly is an association of national voluntary human service organizations that work together to advance the mission of each agency and the human service sector as a whole. The Assembly facilitates organizational advocacy for public policies, programs and resources which are responsive to human service organizations and those they serve.

National Association of Counties (NACo)

Michael L. Benjamin, Associate Legislative Director
Marilou Fallis, Research Associate for JOBS Implementation

440 First Street, N.W.
Washington, DC 20001
(202) 393-6226

NACo is the only national organization representing county government in the United States. NACo serves as a national advocate for county concerns and assists county officials in finding innovative methods for meeting the challenges they face. In human services, NACo's mission is to assist counties in developing human services programs designed to achieve the full objectives of encouraging self-support, self-reliance, strengthening of family life, and the protection of children and adults.

National Association of Secondary School Principals (NASSP)

Timothy J. Dyer, Executive Director
Thomas Koerner, Associate Executive Director
1904 Association Drive
Reston, VA 22091
(703) 860-0200

NASSP is an association serving all school administrators in middle schools and high schools. It provides more than 40,000 members with professional assistance in managing effective schools. As a service organization, it publishes a host of materials in print, audio and videotapes, and software; it conducts conventions and conferences for professional development; it provides a national voice in government; it offers legal advice; and it conducts research into learning and instruction, among many other subjects.

National Association of State Boards of Education (NASBE)

Janice Earle, Director, Center on Educational Equity
1012 Cameron Street
Alexandria, VA 22314
(703) 684-4000

The National Association of State Boards of Education is a nonprofit, private association that represents state and territorial boards of education. Its principal objectives are to strengthen state leadership in education policymaking; promote excellence in the education of all students; advocate equality of access to educational opportunity; and assure responsible lay governance of public education. NASBE provides information on: educational policy-setting at the state level; successful programs for youth at risk, adolescent health; and early childhood education. Publications on these subjects are available.

National Conference of State Legislatures (NCSL)

William T. Pound, Executive Director
Candace Romig, Group Director
Human Services Department
1560 Broadway
Suite 700
Denver, CO 80202-5140
(303) 830-2200

NCSL serves the legislators and staffs of the nation's 50 states, its commonwealths and territories. NCSL is a nonpartisan organization with three objectives: 1) to improve the quality and effectiveness of state legislatures; 2) to foster interstate communication and cooperation; and 3) to ensure states a strong and cohesive voice in the federal system. The Children, Youth, and Families Program of NCSL offers an information clearinghouse, research assistance, technical assistance, and publications on state policy issues vital to children and families.

National Governors' Association (NGA)

Evelyn Ganzglass, Director, Training and Employment Program
Linda McCart, Director, Consortium for the Implementation of the Family Support Act (APWA, NACO, CCSSO, and NGA)
Susan Trainman, Director, Education Program
444 North Capitol Street
Suite 250
Washington, DC 20001
(202) 624-5300

NGA, representing the Governors of the 50 states and the territories, seeks to influence the shape and implementation of national policy and to apply creative leadership to the solution of state problems. NGA provides assistance to Governors and their staffs in the areas of education, social services, employment/training, and health policy through research, publications, conferences, and consultation.

National League of Cities (NLC)

John E. Kyle, Project Director
1301 Pennsylvania Avenue, N.W.
Washington, DC 20004
(202) 626-3030

The NLC represents 1,400 cities directly and 15,000 cities and towns through 49 state municipal leagues. It serves as an advocate for its members in Washington, DC; provides training and technical assistance to municipal officials; and undertakes research and policy analysis on issues of importance to the nation's cities. The Project on Children and Families in Cities is an ongoing effort to encourage and assist local officials in meeting the needs of children and families. Project activities are focused on education, child care, and collaborative strategic planning.

National School Boards Association

Thomas A. Shannon, Executive Director
Philip A. Smith, Communications Director
1680 Duke Street
Alexandria, VA 22180
(703) 838-6722

The National School Boards Association is a not-for-profit organization with four basic objectives to: 1) advance the quality of education in the nation's public elementary and secondary schools, 2) provide informational services and management training programs to local school board members, 3) represent the interest of school boards before Congress, federal agencies, and the courts, and 4) strengthen local citizen control of the schools, whereby education policy is determined by school boards directly accountable to the community.

National Youth Employment Coalition (NYEC)

Linda R. Laughlin, Executive Director
1501 Broadway, Room 1111
New York, NY 10036
(212) 840-1834

NYEC, a nonprofit membership organization, has existed since 1979 to increase and promote opportunities for the education, employment, and training of disadvantaged youth. Through a range of activities aimed at disseminating information, monitoring legislation, providing technical assistance, and promoting collaborative efforts, the Coalition brings together 60 member organizations concerned with youth employment. The Coalition holds quarterly meetings and publishes a bi-monthly newsletter.

United States Conference of Mayors

J. Thomas Cochran, Executive Director
Laura Dekoven Waxman, Assistant Executive Director
1620 Eye Street N.W.
Washington, DC 20006
(202) 293-7330

Founded in 1932, the U.S. Conference of Mayors is the official nonpartisan organization of the more than 900 cities with a population of 30,000 or more. Each city is represented in the Conference by its chief elected official, the Mayor. The principal role of the

Conference of Mayors is to aid the development of effective national urban policy, to serve as a legislative action force in federal-city relations, to ensure that federal policy meets urban needs, and to provide Mayors with leadership and management tools of value to their cities.

Wider Opportunities for Women (WOW)

Cynthia Marano, Executive Director
1325 G Street N.W.
Lower Level
Washington, DC 20005
(202) 638-3143

WOW is a national women's employment organization which works to achieve equality of opportunity and economic independence for women. WOW coordinates the Women's Work Force Network, connecting 450 local employment and training programs and serving 300,000 women each year. WOW's resources include program models and technical assistance guides related to combining literacy and employment training for single mothers.

William T. Grant Foundation Commission on Work, Family and Citizenship

Harold Howe II, Chairperson
Samuel Halperin, Study Director
Atelia I. Melaville, Senior Associate
1001 Connecticut Avenue, N.W.
Suite 301
Washington, DC 20036
(202) 775-9731

The Grant Commission has issued two major reports and two dozen background and information papers on the special needs of the Forgotten Half, the approximately 20 million young people between the ages of 16 and 24 not likely to pursue a college education. The Commission's office works to implement the recommendations of both reports, and to improve the school-to-work transition of the Forgotten Half by raising public and scholarly awareness, building coalitions, sharing information, consulting, and providing technical assistance to federal, state, and other policy makers. Publication lists are available on request.

ABOUT THE AUTHOR

Charles Bruner serves as Executive Director of the Child and Family Policy Center, a nonprofit research center located in Iowa. He retired from the Iowa General Assembly in 1990 after twelve years of service there, first as a state representative and then as a state senator. During that tenure, he was responsible for developing legislation on a wide variety of child and family issues, including state initiatives in maternal and child health, welfare reform, child welfare, juvenile justice, education, and tax policy.

The Child and Family Policy Center (100 Court Avenue, Suite 312, Des Moines, IO 50309 (515) 243-2000) was established in 1989 to better link research and policy on issues vital to children and families. The Center conducts policy implementation workshops, provides technical assistance both within and outside Iowa, and publishes monographs and guides for state policy makers. The Center has received funding through grants from the Annie E. Casey Foundation, the Joyce Foundation, the Foundation for Child Development, and the Edna McConnell Clark Foundation. The Child and Family Policy Center was founded and is administered by Tanager Place, a charitable organization in Cedar Rapids, Iowa, whose mission is "to provide the community with leadership in the development and implementation of quality programs which successfully evaluate, treat, and educate children and families experiencing social, psychological, and emotional needs."

Dr. Bruner holds a Ph.D. in political science from Stanford University. Among his books are *Slicing the Health Care Pie: A Legislator's View of State Health Care Allocation Choices*, *Improving Children's Welfare: Learning from Iowa*, and *Improving Maternal and Child Health: A Legislator's Guide*.

EDUCATION AND HUMAN SERVICES CONSORTIUM
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An effective collaborative leader.....

- is willing to serve
- knows the community
- has a vision of the collaborative's work and can communicate it to others
- can share power and authority with other members of the collaborative
- understands the politics of the other member's organizations
- is positive and motivating to the rest of the collaborative









THE INSTITUTE FOR EDUCATIONAL LEADERSHIP, INC.

**LEADERSHIP FOR COLLABORATION:
A NATIONAL DIALOGUE**

**Summary of
June 11-13, 1992
Dialogue**

October, 1992

INSTITUTE FOR EDUCATIONAL LEADERSHIP

"Bringing People Together who can Effect Change..."

The Institute for Educational Leadership (IEL), a 28 year-old not-for-profit organization, seeks to improve educational opportunities and results for children and youth by developing and supporting leaders who work together.

IEL activities engage education and health/human service agencies, schools, school boards, advocacy groups, foundation, corporations, and all levels of government. IEL works to enhance the skills of present and emerging leaders, and facilitates collaborative efforts to create more efficient service delivery systems and enlightened public policy for children and families. Through a national publications program, IEL disseminated information about emerging trends and issues identified by research and demographic analysis.

Additional copies of Leadership for Collaboration: A National Dialogue are available at \$10.00, pre-paid, from The Institute for Educational Leadership, 1001 Connecticut Avenue, N.W., Suite 310, Washington, D.C. 20036. Volume discounts upon request.

LEADERSHIP ROLES: HOW INDIVIDUALS IN DIFFERENT LEADERSHIP POSITIONS VIEW THEIR INVOLVEMENT IN COLLABORATIVE EFFORTS

A critical aspect of collaborative leadership is learning to see issues from someone else's point of view in order to build a common vision and strategy. Using the KIVA, a learning strategy based on the culture of Native Americans in the Southwest, Dialogue participants were able to see how people in different roles viewed the same issues or questions. (See Appendix B for a fuller description of the KIVA.)

The KIVA explored the points of view of participants representing three different groups:

- Non-governmental organizations focused on the local level:** business, community-based organizations, parents and representatives of neighborhood groups;
- Government:** elected and appointed officials at the local and state levels;
- Resource Persons:** national, regional and state individuals whose work focuses on making collaboration successful.

These groups each addressed the same three questions: 1) How has collaboration benefitted your constituents, your organization and you? 2) Why has collaboration been so hard? and 3) How is your leadership making a difference? Participants, after each group engaged in public *dialogue* on these questions, had the opportunity to ask clarifying questions and join in a small group *dialogue* about what they had heard. This process was repeated for each group. While there are some differences in perspective, what was most striking were the common themes that surfaced across the three different groups in the KIVA that are summarized below.

- Conversations on collaboration should emphasize what people and agencies are "getting," not what they may be "giving up," what they will gain, not what they will lose.** Participants suggested that agencies and agency leaders are too often driven by institutional imperatives that place the agency, its programs and its budgets above the needs and concerns of the consumers -- the customers -- whom the agency is intended to serve. This focus on "turf" often leads agencies to think more about what they are giving up than what they might gain in a collaborative endeavor. If better outcomes for children and families are to take precedence over agency needs, then there must be a fundamental shift by agencies to view their resources as part of a larger community system that is working for families.

Leadership for Collaboration:

- **Better outcomes require a collaborative effort that rearranges the old way of doing things and provides leverage for change.** In many instances, this will mean "breaking up an established club" in order to include new people and organizations. State agencies must reach out beyond themselves to create new relationships with local communities. They must be more responsive to local needs, respecting the need to meld their agenda with local collaborative community-building efforts. Likewise, local agency leaders (accustomed to working with traditional populations and not consulting their "consumers") must find ways to engage customers, community-based organizations and leaders who represent the diverse populations in many communities.

- **Achieving a win-win perspective often requires the presence of an "honest broker."** An honest broker - - a respected impartial community leader - - can help to eliminate finger pointing, build trust and ownership, and help the group to achieve a common vision.

- **Collaboratives must keep their focus on what will make a difference for children and families.** Good intentions and new processes are not enough. Real change in what happens for children and families must be the goal. By carefully analyzing the status of children and families in their communities, collaboratives can build a data base from which to develop clear and measurable outcomes. These outcomes can then serve as unifying forces for their work.

- **Collaborative membership is inclusive.** An inclusive collaborative involves people from all domains in a community. A domain is a segment of a community that must be engaged in order for joint problem-solving to occur, e.g., consumer, neighborhood, education, public sector, or business. One participant suggested that by using the term domains, and examining how people from different domains must work together, we can avoid the power-laden language of top-down/bottom-up which most people at the Dialogue rejected. Participants emphasized the importance of involving "consumer folk" from the beginning of the process because they care, they are credible, and they are informed about their needs and aspirations.

- **Collaboratives increasingly recognize that the participation of the families who are served by education and human services agencies -- their consumers -- is essential, yet the task remains difficult.** Consumer involvement may pose the greatest problem for elected officials and top-level community leaders who see it as their responsibility to make government, schools and major private agencies work for people. Involving consumers as peers at a collaborative table with people in these roles is a special challenge. Several strategies for engaging consumers in collaboratives were suggested:

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- Reach out into the neighborhoods and look for the natural leaders. Neighborhood directors, local police, school principals, and church leaders are potential resources for identifying such individuals.
- Make people feel comfortable, as you would any newcomer to a group, e.g., ask the leaders to visit with them in advance, recognize the importance of their contribution and involvement.
- Provide special workshops and support consumers to give them the knowledge and skills as well as the confidence to operate as a peer at a collaborative table.

Other outreach strategies to ensure a consumer perspective in a collaborative's planning process include:

- Holding house meetings with a number of residents to hear first hand how they view the education and human services systems. Bringing several consumers together in a home creates a more comfortable setting in which people will honestly discuss their opinions.
- Hiring community people as key operatives in collaboratives' staffing. This will give credibility in the community.
- Exploring the assets of the neighborhood. The focus of institutions coming into a community tends to be on problems and deficits; rarely do people look for assets. There are substantial human resources in poor or less affluent neighborhoods that can be mobilized to work collaboratively with government and other large institutions.

□ **Collaboration requires dialogue about culture -- the culture of peoples and institutions.** Harold "Bud" Hodgkinson highlighted the growing diversity of America's demographics, and the importance for increased cross-cultural understanding in the opening presentation of the Dialogue. The KIVA conversation underscored this issue, emphasizing the need for partners in a collaborative to recognize, respect, and learn about each other's culture. One participant reported that the opportunity to talk with parents in the collaborative gave her a new understanding and respect for the richness of the culture of the children and families in the school district. She now "honors" that culture in ways that were not possible before and recognizes what their culture offers to the collaborative.

Participants also emphasized the importance of learning about the cultures that exist in different disciplines and institutions. They suggested that until partners in a collaborative acknowledge the paradigms which drive their behavior and the behavior of their institutions, it will be difficult for the group to move beyond these paradigms to change fundamentally the way in which the institutions operate.

□ **Collaboration means new relationships between service delivery professionals and the people they serve.** A participant highlighted the problem in existing relationships between professionals and consumers with this story. For youth in a particular program, the number one priority was jobs. That was not the priority for the professionals, however; they saw youths' needs as requiring some type of social services. Whose needs and whose perceptions should drive the professional's work? Consumers and professionals must develop mutual responsibility and accountability.

□ **Middle Level Managers are an important key to the success of a collaborative effort.** Where heads of agencies and institutions provide leadership for a collaborative effort, they must involve middles who are responsible for implementing new strategies for serving children and families. Many collaboratives have teams of mid-level personnel working through the nuts and bolts of planning new service delivery strategies. Participants indicated that it is common for mid-level personnel to have ideas about how to work together with other agencies, but they often feel that they need "permission" to go ahead from top-level leaders.

Mid-level professionals who want to pursue a collaborative strategy can use several different techniques. The option suggested above is not to ask permission, but to begin to build bridges with peers in other organizations. As an alternative, middles can begin to share information with top-level leaders in their own communities about collaborative approaches that seem to be working in other communities. Focusing on collaborative strategies that address crisis issues in the community will likely generate more attention. Finally, mid-level managers can seek to create an informal dialogue among their peers to develop the ownership and trust needed to make a collaborative successful.

□ **Time is a critical variable for collaborative partners.** Collaboration takes time. People committed to systems change will use the time productively; others may simply use lack of time as an excuse for not moving ahead. A collaborative is making real progress when partners see the time devoted to the collaborative as "real work" rather than as an add-on to their other responsibilities. As the collaborative begins to develop new service delivery initiatives that require joint investment, people are likely to be more willing to commit the time.

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□ **Resources -- existing or new -- are a key to collaboration.** In general, participants saw collaboration as a mechanism for dealing with the issue of scarce resources. Said one "with resources so slim -- unless we collaborate, we will not be able to provide the services that are needed. "Others suggested that collaboration is hard to do without money on the table; they argued that "money makes love."

Participants asked: Can leadership create an effective and responsive service delivery system using only existing resources or is new money needed? People recognized that given budgetary pressure at all intergovernmental levels, existing resources will be the focus in the near term. Elected officials at the Dialogue were asked: Would you raise the tax rate to support additional costs to make a collaborative strategy work or would you rely on existing resources? The answer to this question was pragmatic: it depended on whether the elected official was up for election.

□ **Working collaboratives will grapple with their community's values about the importance of children and families.** There was agreement that collaboratives must reorient community values toward children and families. Participants agreed that while this is a difficult task, it is essential to bridging the gap between rhetoric about families and what our nation will do.

□ **If community attitudes and values are to change, the collaborative must market its mission, goals, and need for change.** Marketing is not a function with which leaders in the education and human services arena have much experience. There is rich literature in the social marketing field, particularly in the public health arena, which can help to inform the development of marketing strategies by local collaboratives.

□ **Collaboration is a continuous process of invention.** This is one reason it is so difficult. Collaboratives that are geared to systems change are inventing a totally new approach to working with children and families, and a different relationship between government and community. This is hard -- it requires shared leadership, strong ownership of the process, and commitment to achieving outcomes. Collaboratives with these conditions in place may find themselves moving "from ownership to creatorship" -- working together to build an effective system of support for children and families.

The final lesson of the KIVA experience is this: Carefully structured dialogue experiences can enlarge the perspective of participants in a collaborative, and build a foundation on which future learning and action can take place. If you are interested in employing the KIVA technique, please review Appendix B. IEL staff will be happy to talk to anyone about the KIVA.

QUALITIES AND SKILLS OF COLLABORATIVE LEADERS

Leadership is an important factor in collaborative endeavors. But leading a collaborative, where no one has control over the people and organizations at the table, is different from leadership in traditional organizational settings. Participants were asked to:

Identify the qualities and skills associated with collaborative leaders; and

Consider what distinguishes collaborative leadership from leadership in traditional settings.

Their thinking provides a useful framework for further dialogue about collaborative leadership. This is not necessarily an exhaustive list of qualities and skills of collaborative leaders; and it is not yet the right list. We hope that others will use it as they explore the role of leadership in collaborative processes, and share with us other qualities and skills that have proven vital in their experiences, as well as stories of collaborative leaders in action.

□ **Listening and Communications:** Collaborative leaders listen and communicate effectively throughout their own organizations, across organizational boundaries and in every segment of the community. They consciously reach out to **talk with and learn from** the consumers of their services and the front-line workers who deliver those services. They value and nurture dialogue with leaders in order to gain a greater understanding of needs, concerns and possibilities, and to build bridges within and across organizations and sectors in the community.

□ **Building Visions:** The collaborative processes now occurring in communities across America are often characterized as "vision-driven." Collaborative leaders have the skills to develop visions - - clear pictures of how people, organizations and communities must come together to build a better future for children and families. They work to communicate that vision throughout their communities, adapting the vision to achieve an ever increasing commitment to making it a reality.

□ **Risk-taking:** Creating a new set of relationships among the people and organizations working with children and families involves fundamental change. Such change means taking risks. Collaborative leaders do more than take risks for themselves, they create a climate in which other people are willing to take risks, knowing that mistakes are to be viewed as learning experiences and will not lead to punitive action.

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- **Respect for Diversity:** Collaborative leaders recognize that their communities, and our country, must continue to work at weaving a mosaic among people of all races, cultures, classes, ages and genders. They seek "not only tolerance, but acceptance, inclusion and celebration."² To achieve these ends, they strive to strengthen communications among different people and groups, and bring people to the collaborative dialogue who reflect the diversity of their communities.
- **Group Process Knowledge and Skills:** Collaboration involves meetings, meetings, and more meetings. People must sort through problems, create alternative solutions and make decisions. Collaborative leaders have the group process skills needed to run effective meetings. They ensure the active involvement of all participants, give them a sense of ownership in the process and obtain their commitment to follow through on the group's decisions.
- **Conflict Management:** Rather than overlooking tough issues where conflict might arise, collaborative leaders welcome such opportunities and have the skills to manage them. They recognize that by working through conflicts, groups strengthen their capacity to solve complex problems.
- **Organized/Decisive:** Collaborative leaders organize groups to pursue well-crafted learning and planning processes. They balance the need for people to learn about each other and the agencies/organizations they represent with a natural bent toward thoughtful decisions and actions. They are able to move groups toward decisions in ways that maintain group cohesion.
- **Consensus Building:** Collaborative leaders use consensus decision-making strategies, rather than win-lose approaches. They teach others to apply similar approaches within their own organizations. At the same time, collaborative leaders do not permit consensus decision-making to allow a group to resort to actions that represent the "lowest common denominator." They use the group's vision to drive toward consensus on real changes that push people and agencies beyond traditional boundaries.
- **Motivational/Passionate:** Collaborative leaders motivate others by communicating the group's vision, and constantly nurturing other leaders and the many people with whom they work. Their passion provides fuel for others, and helps groups overcome the landmines that bar the way toward positive outcomes.
- **Empowering:** Collaborative leaders empower others to pursue a collaborative agenda aggressively. They give the work of the collaborative to the partners who are at the table. The leaders know that if all of the parties are not involved, they are less likely to be ready to make difficult decisions when the time comes. Leaders also recognize that "nurturing leadership in others is as essential to the prudent exercise of leadership

as is leading itself."³ They measure their effectiveness by the number of "new 'champions and leaders' whose additional actions on behalf of shared goals build strength in the community."⁴

□ **Reflective:** Collaborative groups can be described as "learning communities" where people challenge old ideas and assumptions and learn new ways of acting. Collaborative leaders facilitate the group's reflections so that learning can be captured and new behaviors internalized.

□ **Flexible:** Collaborative processes do not follow a linear path. This requires that collaborative leaders remain flexible, adapting yesterday's ideas and today's plans to tomorrow's realities. As John Gardner suggests, they "need the skills to steer a kayak through the perilous white waters of the Salmon river."⁵ (We encourage local collaboratives to choose their own analogy for this purpose.)

□ **Knowledge of Other Systems:** To make interagency collaboration work, leaders should have knowledge of systems, other than their own, with which they must work. This knowledge enables them to ask more probing questions, moving people to think beyond the established framework of their agencies.

Participants suggested that in a world of growing interdependency, where solutions to societal problems of all types require the involvement of multiple institutions, these qualities and skills are fundamental for all leaders. The traditional, hierarchial leader is not likely to be successful. Indeed, leaders who are not collaborative are not likely to achieve the goals of their own institutions.

Deepening Collaboration Inside Your Own Organization

Too often, collaboration is a strategy that occurs outside one's agency. The attitudes, skills and tools of collaboration are not infused into the day-to-day activities of individual agencies and organizations, thus limiting the potential for deeper change. Leaders committed to collaboration can nurture a collaborative culture throughout their own agencies and organizations by:

- giving support and time for collaboration to staff;
- rewarding collaborating staff through promotions, professional development and recognition programs;
- building a vision for change, and immersing the agency in an examination of what the vision means for current agency behavior and operations; and
- providing opportunities for people to practice collaboration by making small pots of money available for activities that help people learn how to function collaboratively.

Dealing With "Tops" Who Talk But Do Not Act Collaboratively

Senior and mid-level managers engaged in collaborative processes sometimes find that top-level decisionmakers engage in the rhetoric of collaboration, but do not act in support of a collaborative strategy. In these cases, Dialogue participants suggested:

- **Assertiveness:** do not ask for permission, at best, ask for forgiveness, after you have acted.
- **Information sharing:** provide top-level leaders with oral and written information about collaborative activities and the results - - show how collaboration helps achieve the agency's own goals and objectives.
- **Involving leaders:** engage leaders on an individual basis in particular aspects of a collaborative activity and give them the opportunity to play a key role. Their support will help to move the activity forward, and commit them to a broader collaboration agenda.
- **Modeling collaborative behavior:** if participants in collaboratives endeavor to model collaborative behavior within their own organizations, they will help top leadership to see the value of this approach.

Professional Development To Nurture Collaboration

Participants suggested a number of professional development strategies that might be utilized to nurture collaboration. These included:

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- seeking training opportunities in unusual arenas, e.g., involving public agency bureaucrats in joint training programs with community-based agency personnel;
- taking department heads to corporate "retreat settings" to provide an opportunity for them to reflect on their mission and strategy, and to explore collaboration as a strategy; and
- bringing dispute resolution techniques from the criminal justice system into public schools to help with the training of principals.

See section on Developing Collaborative Leaders for further discussion.

Related Strategies And Issues

"Let the organization go through the 'pain' of getting ready to collaborate," stated one of the Dialogue participants. This comment recognizes that changing organizations from a traditional hierarchical/bureaucratic model, to an inclusive, flexible, participatory one is a long and difficult process. In saying this, participants acknowledged that collaboration represents a paradigm shift for nearly every organization.

Many participants observed that the success of the collaborative process will, and perhaps should, take longer than one thinks. One individual suggested that the time spent early on when collaboratives appear to "flounder" pays off with greater effectiveness later. This result comes from the mutual experiences of the people in a collaborative who build a foundation of knowledge and trust that commits them to collaboration as a way of changing how their agencies and institutions work.

Suggested tactics for ensuring the success of a more deliberate pace for collaboration include:

- making all planning meetings voluntary; forcing collaboration is an oxymoron;
- developing sub-groups for problem-solving so that more people are actively involved;
- getting "tops"/leaders to buy-in over time;
- developing and maintaining a strong vision; and
- breaking from traditional, linear organizational models and instead utilizing amoeba-like, dynamic or shifting organizational models.

Building Collective Ownership and Responsibility

Building collective ownership and responsibility for the work of a collaborative is critical to its success. Without this, the collaborative may find itself breaking apart when it confronts thorny issues which challenge old paradigms, formal agency missions and established policies and procedures. Participants made several suggestions about how different approaches to leadership can nurture ownership:

- **Share leadership.** This will reduce dependence on one-person leadership, and model collaborative behavior. (When people talk about "so and so's collaborative" that is a sign that they do not really share ownership.) Champions will still be needed in the collaborative but shared leadership suggests that everyone must become a champion.
- **Host meetings in different locations with different people leading the conversation.** This sends a signal that we are all in this together and must learn about each other's territory, so it can become "our territory."
- **Offer leaders development experiences throughout a collaborative.** Recognize that what collaboratives are asking is very different and very difficult for many people.
- **Have leaders delegate "pieces of responsibility" to different parts of a collaborative.** Leadership involves "giving the work back to the group." This is even more true in a collaborative setting where the solution lies among all the partner institutions.

These strategies also will help a collaborative grapple with the inevitable leadership transitions which occur. The goal of a collaborative must be to build a cadre of leaders so committed to collaboration as a way of doing business that new actors on the scene will naturally accept this style. Thus, while leaders may change, the collaborative culture and strategy will remain strong.

Other suggestions from Dialogue participants on the issue of "building collective ownership" include the following:

- **Develop a system that orients new members of a collaborative.** New people, bringing additional resources and different perspectives, will continually become involved with the collaborative. A collaborative needs a strategy for orienting them to its work and its style. This strategy should recognize that new members must work through a similar set of experiences as the original group of collaborators, if they are to become equally committed.

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- **Recognize that it takes time to make "connections" in the collaborative.** Not everyone will become engaged with a collaborative at the same pace. This is particularly true for people who enter the process late, and do not share the excitement of the initial moments of "shared creation" which are part of the collaborative process. A collaborative must be willing to formulate strategies that gradually draw people more closely into its web, rather than expecting a full "connection" from the beginning.
- **Ensure that a collaborative's goals and mission reflect that of its member institutions.** Partners should see themselves in the vision of a collaborative and be able to describe to their board and constituency how the collaborative will lead to better outcomes for the particular focus area, be it education, health, housing, child welfare, criminal justice, employment or any other.
- **Maintain written records of a collaborative's meetings and activities.** These records or "group memories" ensure that partners are clear about what happened and why, and especially about what decisions were reached. When people know and understand what is happening, even if they are not present, their sense of ownership in the process will grow.
- **Use public relations and marketing strategies.** Collaboratives need to market their vision and mission within themselves, as well as to the public. This can be accomplished through symbols and logos on buttons and T-shirts, communications through print, visual media, special events, public forums and other tactics. As a collaborative engages the public in its mission, so too will it strengthen the commitment of its stakeholders.
- **Monitor size of the collaborative.** Are we too big? How do we keep everyone involved? While collaboratives should be inclusive, they also must be careful not to become so large that partners no longer feel as though they have ownership. Creating special working groups or subcommittees can provide additional people with roles to play.
- **Make all conflict within the collaborative explicit.** Conflict seems inevitable in a collaborative process that brings together diverse perspectives. Groups that recognize conflict and develop strategies for working through those conflicts will be stronger for the experience, and willing to tackle even more complex challenges.

Managing Conflict in a Collaborative Setting

Dialogue participants acknowledged that conflict is a natural dimension of a collaborative process that brings together different people with different perspectives. The ability to manage conflict effectively is essential if partners are to develop the trust and ownership needed to overcome challenges to existing ways of doing business. The following techniques may prove useful in managing conflict:

- **Invite potential adversaries to take a lead role.** If a system of shared leadership is the norm in the collaborative, then the payoff from this approach will be greater than the risk.
- **Separate the person from the problem.** Personalizing any problem usually is dysfunctional. This is even more true in a collaborative setting where every participant brings important resources to the table.
- **Uncover hidden agendas.** People sometimes say that partners in a collaborative process should "leave their agendas at the door." The reality, from the perspective of Dialogue participants, is that collaboratives should create an environment where people will "put their agendas on the table," so that they can be understood by everyone, and a shared agenda can emerge.
- **Conduct cultural training from the outset.** Cultural training should not only address differences in cultures that emerge from variations in race and ethnicity, but differences in the organizational cultures of the education, health, mental health, criminal justice and related systems.
- **"Go with your heart, with what you know is right."** For a collaborative to really work, partners need to be willing to push for what they believe is right, listening carefully to other points of view and learning in the process. If conflict leads to collaboratives accepting "the lowest common denominator" in their decision-making, then the collaborative will not achieve its goals.

An over-arching concern of the group that explored conflict was the issue of negative culture -- the broader social and professional forces in society which can create conflict in a collaborative. Key contributors to negative culture include:

- **Professional demeanor where conflict is not tolerated.** Until professionals are willing to grapple with conflict, they will not get to the underlying assumptions of their professions that prevent a system of support for children and families from working.

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- **Good 'ol boy syndrome.** This is an old leadership model that has outgrown its usefulness. This phrase suggests "You scratch my back, I'll scratch yours." Too often, this means having agencies, programs and disciplines take precedence over the needs of clients.
- **Racism and sexism.** Behaviors associated with racism and sexism remain too common within the institutions and organizations of our society. Collaboratives also need to put these issues on the table.
- **Differences between generations.** Many people now in power in public and private agencies were trained and have grown up in systems and institutions where collaboration was not the norm. Promoting one's own agency and protecting agency turf were primary. It will take time, and possibly a change of leaders, to deal with this issue, but new strategies for training professionals are also necessary if the next generation is to have a different perspective.

Developing Collaborative Leaders

One of the key themes emerging from all of the Dialogue groups was the need for leadership development experiences that would help build collaborative attitudes, qualities and skills. The question is what methods/techniques can be used to develop such leaders?

- **Field Visits:** Looking at how agency services actually work at the service delivery level can give people a whole new perspective on why they must, and how they can, work together. Such visits typically include conversations with families, front-line workers and supervisors.
- **Focus Groups:** An increasing number of collaboratives are arranging focus groups where partners can listen to and learn from key players within the education and human services systems -- the families whom the system serves, the front-line workers who work most directly with children and families, and supervisors and other mid-level managers who must oversee the implementation of agency policy and rules.
- **Case study approach:** Case studies of realistic situations provide people desiring to collaborate with the opportunity to explore their different approaches to issues, and learn to define more collaborative solutions.
- **Interdisciplinary pre/in-service training:** Designing a more interdisciplinary approach to pre-service training in colleges and universities is essential for a new generation of professionals to bring a more collaborative perspective to their work. People working in different disciplines need the opportunity for in-service programs which enable them to learn about other disciplines, and about how they can work together in developing client assets and responding to client needs.
- **Mentoring:** Leaders already committed to collaboration can identify emerging collaborative leaders and become their mentors. By demonstrating this mentoring behavior, leaders will encourage others to model this behavior themselves.
- **Internships:** Internships can offer people from one agency or discipline the chance to get a hands-on picture of what it means to work in another system. A social work supervisor might shadow a principle; a public agency official might work in a community-based organization to learn what it is like to be directly immersed in meeting the needs of children and families; and a community-based organization director might shadow a public agency official to learn more about the realities and constraints of public sector agencies.

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- **Leadership Institutes:** An immersion program where everyone is in a different setting and where one has to eat/live/breathe change and collaboration. This strategy is particularly helpful when cultural/ethnic diversity issues can be anticipated. A precondition for a successful event of this kind is the involvement of an outside/impartial organization to facilitate the activity.

Dialogue participants also considered the question of how to help elected officials, top-level leaders, and mid-level leaders develop collaborative leadership skills.

□ For **elected officials**, participants suggested that the development of collaborative leadership skills is most likely to occur on-the-job, as they grapple with real issues and problems. At the same time, it is important to recognize that some elected officials already have some of these skills, since they must negotiate and compromise in order to make policy decisions within their own jurisdiction. However, elected leaders in city or county government, school boards, or state government tend to be more competitive in their relations with other jurisdictions. Conducting forums where leaders from different jurisdictions explore their common concerns is one strategy for bringing them together.

Key players in collaboratives should keep in mind that systems change will require substantial shifts in the way resources are allocated, and ultimately in the amount of resources available. Elected officials make these decisions. Thus, these officials cannot be overlooked in strategies aimed at creating a more effective and responsive system of services for children and families.

□ For **top-level leaders** in education and human services agencies to participate in collaborative leadership development experiences, they must be driven by a vision which recognizes that no single institution can successfully meet the needs of America's children and families today. Leaders who accept that vision are willing to devote time to working with their counterparts to gain their commitment to the vision and to participating in learning experiences which will help facilitate movement toward the vision.

□ **Mid-level leaders** are a particularly important focal point for collaborative leadership activities. Middles are critical to the implementation of a collaborative's proposed changes in the service delivery system since they manage activities on a day-to-day basis. They also are a more stable group, that remains through transitions in top-level leadership, and thus are vital players in a long-term collaborative change agenda. Middles also are more likely to participate in professional development experiences relative to collaboration.

Finally, participants in the Dialogue discussed the increasing inadequacy of the terms "training" and "staff development" in relation to the expanding world of collaboration.

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Both terms, they suggested, have negative connotations bringing the baggage of their traditional usage in the field. A new term needs to be coined to complement the more affirmative ethos of professional development around collaborative leadership. We welcome your suggestions.

COLLABORATIVE LANGUAGE

Some key concepts and phrases emerged from the Dialogue that may be helpful. Please share language that your collaborative has developed with us.

Amoeba-like/spiraling. These words describe the unique character of a collaborative endeavor -- it keeps changing shapes like an amoeba, and often will spiral back on itself, repeating activities in order to bring new people on board, ensure their ownership in the process and strengthen a collaborative's capacity to move forward.

Collaboration and Related Terms. Collaboration is so hot that we run the risk of its just becoming a buzz word unless we work to develop a common definition. It is equally important to distinguish collaboration from other terms such as cooperation, coordination and communication. For purposes of continuing dialogue, we suggest the following definitions for use in the context of education and human services:

Communication: interactions between individuals and organizations that result in more effective **knowledge and common information**. As communications become more extensive, networks emerge that help people and organizations solve problems.

Cooperation: a relationship between agencies and organizations that helps each partner meet its own respective organizational goals. In a cooperative relationship, no substantial changes occur in the basic services an agency or organization provides or in the rules and regulations that govern their agencies. Cooperation can lead to better **coordination of services**, e.g., better access for families through co-location and established referral procedures.

Collaboration: A process which leads to the creation of a shared vision and goals among agencies and organizations to address problems beyond any individual agency's purview. Collaborative partners share resources and responsibilities in order to realize the shared vision and goals. They hold themselves accountable for delivering on their individual commitments, and mutually responsible for achieving the desired outcomes. Conceptually, collaboration is intended to lead to a seamless web of support in communities for children and families.

Community of Learners. A group of people dedicated to gaining more knowledge and understanding. This is what collaboratives must create if they are to move to fundamental systems change. People must continue to learn together throughout a collaborative process, if they are to invent a new system.

Dog Sled Metaphor. Collaboration is akin to a running a dog sled -- you must have common purpose, interdependence and mutual accountability.

Domains. according to Webster's Dictionary a **domain** is the territory governed by a single ruler or a field of action, thought or influence. In the context of collaboration, **domain** is a segment of a community that must be engaged for a collaborative strategy to be successful, e.g., the public sector domain, neighborhood domain, education, health or human services domain, business domain. The term "linking different domains" is an alternative to the hierarchical term top-down/bottom up. It suggests that the involvement of each domain is essential to the ultimate success of an initiative, and that each brings important resources to the table. This concept seeks to change people's thinking away from traditional power relationships toward a framework of shared power and leadership.

"Don't ask permission to be subversive." Another way of saying this is "just ask forgiveness." Both phrases emphasize the importance of taking risks to invent a new system of services for children and families.

Honest Broker. An individual who has a reputation for impartiality, credibility with key players and the ability to bring people together across agencies and sectors.

Multi-layered. A phrase that describes collaboratives that are structured in a hierarchical manner in terms of authority with separate groups of tops (elected and appointed officials), middle managers and bottoms (consumers and neighborhood representatives).

Ownership to Creatorship. Where partners take ownership of the collaborative, they ultimately can move to another level of working together --**creatorship** -- where they are creating a totally new way for people and institutions to work together in support of children and families.

Rites of Celebration. Celebration is a critical part of any group process. In a new group setting, such collaborative celebrations are particularly important, even if the celebration is about a "small victory."

"Seek to understand before seeking to be understood." People must listen and learn before they can expect others to understand their concerns.

"Throw off categorical regalia." Coined by Sid Gardner, a national expert on collaboration and services integration, this phrase refers to necessary changes in attitudes and behavior created by the categorical system, as well as changes in federal and state categorical programs that are essential for systems change to occur.

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Top-Down/Bottom-Up. Top down refers to strategies created at the top that become mandates for all levels below the decisionmakers. Bottom-up refers to strategies that emerge from neighborhoods, and are sold to top-level leaders. The need for inclusive collaboratives, where tops, bottoms and middles work together, is increasingly recognized. These collaboratives engage neighborhood leaders and consumers, while facilitating access to large-scale public resources.

"We" knowledge. More than simply common knowledge, "we" knowledge connotes the mutual understanding and new relationships created among people who come together and learn together in a new group.

"You can change the direction of the herd once you get it moving." People who want to collaborate need to get started, even if they do not have all the people they ultimately want on board. Once you are started, more people will be drawn to the process and the direction of participating agencies is susceptible to change.





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VIII. FACILITATION & GROUP PROCESS

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A FACILITATOR'S WORK IS

25% Prevention

- Planning ahead for conflict
- Organizing meeting agendas
- Building a detailed sense of the group's process
- Thinking strategically

25% Process Awareness

- Recognizing strategic moments
- Knowing what phase of problem solving the group is in
- Being able to describe their process to the group

20% Theory and Technique

- Understanding of problem-solving processes
- Knowing a range of process tools and suggestions and how to introduce them
- Understanding group process theory

30% Actually Doing It

- Making process observations and suggestions
- Selecting and introducing appropriate group process tools
- Intervening when needed
- Getting agreements
- Remaining neutral
- Facilitating nonverbally







LEARNING TO BE UNCONDITIONALLY CONSTRUCTIVE

Being unconditionally constructive encourages the other side to act constructively in return. Here are some key points for partners to remember:

1. **THINK** before responding. Avoid acting on your emotional response in a situation.
2. **SEEK FIRST TO UNDERSTAND** the situation from the other person's point of view.
3. **COMMUNICATE CLEARLY AND BRIEFLY**. Do not monopolize the agenda.
4. **LISTEN AND ASK CLARIFYING QUESTIONS**. Don't attack another's position.
5. **LOOK FOR POINTS OF AGREEMENT** even when positions differ.
6. **KEEP AN OPEN MIND SO YOU CAN FIND POINTS OF AGREEMENT**.
7. **USE CONFLICT CONSTRUCTIVELY**. Don't ignore a hostile action, and don't respond in kind. Use the energy of the action to move the agenda forward.







COLLABORATIVE GROUND RULES

Collaboratives need to decide:

- **When, where, and how often to meet.**
- **How members will share responsibility for organizing and leading meetings.**
- **Who will prepare and contribute to the agenda.**
- **What rules will guide dialogue at meetings.**
- **What partners can do to ensure that decisions are made in meetings, not behind the scenes.**
- **How to handle problems or conflict with in the collaborative.**
- **How to handle logistical arrangements.**
- **Under what circumstances to bring in a third-party facilitator.**







~



HOW COLLABORATIVE PARTNERS CAN LEARN ABOUT EACH OTHER

- Hold meetings at each other's organizations. This also gives each organization a sense of the scope of the collaborative.
- Plan joint visits to programs operated by each partner. Take time to talk with staff in the programs, then discuss the programs among the collaborative. Seek out differing observations and questions.
- Ask partners to share their perceptions of each other's organizations. Then have each partner describe their own. Begin to separate fact from stereotype.
- Have each partner draw a picture of how they see their organization's position in relation to the community, families, and other partners. Discuss the various views and their implications.
- Describe how children and families receive services from each organization.
- Make an "alphabet soup." Have each partner list acronyms and jargon they use in their work, and define them for others.
- Set a "no numbers-no letters" rule to cut down on the use of jargon.
- Arrange for day visits between organizations to build knowledge, trust, and commitment to the collaborative among line staff.
- Use highly skilled trainers to run workshops on team dynamics, prejudice reduction, and conflict management.
- Have fun together! Use social activities to promote different kinds of conversations and alliances.







On Conflict and Conflict Resolution

CONFLICT

Conflict that is not identified, understood, and managed effectively can lead to inefficient use of organization resources, stress on the conflicting parties, and misdirection of the energies of those affected by the conflict situation. On the other hand, conflict that is effectively managed can result in increased creativity and innovation, a rethinking of goals and practices, and a better informed work group.

Thomas J. Bergmann and Roger J. Volkema in M. Afzalur Rahim, ed.,
Managing Conflict

Conflict is almost always caused by unlike points of view. Because we have not learned exactly alike, and because we therefore see and value things differently, we vary in our beliefs as to what things are or should be. Because conflict, large or small, is inevitable, the extreme result at either end is a situation that is undesirably abrasive or dialogue that is creatively productive.

Gordon L. Lippit and Lois B. Hart,
Learning From Conflict

Causes of conflict include competition over resources, differences in values, lack of communication, resistance to change, different definitions of a situation, failing to listen, holding rigid opinions of the other party, and lack of knowledge of how to resolve conflict.

RESOLVING CONFLICT

Resolving conflict is rarely about who is right. It is about acknowledgment and appreciation of differences.

Thomas F. Crum,
The Magic of Conflict

Listening is the greatest gift one person can give another.

Joyce Herman
Rochester Coalition Building Initiative

Conflict resolution should NOT be an effort to suppress or eliminate conflict; rather an effort to direct the energy of the conflict into constructive channels. Not all conflicts can have joint or negotiated endings. But when mutual outcomes can be found, they are more self-enforcing, efficient, and durable.

The Conflict Clinic, Inc.
Fairfax, VA

Effective Negotiators...
---avoid things that irritate the other side
...avoid counterproposals
...avoid getting on the defensive
...make strong arguments
...label their comments
...identify the reason for the disagreement
...check for understanding frequently
...use more questions than statements
...say how they are thinking and feeling

The Coverdale Organization, Inc.







JOB AID: HOW WELL DO YOU MANAGE CONFLICT?

Use this checklist to assess and develop your conflict management style. The more positive answers you have, the more likely you are to manage conflict successfully.

- Do you view conflict as an opportunity for growth, rather than a contest to win or something to avoid?
- Have you recently questioned or changed a deeply held belief?
- Can you remove yourself at times from a conflict situation, putting yourself in the place of a neutral observer?
- Do you look for cause rather than blame?
- Do you search for common ground more than differences?
- Are you as interested in learning from the other party than as you are in making your own views known?
- Do you rely on your own good judgment rather than allowing group loyalty to stand in its way?
- When the other party is talking, do you focus on their needs and concerns rather than your own?
- Do you maintain eye contact with the speaker?
- Do your responses allow open expression of the other party's view rather than judging them?
- Do you give feedback by asking informational questions and paraphrasing?
- Do you look for clues for agreement or discomfort in the other party's body language?
- Do you allow—even encourage—the other party to point out your own erroneous assumptions or stereotypical thinking?
- Do you make an effort to hear the other party and establish good will before stating your needs?
- Do you clearly express your own needs in a conflict situation?
- Are you sensitive to the best times to express your own needs?
- Do you establish your own right to be heard?
- Do you look for options that are agreeable to both parties?
- Do you invite the other party to explore other alternatives by asking "What if . . .?"
- Can you recognize when different conflict management styles and approaches are being used?
- Do you establish boundaries—the minimum you can accept and the maximum you can give?
- Do you work with the other party to establish goals and timetables for mutually established goals and behavior changes?







INVOLVING THE RIGHT PARTNERS

*When recruiting members, organizers should look for people who will bring **clout, commitment, and diversity** to the table.*

Look carefully at the following groups as members:

- Consumers
- Public-Sector Organizations
- Private-Sector Providers and Nonprofit Organizations
- Private Sector Funders
- Businesses and Business Associations
- Elected Officials
- Religious Leaders
- The Media
- Civic Organizations







As of (date) _____ Page _____ of _____

List the organizations involved and their representatives. Initial self-interests and possible contributions can be declared by individual/organization or summarized for all involved. How these factors are listed depends on the level of trust – the higher the trust, the more individuals can lay claim to their declarations. Update this roster regularly.

Organization <i>Representative's name, phone number, organization name and address, and type of organization (i.e. nonprofit, government, grassroots, funder, and so forth)</i>	Initial Self-Interests <i>Organizational and Personal Gains</i>	Possible Contributions <i>Powers and Commitments</i>







Calling the Next Meeting (send to participants in advance of next meeting)

Collaboration name or purpose:
Purpose of next meeting:
Meeting date: Location: Start and end times:
Convener: Phone:
Participants (see membership roster for addresses and phone numbers):

Action Agenda

Item	Disposition <i>For information, discussion, or decision</i>	Responsibility	Time

Summary of Decisions Made/Actions to be Taken

This summarizes the previous meeting and accompanies the agendas for the next meeting.

Decision Made/Action to be Taken	Responsibility	Deadline

Summary of Achievements to Date

This is a log of all achievements. It provides an excellent history and basis for evaluation.

Update it regularly.

Achievements	Responsibility	Date





This document provides an excellent record of the rationale for the vision and focus statements. It also aids in achieving support from key stakeholders.

1. What is our destination—what will we achieve, for whom and where?

2. What is the scope of our effort—how big, how many, how much?

3. How is this destination unique among members of the collaboration?

4. How can we phrase the vision statement so that it is not complicated?

Our draft vision is:

5. After considering our statement, how can we rephrase it so that it is easy to understand and easy to repeat?

Our vision is:

6. Imagining that we have fifteen seconds to communicate the essence of our vision, what short phrase best captures the heart of it?

Our focus is:













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Process Evaluation	Results Evaluation
<p>4. Summarize the collaboration's impact on the member organizations. What has each contributed? How did the collaboration change the way each organization does business?</p> <p>5. Note side effects. Who else becomes involved? How does that help the effort?</p> <p>6. Other:</p>	<p>4. Describe the characteristics of the community being targeted, the number and diversity of people involved, their reaction to the effort and its methods, and changes in the community that might be attributed to this effort:</p> <p>5. Note side effects. Who else becomes involved? How does that help the effort?</p> <p>6. Other:</p>
<p>Now draw some conclusions:</p> <ul style="list-style-type: none"> • What lessons have we learned? • What do we need to change or add? • What previous challenges should we review? 	









In planning how to involve the community in our collaborative effort, we need to consider the following:

What do we need to tell the public about collaboration so that we attract future leaders?

Who are potential representatives of diverse community interests?

How do we adjust our decision-making process to make it more open and accessible?

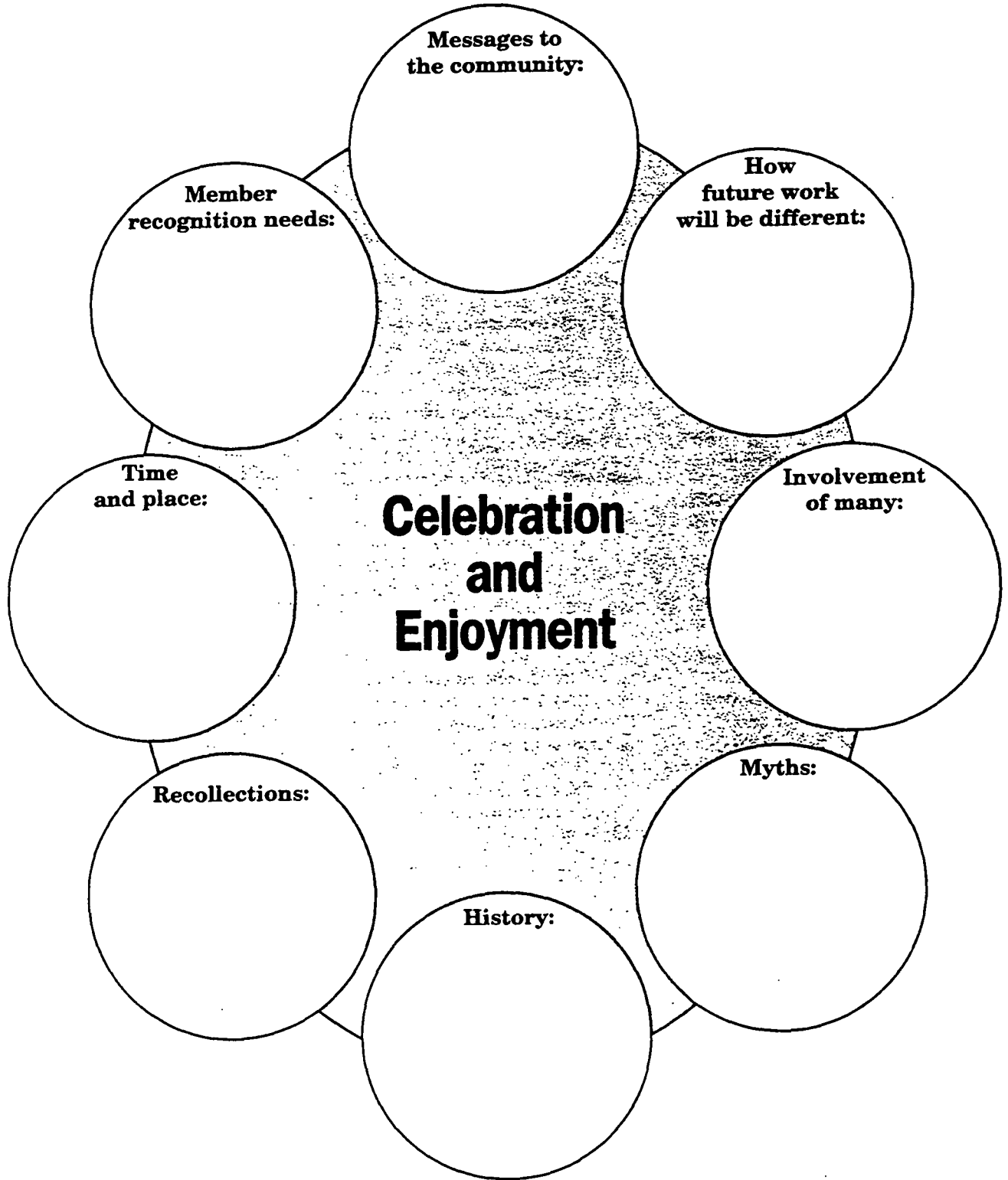
What programs and policies do we need to change because they are outmoded?

How can we increase our base of support to work more widely in the community?





In planning ending rituals, fill in the circles and build each element into the celebration:









One State's Emerging Strategy for Going to Scale

Dynamic initiatives take on new challenges and often expand the scope of their original efforts by expanding to new jurisdictions and adapting their efforts to new populations. Their successes build their reputations and cause them to be called upon to address new problems. A good example of this adaptive and expansive spirit can be found in the New Jersey School Based Services initiative.

Four years ago, the state of New Jersey decided to take human services into the schools. In a bid to save the growing number of youths who were falling through the cracks of a fragmented education and human service bureaucracy, the state Department of Human Services launched the School Based Youth Services Program (SBYSP) in the state's 30 poorest school systems. With the support of then-Governor Thomas Kean, the state allocated \$6 million to the program and required interested localities to pay 25 percent of the cost of the programs. Localities had to show the support of a coalition of community groups, teachers, parents, businesses, public agencies, students, and school systems to apply for a grant. Applications had to be filed jointly by the school district and one or more local nonprofit or public agency(ies). Services were located at or near schools. Staff from health departments, social service agencies, and other providers all worked at the chosen site. All centers provided health care, mental health and family counseling, job training, substance abuse counseling, and recreation. "The idea is to wrap services around children, youth, and families that allow them to move forward and lead productive lives," says Edward Tetelman, director of legal and regulatory affairs in the Department of Human Services and head of the school-based programs.

Though it began under a Republican governor, the SBYSP continued to flourish under Democratic Governor James J. Florio. In 1990, it expanded to elementary and middle schools, bringing the total number of sites to 36. In 1991, it was 1 of 10 winners of the Innovations in State and Local Government Awards given by the Ford Foundation and Harvard University's John F. Kennedy School of Government. It also was used as a model in Kentucky and Iowa. The program had won accolades from teachers and school staff, who overwhelmingly reported improvement in school climate and said that the program helped them do their jobs. Individual schools reported successes as well. For example, in one high school, the suspension rate declined dramatically. Given the SBYSP's accomplishments, it made sense to try to expand the program, but budgets were tight and funding merely remained constant.

In late 1990, the state legislature developed the Quality of Education Act, a new funding formula that would have funneled millions more to New Jersey's poorest school systems. The new act seemed like a suitable source for expanding the SBYSP. Tetelman broached the idea with his boss, Commissioner Alan Gibbs of the Department of Human Services. Tetelman and Gibbs met with John Ellis, commissioner of the state Department of Education, and his staff.

Ellis supported the idea. The state Department of Education had long acknowledged that the success of schools was tied to factors outside schools. Yet, before the notion of using Quality Education Act dollars to expand SBYSP had gone much further, the legislature reversed itself. Though extra money was channeled to poor districts, it was a fraction of the original amount under discussion. The human service and education officials were left with no real source of new dollars, but they still believed that they needed to work together to make a difference to children and youth.

One State's Emerging Strategy for Going to Scale (Continued)

"My view was that there wasn't any money, so what we'd better do is work effectively together," says Larry Leverett, assistant commissioner for the Division of Urban Education in the New Jersey Department of Education. Leverett was not alone in thinking that collaboration was key to affecting the problems of children and families. Continuing discussions led to a meeting of officials from the state departments of Education, Human Services, Community Affairs, Health, Higher Education, Labor, and the state Commission on Employment and Training. "The basic concept," recalls Tetelman, "was how do we help families and children? How do we help families and children in those urban areas achieve better outcomes and improve their lives?"

The answer the group came up with was FamilyNet. FamilyNet is not a program. It was not created by legislation, and it has no budget. "FamilyNet," says Tetelman, "is a process." It began in January 1991 and, despite its lack of funds, has achieved concrete milestones. Most significantly, New Jersey now has an interagency collaborative that works on two levels, bringing about change in state systems to improve the delivery of services to children and families and serving as a matchmaker at the local level to build collaborations among education and human service agencies.

One of the outcomes of FamilyNet's efforts was a proposal to expand the SBYSP in certain localities. A bill being introduced in the legislature would expand the SBYSP to eight new sites in New Jersey's Atlantic County. Other outcomes have been the establishment of local FamilyNet teams and closer collaboration of state agencies on grant requests. A joint grant proposal this summer netted the state \$5 million through the federal Community Service Act. New Jersey was one of only two states to be funded in all four categories under the act, and it received one of the largest awards. "In New Jersey, FamilyNet is the way we are doing business and the way we are doing business is more and more informal interagency collaboration at the highest level of state government reaching down to where the rubber meets the road," says Leverett.

FamilyNet's two tiers represent the top and the middle of the state bureaucracy. At one level is the Interagency Collaboration Committee (ICC), made up of high-level staff from an ever-increasing pool that includes the state Departments of Human Services, Education, Labor, Health, Higher Education, State, Community Affairs, Corrections, and Military and Veteran Affairs. Working under the ICC are three FamilyNet teams made up of staff contributed from four departments: Human Services, Education, Health, and Labor. The teams draw on personnel from other departments as necessary. Each team serves one region of the state and is charged with facilitating collaborations at the local level. Although the team members started out part time (each working 2 to 3 days a week), three departments have each allocated one full-time position to the task this year. The teams' efforts are concentrated in the 30 poorest districts.

The ICC meets twice a month, as do each of the FamilyNet teams. The teams meet once a month with the ICC as a whole, broaching issues and problems that may require institutional solutions. The ICC's goal is systemic reform. "There is universal agreement in New Jersey that systemic change is the only change that's going to make a difference," Leverett says. "That's our commitment. . . . The future of FamilyNet and its impact will be measured by the degree to which we can accomplish systemic change as opposed to isolated improvements in different districts."

One State's Emerging Strategy for Going to Scale (Continued)

Although the ICC has not yet achieved anything representing systemic change, it plans to. The group is adopting a statement of philosophy, seeking formal status either through legislation or an executive order, and prioritizing issues that it wishes to tackle. High on the list of priorities is an analysis of funding streams among the partner agencies. The ICC wants to analyze all funding channeled to youth and family services through each department, look at the eligibility criteria, and identify needed changes in state and federal laws. "Ultimately," says Tetelman, "we're looking at combining some funding, and then we actually will integrate it and distribute it in a different way to local people."

Though the ICC has yet to change institutions, it has brought about shifts on a smaller scale. For example, the ICC identified a state law that prevented school nurses from giving immunization shots as a barrier to accessible health services. As a result of ICC discussions, the state Board of Education changed the regulation in April.

FamilyNet's work on the local level began last May with a state-sponsored conference at Rider College in Trenton called "Schools and Communities Serving Children and Families." All 30 of the poorest districts as well as private and public service providers from their areas attended. In the afternoon, the attendees met by school district. School officials talked with social service providers about needs and goals. They ended with a commitment to meet again. The FamilyNet team attended the subsequent meetings, bringing people together, looking for resource persons and funding, and taking problems back to the ICC for solution.

A meeting with schools and service providers in Monmouth County, for example, yielded several results. An elementary school in Asbury Park decided to start its own FamilyNet team made up of social service and school personnel in the city. Members of the central region FamilyNet team helped the local team get off the ground. When the team decided to hold an AIDS education seminar in three languages—English, Creole, and Spanish—the team used its contacts to find a Creole speaker.

Meanwhile, the school system in the Monmouth County town of Keansburg was building a new school. The principal wanted to bring social services into the school. The central region FamilyNet team brought together the school and the Monmouth County Department of Social Services, which agreed to place a social worker at the school several hours each day. In Camden, New Jersey, the school district is working with the team to expand school-based youth services to a second high school. The district also is working closely with local nonprofit agencies to integrate services throughout the district.


All in all, some type of initiative is underway in seven of the nine poorest school districts in the central area. The state has had no money to put into local collaborations, and that has been a weakness in FamilyNet, believes Gloria Hancock of the New Jersey Department of Human Services. Nevertheless, Hancock says, "In terms of networking and bringing people together and getting social service providers and schools to have common goals, FamilyNet is key. It's getting people to bring their resources together."







LINKING SCHOOLS WITH HEALTH & SOCIAL SERVICES



*Perspectives from
Thomas Payzant on
San Diego's New Beginnings*

The Policy Exchange
The Institute for Educational Leadership

LINKING SCHOOLS WITH HEALTH & SOCIAL SERVICES

PERSPECTIVES FROM THOMAS PAYZANT ON SAN DIEGO'S NEW BEGINNINGS

Thomas Payzant is Assistant Secretary
for Elementary & Secondary Education
at the U.S. Department of Education.

From 1982 to 1993, he was
Superintendent of the San Diego City Schools.

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The Institute for Educational Leadership

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Additional copies of Lessons from *San Diego's New Beginnings: Perspectives from Thomas Payzant* are available for \$10 prepaid, from the Institute for Educational Leadership, Suite 310, 1001 Connecticut Avenue, NW, Washington, DC 20036 (202) 822-8405. Volume discounts are available.

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What agencies and people were involved?	
What did they do first?	
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It is very hard on families to slog through multiple eligibility procedures.	
What services does Hamilton New Beginnings provide?	
What is the prognosis for New Beginnings?	
How is New Beginnings being evaluated?	
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Collaborative efforts should be school-linked, but not necessarily school-governed.	
The focus should be on the family, not individual family members.	
Shift as many resources as possible to prevention.	
Find ways to fund services with existing resources.	
There is not one best way.	
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It is difficult to focus on prevention when you are in crisis.	
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Multiple eligibility requirements are a barrier.	
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Finding funding and blending funding are hard.	
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There has to be a catalyst for change.	
The people at the table must know a lot about children and families.	
Focus on where you're going, on long-term results.	
Don't underestimate the time institutional collaboration takes.	
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Do not let one (or even two) agencies end up with the bulk of responsibility.	
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The state role in school-linked services is critical.	
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INTRODUCTION

We can learn a lot about what makes programs for children and families successful from the state and local people who are in the trenches every day. And we can learn a lot from federal policy makers.

The IEL Policy Exchange was particularly fortunate in August of 1993 to hold a seminar with one person who simultaneously fit both of these descriptions. At the time of the seminar, Thomas Payzant was in the process of transforming from a local leader (school superintendent in San Diego) to a federal leader (Assistant Secretary for Elementary and Secondary Education at the U.S. Department of Education). As a local leader, he was co-founder of San Diego's New Beginnings, an ambitious and collaborative initiative to provide comprehensive services to children and families. In the Clinton Administration, he runs the major federal programs for elementary and secondary education, including the \$7 billion Chapter 1 program for educationally disadvantaged children.

Tom Payzant has been widely praised for his leadership in San Diego. According to an article in *Phi Delta Kappan*, a widely read magazine of the education society:

As superintendent of schools in San Diego, Payzant guided the New Beginnings project, a ground-breaking, comprehensive school-community collaboration, and he now calls for "good conversations" to begin at all levels of government.

Seminar participants were senior Congressional and Executive Branch staff responsible for a wide range of programs for children and families—from Aid to Families with Dependent Children (AFDC), to Chapter 1, Food Stamps, Head Start, Medicaid and housing programs. The appendix contains a list of participants.

When the Policy Exchange asked participants what questions they had about New Beginnings, four issues emerged:

What can the federal government do to encourage collaboration?

What services does New Beginnings provide?

How does New Beginnings integrate services?

What evaluations and results are there?

With these questions as a backdrop, the Policy Exchange asked Tom Payzant to talk about San Diego's New Beginnings, to outline lessons learned about collaboration and, perhaps most importantly, to discuss the implications of these lessons for federal policies. That is what the following pages do.

UNDERSTANDING NEW BEGINNINGS

New Beginnings began when Richard Jacobsen (Director of the San Diego Department of Social Services) approached Tom Payzant in the summer of 1988 to explore how the school district and the county could work together to improve services to children, youth and families. Both administrators knew that the services their agencies (and other agencies) provided to assist low-income families were uncoordinated, inconsistent and often ineffective. They also understood that addressing these problems would not be easy. Conflicting regulations, problems of confidentiality and questions about who was responsible for what could be overwhelming. Although they knew of no successful, comprehensive effort to bring people from different agencies together to work towards common goals, their discussions continued.

The leaders of other local agencies, including the County Department of Health Services and the Probation Department, joined in. Thus, New Beginnings began as an interagency forum to bring leaders from various government agencies together to exchange ideas about working together to serve the needs of low-income children, youth and families.

What agencies and people were involved?

School Superintendent Payzant and the other agency directors convened a group of 25 to 30 people from half a dozen different agencies. Four local entities became the nucleus of New Beginnings: the County of San Diego (including the Department of Social Services), the City of San Diego, San Diego City Schools and the San Diego Community College District. The group was later expanded to include other local agencies and service providers, including the University of San Diego Medical Center, Children's Hospital and the San Diego Housing Commission.

As the New Beginnings initiative got underway, the chief administrators of these agencies and some of their associates sat together in a room and tried to figure out how to begin talking with each other.

Participants quickly realized that they had no idea of the roles and responsibilities of the other agencies. Payzant knew schools and education well, but freely admitted that he didn't have a clue about what went on at the Department of Social Services. As he said, "each person in the room could have made a similar statement." Consequently, early discussions among these leaders centered on reaching a common understanding of exactly what interagency collaboration meant and what each agency had to offer to a joint effort.

What did they do first?

This group decided to look at collaboration concretely by having each agency focus on the same high school attendance area and its feeder middle-level and elementary schools. As a first step, they developed a paper listing all of the services that each agency could provide children, youth and families. After a couple of months, the group produced a thick volume that, according to Payzant, "absolutely blew everybody away in terms of actually looking at the collective resources and services that each of the agencies was providing" to these families: "the right hand didn't know what the left hand was doing."

What was the feasibility study and what made it different?

The New Beginnings group then decided to target one school to test the feasibility of a one-stop coordinated services center to cut through red tape and provide services that were easily accessible. They chose Hamilton Elementary School as the test site for *New Beginnings* because it was in a troubled area (the City Heights section of San Diego) and had a densely populated, highly transient, and ethnically mixed neighborhood. City Heights has one of the city's worst crime rates and a high reported incidence of child abuse.

Hamilton Elementary School had an enrollment of about 1,300 students in kindergarten through fifth grade and operated on a multi-tract, year-round schedule. The school was 40 percent Latino, 24.5 percent Asian, 24 percent African American, and 8.6 percent white. Children at the school spoke 23 different languages, and more than half of the students did not speak English as their native language. More than 90 percent of

the children were eligible for the federal free or reduced-price lunch program and about half of the school's households received assistance through the Aid to Families with Dependent Children (AFDC) program. Also, Hamilton had the most mobility of any elementary school in the district: about 28 percent of Hamilton's students attended school for less than 60 days in 1988-89. The scores of the school's third-graders on the California Assessment Program tests were among the lowest in the district and significantly below statewide averages.

According to Payzant: "Perhaps the smartest thing we did was to do the feasibility study differently—not to just get a bunch of experts to go in and decide what our needs were and to put together a plan for meeting those needs." While they did use experts, they also placed a social worker in the school for several months to do "action research." Leaving the facts and figures to the experts, he worked with two dozen families to understand what it was like to try to get services that the agencies were supposedly providing.

The feasibility study, including the in-depth subjective observations of the social worker as well as hard facts, focused on early intervention and sought to answer such questions as:

How many families receive services from the county, the city, or community-based agencies funded by the city or county?

What services do these families receive?

Are families eligible for services that they are not currently receiving?

Is there a relationship between the use of social and health services and the academic and social success of children in the family?

What barriers do families face when they try to get help through the current system?

What barriers exist within the system, as seen by agency staff members?

Can the service delivery system be made more responsive to the needs of low-income families in a way that is integrated and cost effective?

The facts and figures provided a baseline, but the most useful insights from the feasibility study came from the social worker. As Tom Payzant said:

The insights from conversations with families who were actually coping with the Housing Commission, with social services, with schools, with the city, and so on provided the most powerful information that we had received. These insights did not always agree with the outside experts' findings. The study found that many of the people we served didn't know about the existence of, or didn't know how to reach, the various public-assistance agencies charged with helping them. Most distressing of all, the situation was getting worse and no consistent efforts were being made to improve it.

The study reinforced the belief that the system was too fragmented. Payzant described how this fragmentation affected both people and agencies:

Families must carry their life stories around to several places and give each agency a different part of the story. Eligibility procedures were complex and specific to each agency. And agencies didn't have ways to share data.

Consequently, the feasibility report recommended that San Diego develop a common eligibility process, with one central point of contact for families. It urged that funding be flexible enough to allow for appropriate services, whether specialized or general, and that waivers, policy changes and staffing changes be considered to provide needed flexibility. It also urged that San Diego find ways to allow workers to share pertinent information about families agencies without breaching confidentiality requirements.

After the feasibility study, the New Beginnings leaders concluded that fundamental reforms were needed in the way schools and government agencies deliver services to families. New Beginnings was ready to look beyond tinkering around the system's edges. According to Tom Payzant: "These reforms require new ways of thinking about the needs of families, the roles of agency workers, the determination of eligibility, the focus and process of service delivery, and the allocation of funds."

The feasibility study laid the ground work for the actual planning of the New Beginnings demonstration center at Hamilton Elementary School. The most difficult task was for all of the city, county, and school players to think about Hamilton as a learning laboratory for a long-term

strategy for changing the systems that provide services to children and families, not just another short-term, one-shot project. As Payzant said:

A demonstration center, unlike a project, will go on for a long time and will become the learning laboratory for collaboration, for integrating services for children, families and youth. The closest analogy I can think of is a teaching hospital.

It is very hard on families to slog through multiple eligibility procedures.

Families have multiple needs and face tremendous challenges in trying to get the services they need. At the Hamilton New Beginnings Center, IBM created and donated a user-friendly computer to give people information in different languages about how to find and use various services.

Most people underestimate what it is like for families to be faced with seven to eight different eligibility procedures (such as health, housing, free school lunch, school district, job training, and adult education) in order to get services needed to survive. Tom Payzant said:

We can start to get in touch with this by recalling how annoyed we get when we have to deal with the health system or the department of motor vehicles, or anything where there is red tape and an eligibility process. Imagine what it is like for a family in trouble, for somebody trying to hold things together and for someone who may not have well-developed coping skills or a history of success in working the system.

He concluded: "We've got to constantly look at this from that perspective and see what it means."

What services does Hamilton New Beginnings provide?

Today, New Beginnings at Hamilton Elementary School provides important services to children and families in the community. The center is housed in three "portable classrooms" (that is, trailers) located on the school's playground. All families who enroll children in the school have an opportunity to become familiar with the services available, and the center's staff makes an initial assessment of family and

student needs. The center provides social services planning for families, ongoing case management, and various health services for families that need professional intervention. The center also offers health screening, initial diagnosis of medical conditions, and referral for major treatment.

What is the prognosis for New Beginnings?

The idea of New Beginnings emerged in 1988 and the site at Hamilton Elementary School has been in operation since 1991. The true test of the success of New Beginnings will be the degree to which the institutions involved—health, education, social services, probation, and so forth—change the way they do business. When asked about how New Beginnings will fare, now that he and the other primary founder of New Beginnings have left San Diego, Payzant said:

It is too early to tell. If we did a reasonably good job, then the roots are deep enough that they won't be pulled up right away. If we did New Beginnings right, it won't, at this stage, be dependent on one or two people to carry it. Or, if it is, one or two new people will step forward now that Jake [Jacobsen, the former Director of the Department of Social Services] and I have moved on. In the beginning, it is very important to have one or two or three people who will get it started and stick with it through the first couple of years. Hopefully, New Beginnings is now beyond reliance on single individuals.

Payzant radiated optimism:

I am hopeful. The person who was appointed as my successor, Bertha Pendelton, is terrific. She had been my deputy and is very committed to the integrated services agenda. I think there will be strong support on the school district side. There is a new CEO at the county. He hasn't been as directly involved in a hands-on way as I was, but he's very much committed to it. And, a very strong person, Blair Sadler, president of Children's Hospital, has stepped in and is taking a pro-active role.

How is New Beginnings being evaluated?

New Beginnings is being evaluated in several ways. As Payzant said: "There are the traditional kinds of indicators that are being looked at with respect to school achievement, mobility indicators, health indicators, and a lot of anecdotal kind of evidence at this point." Also, a formal three-year evaluation of this two-year old initiative is being funded by the Pew Charitable Trusts.

KEY PRINCIPLES OF NEW BEGINNINGS

Tom Payzant outlined several broad principles that have been critical to New Beginnings.

**Collaborative efforts should be school-linked,
but not necessarily school-governed.**

"This is a very important point." Because schools are where children are, there is a lot of interest in having schools be the focal point of the delivery of services. And while families need to see schools as a place to get help, the multiple needs of low-income families can quickly overwhelm the resources of schools. In short, a totally school-governed integrated services program is a bad idea. In fact, according to Tom Payzant, "governance by any one agency almost always inhibits full cooperation by other agencies."

There is not just one model: a variety of models may work. While it is especially easy to reach families and children through schools, services do not always have to be at the school site. Services can be a block or two away, or located so one center serves an elementary school, a middle school and a high school. The critical question is how to link people to agencies that can provide needed services and follow-up with families. Linking services to schools is not the whole answer or the only answer.

**The focus should be on the family,
not individual family members.**

It is very easy to focus on a child and forget a sibling, a mother, a father, or others who are integral parts of that child's family. Everybody has some kind of family unit. But, as Tom Payzant said, "if the New Beginnings experience teaches anything, it is that you must deal with the family unit and not just with individual family members." Otherwise, interventions are likely to fail.

Shift as many resources as possible to prevention.

Another lesson is to act early and prevent problems: don't wait to intervene until after serious problems have arisen. As Tom Payzant said: "We saw that most of our resources were used to deal with crises, and we did very little to help children and families whose problems hadn't escalated to that state."

It is more effective and ultimately less expensive to provide preventive assistance early in a child's life than it is to wait until adolescence when intervention is difficult and costly.

Find ways to fund services with existing resources.

Avoiding the trap of becoming dependent on short-term funding is a challenge. A major difficulty that San Diego faced in starting New Beginnings was piecing together start-up money. For example, the New Beginnings Center at Hamilton Elementary School exists because the leaders of several agencies were flexible enough to break their own rules. As Superintendent of Schools, Thomas Payzant re-directed to Hamilton New Beginnings three "portable classrooms" slated to be used elsewhere. "If I hadn't done that, we would still have been looking for facilities two years later."

Similarly, the renovation of the health center wouldn't have happened if Bill Cox, the former Director of the County Health Department, had not moved money around to renovate and outfit the health center. "You have got to have this kind of coordination to pull all of the pieces together."

It is especially hard to get agencies to come up with cash, overhead ("indirect costs") and nuts-and-bolts money. In-kind contributions are

much easier to get: for example, agencies "detailed" (or assigned) staff to work with New Beginnings. San Diego has not yet resolved where long-term hard funding will come from. Some relief has come in the form of a couple of \$30,000 and \$40,000 grants from the San Francisco-based Stuart Foundations, headed by Ted Lobman. But the overhead piece (or indirect costs) of New Beginnings is still not locally funded. For New Beginnings to work over the long haul, overhead must be funded with existing resources. Payzant emphasized: "Because all agencies in San Diego are experiencing serious financial constraints, we know we must do better with existing resources and not develop solutions that cost more money."

There is not one best way.

The county of San Diego is experimenting with a variety of models as insights and knowledge emerge from the New Beginnings experience. For example, Hoover High School, which is in the same attendance area as Hamilton Elementary School, does not have a full-fledged "New Beginnings" center on its' campus. But it does have a school-based health clinic that also functions as a social service center.

BARRIERS TO SUCCESS FOR NEW BEGINNINGS

The barriers to making an effort like New Beginnings work are enormous. Change is always difficult, especially when money and power are at stake. Tom Payzant highlighted seven hurdles that New Beginnings has faced—ranging from overcoming a crisis mentality to dealing with issues of confidentiality and changing staff roles and organizational cultures.

It is difficult to focus on prevention when you are in crisis.

There is always a crisis. Sometimes it is a crisis in individual families, sometimes it is a fiscal crisis and sometimes it is a personnel crisis. Tom Payzant asked: "How can a community do intelligent planning, prevention and long-term thinking when it is constantly in a crisis management mode?"

Many of these issues are as difficult as they are important for communities. Progress is incremental. For example, controversy about family planning and birth control delayed the approval of the school-based health clinic at Hoover High School by three years. When Tom Payzant proposed that family planning and birth control be a part of the Hoover High School clinic, "that became the whole issue as it has in so many other places" and the San Diego Board of Education rejected the proposal. But, when Payzant returned to the Board a year later with the birth control piece deleted, the Board approved the proposal. As a result, the policy in San Diego City Schools is not to offer family planning or distribute condoms in school. "Schools staff can refer students to other agencies, just as they have for ages."

The lack of clear communication and a common philosophy are barriers.

Teachers typically want instant results. At a school-based center, such as New Beginnings at Hamilton Elementary School, teachers at first think of the center as a place to send a child who is problematic or disruptive. As Tom Payzant said:

That's not what you are aiming for over time. You want to get the teachers and others at the school to become part of the larger team that understands the overall goal of the center.

Differences in philosophy can make cooperation among agencies difficult. For example, schools are required to report all incidents of suspected child abuse, but Child Protective Services cannot share information about a child's placement with school staff. As a result, the school often loses contact with a child who is removed from the home and placed in foster care in a different school district. Because of this, school personnel typically under-report suspected child abuse by forty percent.

At Hamilton Elementary School, teachers refer children who are experiencing academic, behavioral, attendance, or health problems to the New Beginnings center. Teachers are trained to identify problems and learn how to support the efforts of other agencies. They learn about the roles of staff in other agencies and the services they provide. Teachers and the workers at the New Beginnings center communicate regularly to assess the impact of services on children.

Tom Payzant summed up the issue, saying:

There must be a common vision, and that vision must be discussed thoroughly and accepted by all participants. Success can be achieved only when everyone involved recognizes that services to children and families can be provided much more effectively through collaboration.

Inflexible staff, rigid roles and limited training are barriers to success.

When New Beginnings was formed, staff members in the various agencies rarely knew how other agencies worked and often mistrusted the services provided by other agencies. New Beginnings set out to have a different type of staff: the whole notion of the New Beginnings Family Service Advocate (FSA) was to have a generic position for people who would work with families. The only way to fund these workers was for each agency to assign one of its employees to serve as a Family Service Advocate. The Social Services Department detailed a social worker. The School District detailed a counselor. The community college district detailed a counselor. And the Health Department detailed a nurse.

Tom Payzant described how they created the new position of a Family Service Advocate: "We took these people with different traditions, different backgrounds, and different views of the world and told them they were now Family Service Advocates." Their job was to provide information about available services, help determine eligibility, and work with families to create and follow a plan for moving toward self-sufficiency. They would also provide some direct counseling, and work on behalf of the family with agencies not represented at the center.

Because FSA's know their own agencies well, they can help families navigate within the social services, health and education systems. Each advocate works with 30 to 40 families on a continuing basis. "We trained them extensively, not just for a couple weeks in the summer." This transformation was a long haul and required understanding the different experiences and professional perspectives the FSA's brought to their new role.

Confidentiality concerns make it hard to share information.

"The confidentiality issue is a bear in terms of sharing data." To make it easier for families to get needed services, the school and other agencies must have good information and be able to share data. Payzant cautioned: "Without this, you can't ever begin to get at the eligibility issues."

For example, staff in San Diego agencies worked for two years before they could share the AFDC data base and the school data base in order to qualify students to automatically receive free lunches under the National School Lunch Program. Now, according to Payzant:

San Diego is matching data on students enrolled in school who are from families that qualify for AFDC and/or Food Stamps. With the signature of a parent, these children can be automatically declared eligible for the school district's free or reduced-price lunch program.

In other words, parents or guardians were no longer required to fill out separate detailed applications to qualify their children for free or reduced-price school lunches if they were already eligible for AFDC and/or Food Stamps. This change is starting to have an impact: by 1991-92, forty percent of San Diego students receiving free or reduced-price school lunches were directly certified.

At the same time, not all data can be shared across agencies. For example, school districts are required by a Supreme Court decision to serve all children regardless of citizenship, while many human service programs are restricted in terms of whom they can serve. Because the Hamilton New Beginnings center is located on the school campus and the children served are enrolled in Hamilton Elementary School, the school does not ask about citizenship. School policy is that if a child is a resident and has an address and a rent receipt, the child can be enrolled.

Multiple eligibility requirements are a barrier.

Programs run by the New Beginnings partner agencies—AFDC, school lunch, housing, health and so forth—all have different and often conflicting, overlapping and confusing eligibility requirements. Agency staff spend valuable staff time determining eligibility, and families have to tell their stories again and again to meet various agency requirements.

High student mobility makes sustained progress difficult.

Children who move and change schools a lot often have serious problems in school. Hamilton Elementary School probably has the highest mobility rate in the city of San Diego. After a study found that families were moving to six or eight specific neighborhoods, New Beginnings began to focus on helping children stay in the same school (when transportation was available) even if they moved.

Finding funding and blending funding are hard.

It is hard to hold a collaborative effort like New Beginnings together when almost all of the incentives encourage people to continue business as usual. For example, the dramatic budget cuts in California pit counties and cities and school districts against each other: they are competing for a shrinking pot of money. Payzant said: "You have to have a strong commitment from local leaders to look at the big picture and hold collaborative efforts together."

POLICY IMPLICATIONS AND POLITICS

As Tom Payzant reflected on the New Beginnings, he commented on the policy implications of what he had learned. He emphasized the need for strong as well as shared leadership that focuses on long-term results. He also cautioned that patience is needed if collaborative approaches are to bear fruit.

There has to be a catalyst for change.

In San Diego, the catalysts for change were Jake Jacobsen (Director of the Department of Social Services) and School Superintendent Tom Payzant. The catalyst could have been a city council member or a county commissioner. It could have been any number of people. But, to change the way systems work, Thomas Payzant emphasized that someone has to step forward, preferably two or three top people from different agencies.

The leaders need to make their personal involvement a top priority and to look holistically at the needs of children and families. Tom Payzant said:

You have to stick with it. I was personally involved with the New Beginnings Executive Committee until the day I left to join the Department of Education. And my colleagues at the city, county, community college and hospitals did the same thing.

The people at the table must know a lot about children and families.

Even the generalists and the high-level policy makers at the table must, in the words of Tom Payzant, "really know something about children, youth and families so there is a real base of experience and information to inform the policy deliberations." They must have professional training and years of experience to support their attitudes and practice. And they must bring a broad view of their community and public policy to the discussion: It is dangerous to rely too heavily on professional and political expertise from others.

Focus on where you're going, on long-term results.

Tom Payzant spoke about the need to plan for the long haul:

Collaboration is in vogue and there is a lot of rhetoric, but that can be, as with most things, very superficial. It is important to keep your eye on what kind of difference the collaborative efforts will have on the people being served.

Government agencies should not be satisfied with small successes that result from early collaborative efforts. It is easy to get caught up in the excitement of an early success when, for example, people who have never talked before sit down together at the table. Tom Payzant shared a recent "small success":

When Ellen Haas, who is the Assistant Secretary for Food and Consumer Services at the U.S. Department of Agriculture, and I met a few weeks ago, I was told that it was a first. And, it probably was because a food services magazine called me up and said, "We understand you sat down and had a meeting with Ellen Haas."

He continued that, while such initial conversations are important, "you need to move on to the substantive issues if things are really going to happen."

Don't underestimate the time institutional collaboration takes.

New Beginnings is not a quick fix. It takes time for educators, social service providers, housing experts, law enforcement officials, and health professionals to understand one another. The New Beginnings center at Hamilton Elementary School had been open for two years in October 1993. The planning conversations began in 1988. "And there is still a long way to go." Solutions like New Beginnings take time, but the politics of two-year and four-year election cycles make it hard for policy makers to take the long view.

Integrating services means changing the whole system, not just one or two agencies.

Today many people are paying attention to models of integrated services around the country. While a couple of agencies working together can be an important first step, truly integrating services for children, youth and families means thinking more systemically and looking at the whole. A simple "add-on" approach just isn't enough. Payzant added: "Collaboration is not a school district and local health agency getting together, but these agencies joining with a housing commission, the welfare office, the community college, city parks and recreation, and other agencies with the intent that each will change in order to improve the collective end result for children and families."

To get support for the collaborative approach at New Beginnings, Tom Payzant and his cohorts from other agencies went to the local elected public officials (the county board of supervisors, the city council, the school board, the elected board and the community college board).

We said to them, we want your blessing, here's what we are about, and here are the policy statements to get us started. And we said, basically, we want you to hold back and give staff an opportunity to try to pull this thing together and make it work.

This type of political preventive action was designed to avoid having someone torpedo the effort by later standing up and saying: "New Beginnings is *my* project!"

It was important at the outset for the local elected leadership to understand that New Beginnings was a long-term proposition. And, policy makers were repeatedly brought in to keep them up to date as New Beginnings evolved.

**Do not let one (or even two) agencies
end up with the bulk of responsibility.**

If most of the services are at the school, it is very easy to let most of the burden fall on the school, too. But that is a recipe for failure.

To have joint ownership, agencies must also have joint clout and joint responsibility. "You have to have school people who will be assertive and allow other agencies to pick up their share of the responsibility," according to Tom Payzant. The commitment of San Diego's agencies was severely tested by the 1991-92 fiscal crisis in California, making it especially critical to break away from the traditional ways of keeping score. Some agencies contributed more in-kind services than others.

IMPLICATIONS FOR THE FEDERAL ROLE

Tom Payzant outlined lessons federal policy makers can learn from New Beginnings. If local efforts are to be successful in improving outcomes for children, collaboration must be modeled and institutionalized at all three levels of government: federal, state, and local.

Collaboration needs to be institutionalized at all three levels.

Collaboration must be modeled and institutionalized at all levels of government: federal, state and local. Tom Payzant added: "While you need to change both people and policies at all levels, changing people's attitudes and behaviors is usually more important than changing laws, rules and regulations."

There is a state agenda, there is a federal agenda, and there is a local agenda with respect to integrated services:

No matter what the issue, you have to look at and think about all three levels. For example, if you want to talk about free and reduced-price school lunches, or AFDC, or WIC, or Medicaid, you must simultaneously think about where the federal, state and local connections are and how each affects the people who are ultimately served on the local level.

Collaboration is more than simply talking to one another about common problems, learning about the services and resources of other agencies, sharing data about clients, and coordinating the delivery of various services. While all of those things can be important, real collaboration goes farther and includes identifying and addressing specific

problems and areas of service. And as Payzant said: "Interagency collaboration must be led from the executive level."

The state role in school-linked services is critical.

States are only now beginning to clarify their role. But, for collaborative approaches to work on a large scale, states must show leadership. As Tom Payzant said, "You can't have people in 100,000 different schools and 16,000 different school districts out there, each trying to make collaborative arrangements with eight different agencies." There must be a strategy for defining the state role, and the role that local agencies will play in relating to all of the schools within their jurisdiction.

There must also be a lot of bottom-up initiative.

Payzant cautioned that while top-level leadership is vital, it is not enough: "You can have a lot of incentives and products from the top down, but unless the communities buy in and decide which agencies are going to participate, it is probably not going to work very well." Communities must think through what happens at the federal level, what happens at the state level, and what happens at the local level, all the way down to the community-based organization or the individual school where services are delivered.

New Beginnings is led by an executive committee of 11 top-level administrators from the five participating agencies. This committee is complemented by an 11-member implementation team, a working group made up of professionals from the New Beginnings center and people who represent their agencies.

A cross-cutting theme in the reauthorization of ESEA will be integrated services.

There must be strong linkages between integrated services and school reform. If families are successful and have their needs met, then children will be successful and do better in school. As Payzant said:

An ultimate goal of New Beginnings is not just to have healthy children and emotionally stable children, but

children who achieve academically as well. Education must be major player in the conversation—not just a convenient place where the kids happen to be.

It is tricky to identify how best to approach integrated services in the context of the Elementary and Secondary Education Act. As Payzant said:

Chapter 1 exists to provide educational services and supplemental instructional support for our neediest children. While this isn't to say that there aren't many connections between learning and all of these other services, there is a worry that scarce federal education dollars should focus on the educational piece, rather than be sucked up to provide non-educational services for children. So, there has got to be a balance. There is a new term that is emerging ("glue money") where you use some dollars to get the conversation going to promote collaboration and as an incentive to get agencies to work together.

Payzant went on to say that, while Chapter 1 should encourage integrated services, it should not draw substantial Chapter 1 funds away from their primary educational focus. Some school districts, including San Diego, are already using Chapter 1 money to buy additional days of nursing, counseling, or social worker time in the school-wide projects in Chapter 1 schools. "And, while you don't want to discourage that, that's not what integrated services is all about either."

The Clinton Administration is not proposing a particular model for approaching integrated services. In fact, "I don't think there is one model." To illustrate this point, Tom Payzant recalled that New Beginnings was criticized in the early stages for being too "top-down." And, indeed, "it was the establishment folks from each agency that got in the room and started the whole thing off." But that is what worked in San Diego: "Be wary of those who say you have to do things a certain way."

While community involvement and participation are essential, it may need to come in the second phase rather than in the first. Other communities may be different than San Diego in that an empowered community takes the lead before elected leaders or agency heads. He concluded: "Hopefully, there will be room for all of the above as well as other approaches we haven't even thought about."

**Think beyond one-stop-shopping;
think systemically to create real systems of support.**

"One-stop-shopping" (that is having multiple services available in the same place) has become a metaphor for collaborative services. But, one-stop-shopping does not guarantee that services will be either coordinated or effective. For example, simply putting staff from various agencies in the same building is not a huge step forward if the staff still do not talk to or work with each other. It is important to look beyond any specific mechanism to making the whole system work more effectively.

Congress needs clear outcomes.

A Capitol Hill seminar participant raised the topic of outcomes, saying that Congress writes laws that are "terribly prescriptive and narrowly confining" because neither the Congress nor the country has a sense of common outcomes that cut across child welfare, health, education and other program areas.

Congress enacts restrictive programs and narrow categorical programs because "people in Washington don't trust governors, states or localities." This lack of trust has its origins in lack of a common direction. The participant said: "One way to get around this is for Congress to have outcome measures that it believes in." Then, state and local officials could go to members of Congress and urge them to repeal excessive procedural and process measures and, instead, hold programs accountable for *results*.

Unfortunately, our country is not very close to having common outcomes that transcend Congressional committees and Executive Branch departments. A seminar participant concluded: "We have invested very little in this country to develop outcome measures" to determine whether anything we've done for child welfare or social programs actually works. This is something that "professionals and the departments must do."

CONCLUSION

When he spoke with the IEL Policy Exchange, Tom Payzant shared many facts and much wisdom from his perspective as a local and a federal policy maker. He outlined guiding principles rather than a rigid recipe for replicating New Beginnings. And he hinted at ways that the lessons he learned in San Diego could be applied at the national level.

While federal efforts to make policies and programs for children and families more collaborative and effective are growing, they are still in their infancy. There is much to do, starting with defining clear outcomes or results for healthy families that transcend narrow disciplinary barriers.

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APPENDIX
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POLICY EXCHANGE SEMINAR
WITH THOMAS PAYZANT

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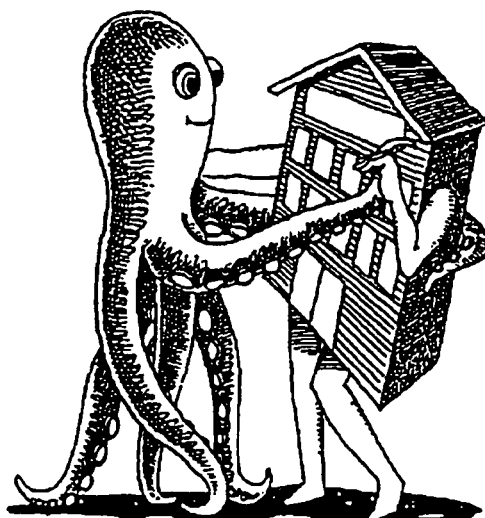
Samuel Halperin

Director
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Julia Graham Lear

Director, Making the Grade
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The IEL Policy Exchange



**Collaboration is like dancing with an octopus,
with each agency or organization a "tentacle."**

**The Institute for Educational Leadership is a nonpartisan organization
that supports policies, programs and practices
that encourage leaders and their institutions to work together
to improve opportunities and results for our nation's children, youth and families.**

**The IEL Policy Exchange works to promote cross-cutting initiatives
that foster effective and collaborative policies
on issues affecting children, families and communities
through seminars, site visits, publications and state-level initiatives.**





notes



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notes



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notes



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notes



A series of horizontal lines for writing, spanning the width of the page.



notes



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Notes



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notes



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notes



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Module 1 - Collaboration

■ Collaboration is about organizing engaging in joint planning and combining resources. They determine shared outcomes and are accountable for achieving them.



Module 1 continued

■ Cooperation is about organizations working together for mutual benefit. There is some joint planning, but each organization controls its own resources and is independently accountable.



-
-
-

Module 1 continued

- *Coordination is about organizations working independently, but harmoniously.*



● ● ●

Module 1 continued

- *Autonomy is about organizations maintaining high levels of self-determination and independence.*



- *Module 4 - Dynamics in a Shared Power Environment*

In order for organizations/teams to share power, they must have common objectives which are held by the group. They don't have to be unanimous, but they must be consensual;



Module 4 continued

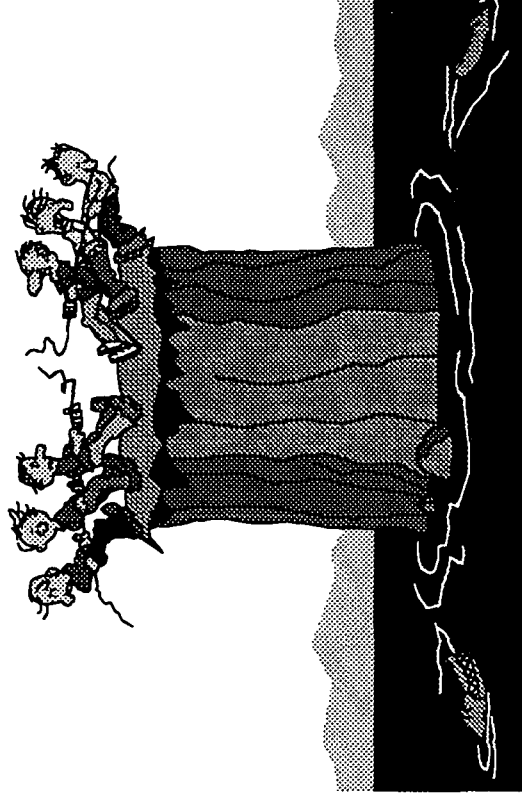
- *want to share to achieve separate or joint gains, or want to avoid separate or joint losses.*
- *be able to, and reserve the right to, exit and end the relationship.*
It can't be forced.



- *Module 4 continued - Power*
- *Sharing is difficult because*

■ in the hierarchical world, everyone has the ability to say no;

■ not enough people have the vision to say yes;





Module 4 continued

- in a shared power environment, the powerful may feel frustrated; and
- advocates of change cannot force outcomes. They can only seek arenas (teams, work groups, etc.) of mutual gain for long term stability and benefits.



Module 5 - Collaboration

- changes organizations; ■ requires internal consent; and
- consumes resources from each member; ■ requires informed negotiation.



● *Module 6 - A Simple Planning* ●

Process

- Determine success (*vision or desired results*)
- Identify strengths, problems and opportunities
- Establish reasonable goals or targets for progress towards results
- Identify effective strategies and implementation plans
- Monitor, evaluate, and continuously improve



● *Module 6 - Important Questions* ●

for You and Your Collaborative

- How well do participants in your collaborative understand their common tasks? Their process for working together?
- How clear are your collaborative's desired outcomes? The process for achieving these results? The day-to-day tasks along the way?
- What else could you do to become clear?



● *Module 7 - A Leader Should Be* ●

Clear About Priorities

- Who sets them?
- How are they changed?
- Who must agree to them?
- What are the implications of focusing on these priorities?
- How are they established?



● *Module 9 - Seek First to*

Understand

A collaborator should be able to identify the following:

- One's collaborative partners
- One's own perceptions of the partners' needs or wants
- Areas that are not yet clear
- Key questions to ask to reach greater clarity.



Organizational Planning versus Collaborative Planning

	Organizational Planning	Collaborative Planning
Sequence of activities	<i>Linear:</i> a sequential process in which planning precedes implementation.	<i>Organic:</i> an evolutionary process in which planning and implementation, evaluating and re-planning, go on constantly.
Planning process	Working backwards from a deadline, specifying steps needed to complete the activity; process is the same for any task.	Enabling a series of activities that actualize shared values to emerge; process is organic to goals of a particular initiative.
Contact with customers	Customers are studied at a distance through reviewing reports and data, and through peripheral meetings (e.g., focus groups).	Customer becomes part of the decision-making process to enhance precision of decision-making; continuous contact maintained with customers to ensure that plans evolve as customer's needs are better understood.
Content of the plan	Goals and activities to achieve goals (assumptions about reality are given; consensus about values exists).	The major work is to bring differing assumptions about reality, and differing values, into a new consensus. Then, goals and activities can be planned.
Rationale for decision-making	Option A <i>OR</i> Option B: clear choice made in planning stage based on strategic considerations; <i>plan reduces ambiguity, increases simplicity.</i>	Option A <i>AND</i> Option B: clear choices rarely exist; decisions made based on opportunities available at a given time and dynamics of initiative and community; <i>plan accommodates ambiguity, works with complexity.</i>
Ability of plan to control action	High; success comes from the following plan.	Low; success comes from adhering to the values embodied in the plan and adjusting the details as new developments warrant.

Adapted from Success by 6™ Manual, United Way of America, 1993.



Participant Activity Chart 1.1

OUR Strategic Answers

Who is "OUR"?

E – entire collaborative

A – me alone

S – small group of us

Key elements of "OUR" answer

What results matter most?		
What is happening now?		
Why is it happening and what will it lead to?		
What do we want to do about it?		

Who is "OUR"?

E – entire collaborative

A – me alone

S – small group of us

Key elements of "OUR" answer

What are we committed to changing?		
How are we going to get there?		
Who is doing what, by when?		
How will we know when we've succeeded?		
Who's involved?		

SUCCESSFUL COLLABORATION CHECKLIST

- _____ MUTUAL NEEDS AND INTERESTS
- _____ TIME AND ENERGY
- _____ RESOURCES
- _____ COMMUNICATION
- _____ INSTITUTIONAL SUPPORT
- _____ BROAD-BASED REPRESENTATION
- _____ CLEAR AND AGREED-UPON PROCESS
- _____ ATTENTION TO GROUP PROCESS
- _____ MUTUAL RESPECT
- _____ SHARED OWNERSHIP
- _____ COMMITMENT
- _____ INCENTIVES AND REWARDS
- _____ FUN
- _____ ESTABLISHMENT OF SUPPORTING
RELATIONSHIPS



PARTICIPANT ACTIVITY CHART 2.1

LEADERSHIP FEEDBACK QUESTIONNAIRE

(Used with permission of The Annie E. Casey Foundation)

TEAM LEADER:

The following questionnaire is aimed at assessing leadership skills in order to help the Team Leader make the most out of her or his collaborative work.

In responding, use the following 7-point scale:

1	2	3	4	5	6	7	DK
to a limited extent or rarely			moderately			always, very often	Don't Know

- _____ 1. Is effective in communicating with multiple audiences.
- _____ 2. Is comfortable and effective in working across differences in
 - _____ gender
 - _____ race
 - _____ class
 - _____ ethnicity
 - _____ age - much younger
 - _____ age - much older
- _____ 3. Listens carefully to the views of others.
- _____ 4. Is able to find and/or invent common ground when working through differences.
- _____ 5. Is knowledgeable about substantive areas relevant to family and children's services.
- _____ 6. Actively solicits information on how he or she is experienced in particular decisions or actions.
- _____ 7. Seems to have a sense of own personal strengths and weaknesses.
- _____ 8. Has an eye for talent when hiring or composing task groups or coalitions.
- _____ 9. Connects actions to larger goals and purposes.
- _____ 10. Is able to give honest feedback in a hearable way.
- _____ 11. Speaks honestly to people in positions of greater power or authority.
- _____ 12. Manages and/or influences people over whom he or she does not have direct control in effective ways.
- _____ 13. Is skilled in "managing the boss."
- _____ 14. In tapping expertise of consultants, uses them in effective and appropriate ways.
- _____ 15. Is honest about what he/she knows and what he/she does not know.
- _____ 16. Able to master new technical areas with relative speed.
- _____ 17. Not afraid of moving into new substantive areas.

LEADERSHIP FEEDBACK QUESTIONNAIRE

PAGE 2

- _____ 18. Is able to frame complex problems in ways that enable others to work on the relevant issues more competently.
- _____ 19. Connects quickly and effectively when joining a new situation or organization.
- _____ 20. Juggles multiple priorities, issues thoughtfully.
- _____ 21. Does not talk about absent parties in ways that are inappropriate.
- _____ 22. Confronts difficult interpersonal issues head-on.
- _____ 23. Is fully present when in a conversation or meeting.
- _____ 24. Takes appropriate personal risks in job, career, etc.
- _____ 25. Is open to feedback about differences between how he/she actually behaves ("walk") and espoused theories ("talk").
- _____ 26. Balances professional and personal life.
- _____ 27. Runs effective meetings.
- _____ 28. Is appropriately active as a follower when others are in the lead.
- _____ 29. Works well with volunteers and board members.
- _____ 30. Links political thinking (who are the key stakeholders, their interests) with substantive aspects of the policy problem.
- _____ 31. Delegates appropriately to others.
- _____ 32. Has a keen sense of which levers to use to bring about desired changes.
- _____ 33. Is creative, able to see things in fresh ways to make novel connections.
- _____ 34. Is able to combine a long-term view with short-term imperatives.
- _____ 35. Is skilled in teasing information out of data.
- _____ 36. Is passionate about quality.
- _____ 37. Thinks about the overall design of service systems.
- _____ 38. Sees policy implications of budgets.
- _____ 39. Is focused on the customers/stakeholders in any changes.
- _____ 40. Is comfortable in handling media:
 - _____ print
 - _____ radio
 - _____ television
- _____ 41. Is able to fire people when required.
- _____ 42. Is skilled in working with and/or managing bureaucracy, civil service requirements.
- _____ 43. Is able to conceptualize overall performance measures for a service system.
- _____ 44. Has good sense of timing, both when to act, when to wait.
- _____ 45. Presents well in hearings format-e.g., legislative, budget requests, etc.
- _____ 46. Copes with crises well.
- _____ 47. Is resilient when attacked.
- _____ 48. Is effective in communicating message to large groups.
- _____ 49. Is able to knit together powerful coalitions in support of changes.
- _____ 50. Is skilled at generating necessary resources (money, people, equipment, etc.).
- _____ 51. Is good at taking care of herself or himself, both personally and professionally.

Participant Activity Chart 2.2

Building a Development Plan for Leadership Skills

	Assets	Improvement Areas	Next Steps
My Perceptions			
Others' Perceptions			
Priority Actions			



The Role of the Facilitator in Group Development

	TEAM MEMBERS' NEEDS	FACILITATOR'S ROLE
Developing a positive working environment	<p>FORMING</p> <ul style="list-style-type: none"> • Becoming oriented • Developing commitment • Needing direction • Wanting to be accepted/ included 	<p>DIRECTING</p> <ul style="list-style-type: none"> • Climate-setting • Clarifying roles/ expectations • Defining goals/ providing structure • Group-building
Dealing with issues of power and control	<p>STORMING</p> <ul style="list-style-type: none"> • Consolidating influence • Confronting dependency on leader • Resolving conflict among group members • Dealing with low work level 	<p>COACHING</p> <ul style="list-style-type: none"> • Surfacing issues/ legitimizing concerns • Facilitating communications/ managing conflict • Inviting input and feedback/ sharing control • Expecting and accepting tension
Managing conflict/ establishing "ground rules"	<p>NORMING</p> <ul style="list-style-type: none"> • Resolving control concerns • Establishing group agreement • Creating catharsis 	<p>SUPPORTING</p> <ul style="list-style-type: none"> • Offering own resources/ ideas • Sharing the leadership role • Being available for one-on-one consultation • Smoothing the interface between the group and the organization or community
Functioning as an effective group	<p>PERFORMING</p> <ul style="list-style-type: none"> • Working productively toward shared goals • Problem-solving/ decision-making • Establishing open communication, trust, respect • Dealing with conflict 	
Terminating the group's work	<p>ADJOURNING</p> <ul style="list-style-type: none"> • Apprehension • Needing help in saying good-bye 	<p>DELEGATING</p> <ul style="list-style-type: none"> • Supporting letting go • Adjusting to own leadership style • Helping group deal with termination issues



Dimensions of Facilitation

Prevention/Preparation

- Meeting pre-planning, and environment
- Clarifying context, direction, and fit issues
- Identifying appropriate strategies
- Establishing ground rules
- Establishing agreement on role of the facilitator

Awareness

- Establishing self-awareness
- Knowing the difference between process and content
- Observing and describing what's going on in a group
- Recognizing critical moments
- Knowing where the group is in its problem-solving process

Theory and Technique

- Understanding facilitation roles, attitudes, theories, and behaviors
- Understanding team process
- Having a full tool kit of process suggestions and techniques
- Knowing how to introduce tools and suggestions to a group
- Clarifying problem-solving and decision-making methods

Facilitating

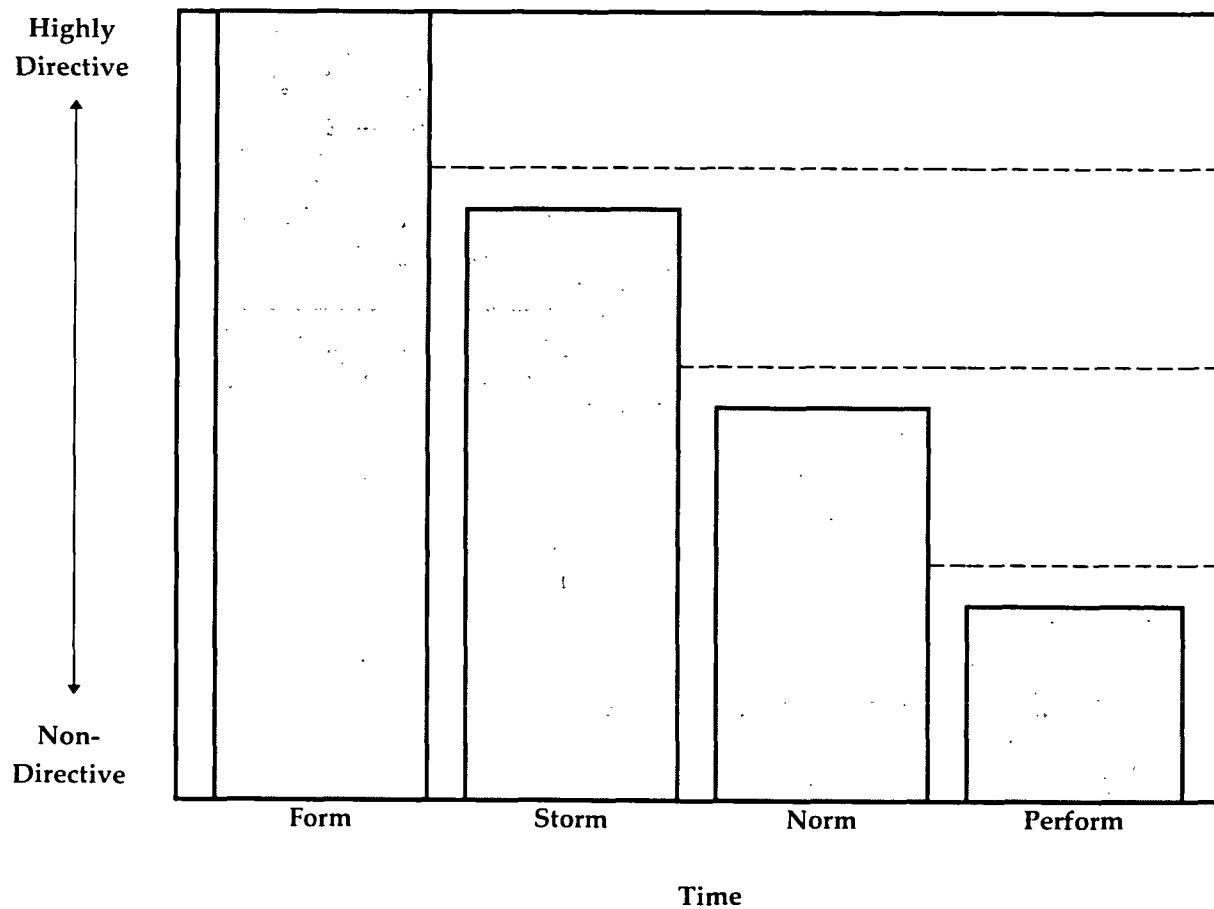
- Making process observations and suggestions
- Introducing tools/techniques
- Checking perceptions and getting agreements
- Facilitating with words and/or actions
- Implementing interventions
- Staying in roles
- Working toward group self-sufficiency



Levels of Involvement

- In the beginning, a facilitator is very active in setting the pace and structure of group activities.
- As time goes on, the facilitator's involvement decreases as the group's skills grow.
- The objective is to work yourself out of a job.

LEVEL OF FACILITATOR INVOLVEMENT





Participant Activity Chart 3.1
Assessing the Development of Your Team

	<i>Team Actions</i>	<i>My Options</i>
Forming		
Storming		
Norming		
Performing		



Tips for Team Building

TIP ONE: To succeed in this project, you must invest in teamwork. The desired outcome of this project is a product (i.e., strategic policy and action plan) that all team members will support and commit to implementing.

TIP TWO: Teamwork is relatively easy to build and maintain, but you must invest on the front end. If a sense of teamwork is destroyed, it is very difficult to restore. It is worth the time you invest in the beginning of a project to build team, *even if you feel rushed to produce a product*. If you invest early on, team building will take less time. Catch-up is more expensive, and damage control is the most costly of all.

TO BUILD A TEAM, YOU MUST CONCENTRATE ON TWO AREAS, THE TASK AND THE GROUP PROCESS.

TIP THREE:
The Task The task must be clear by the end of the second team meeting. The timelines must be clear by the end of the third meeting. Nothing can frustrate a group of people more quickly than continued lack of clarity about the task the team must accomplish and the general timelines within which it must be completed. Most members expect a lack of clarity at first, but if it continues, group morale will deteriorate rapidly.

TIP FOUR:
The Task Changes or redefinition of the task or timelines must also be made clear to the entire group. Groups do expect the task to change over time. However, a team becomes demoralized when redefinition is not acknowledged and discussed.

TIP FIVE:
The Task

All team members must agree to the task and the timelines.

This appears to be obvious, but often it is not—especially when the group is constructed of constituency representatives with conflicting agendas. It is the team leader's job to make sure, by open and/or private discussion, that all members agree to the task. A good facilitator will make sure agreement is reached.

TIP SIX:
Group Process

Teams function best if leadership is clear in the beginning and then shared by other members over time. If leadership is not clear, several members will usually vie for leadership until the issue is settled. This competition can be disruptive to the process of team -building.

Your team will feel more comfortable if at first someone assumes leadership. Most often, it will be the team leader, but it could be someone else. For example, you could ask your facilitator to assume leadership for the first meeting. The leader convenes the meeting, introduces the participants, states the task and timelines, ensures agreement, reviews assigned individual tasks, takes and distributes notes.

Any and all leadership functions can be shared. Most task groups function best when leadership is shared by team members. This usually begins to occur by the third or fourth meeting. If leadership functions are not shared, the team may become too dependent on the leader and may not function well without that person. This is serious problem when team members must accomplish tasks through their own constituencies.

For some reason, most teams function when leadership is not shared, but only when the members understand that fact and the rationale.

TIP SEVEN:
Group Process

Teams function best if all members feel included, accepted, and respected.

There are many ways to accomplish inclusion. Take time for lengthy introductions during the first meeting. Ask individuals to share more than their names and positions (e.g., why they care about the group's issue or something personal about themselves). Model the introduction yourself. Continue introductions for the second or third meeting until all members really know one another. LISTEN CAREFULLY to what people have to say. By modeling this behavior, you will encourage others to do the same. *This is especially important in groups with client representatives, cultural diversity, or a high potential for conflict.* Sometimes restating what a person said and asking if it is correct is a useful way of making members feel heard.

TIP EIGHT:
Group Process

Teams function best if communication is open, honest, thoughtful, and direct.

Establishing a climate for open, direct, but respectful disagreement is most important. Keys to accomplishing this include leader modeling, formal rule-setting, reminding members of "the rules," (e.g., "That sounds like finger-pointing to me. We're not here to blame, but to understand causes and find solutions."), and positive reinforcement to the group as a whole and to selected members. If group members cannot disagree openly with each other, something is wrong. Members may be fearful of what could happen to them as group members if they openly disagree. *Early, heated, unresolved conflict in a group can be very destructive to open communication and should be resolved through group discussion as soon as possible.*

TIP NINE:
Group Process

Teams function best if group-process rules are formally set by the group and agreed to by all.

Group-process rules include how the group shares leadership, communicates, makes decisions, and handles logistics.

Shares leadership: "Jack is always in charge," or "leadership will be shared and we will work out among ourselves who will share leadership."

Communicates: "We encourage open, thoughtful disagreement in this group; personal attacks are discouraged." "If individual team members really want to argue with each other, they are free to do so, *but not on group time.*"

Makes decisions: "The director will make the final decision on all our products before they go to the public." "The Director wants us to present a united product—and he wants a consensus." "The superintendent wants to hear everyone's points of view—even if we cannot agree." "All critical decisions on this product will be made by the whole group unless we delegate this power to a subcommittee." "It's important for us to talk amongst ourselves on this issue, but plotting is discouraged."

Handles logistics: "We will always start on time and work for no more than three hours." "Individuals or subcommittees will not take on assignments unless they know they can complete them on deadline." "We will share responsibility for taking and distributing notes among all departments." "The Special Education Department has responsibility for the logistical/staff support of this group."

TIP TEN:
Group Process

Teams function best if the decision-making process is clear, understood, and agreed to by all members.

There are several steps in the decision-making process:

- ◇ Gathering of information
- ◇ Developing options
- ◇ Summarizing
- ◇ Consensus testing
- ◇ Drawing conclusions
- ◇ Ensuring acceptance

These functions are usually shared within the group. You may find that some individuals specialize in certain areas such as summarizing or consensus testing, for example. In some groups, one person makes all the decisions. In others, decisions are made by modified consensus. In still others, decisions are made by majority rule. All methods can work fine if everyone knows and accepts this method as the rule (see above). The group *must have* a rule on how to handle dissenters to an important decision. Under majority rule, the dissenters must abide by the decision until the next vote. (See Tip Eleven for consensus.)

TIP ELEVEN:
Group Process

Consensus decision-making increases the probability of committed implementation. Consensus is not unanimity.

A unanimous decision is one in which all group members are in agreement. In consensus, a member will agree to accept or abide by a decision even though he or she personally disagrees with it. In Quaker circles, this is called "standing aside." The member understands the common will of the group and allows the group to progress. The member is comfortable enough with the decision not to work against it, though he or she may adopt a "wait and see" attitude of less than full commitment. A thorough exploration of differences is necessary to achieve true consensus, but it is worth it, because the exploration itself leads to stronger commitment once the decision is made.

TIP TWELVE:
Group Process

Positive reinforcement in the face of discouragement and flagging energy works wonders, especially reinforcement by authority figures.

Anticipate and plan ahead for episodes of flagging group energy. Consider a range of ways to build morale: a proclamation by a political or civic leader, a change of scenery, testimony from a beneficiary of the group's work, and so forth. Be creative!

TIP THIRTEEN:
Group Process

A sense of humor and time out for fun, especially at meetings, are critical to building a sense of teamwork.

Laughing together brings people together. Collaboration is hard work, sometimes ambiguous, and often stressful. Remember that joining in common cause with others of good will is one of life's sweetest pleasures. Humor can help a group to get back in touch with its reason for being. It can rekindle enthusiasm for the shared work that has brought the group together. Lighten up!

Attention to these tips on a regular basis will not only build an effective team and improve your chances of developing and implementing an excellent product, but it will also make the experience individually satisfying and rewarding for all team members.

Participant Activity Chart 4.1

Power and Decision-Making in the Collaborative

Collaboration _____
Who currently has the real power and why?
Who makes the most important decisions?
What is the impact of power structure on other collaborators? On populations perceived to not have much power? On youth/families?
What new ideas for sharing power and decision-making might improve engagement and or outcomes?



Participant Activity Chart 5.1

Organizational Missions

<p>What is the mission behind your organization's work? What are its goals?</p>	
<p>What is your organization trying to accomplish now? How can collaboration help it?</p>	
<p>Who are the key players in your organization? Do you have their consent and engagement in your collaborative work?</p>	
<p>What are you willing to give up to spend time collaborating with others?</p>	
<p>What is important to your organization's mission that you cannot achieve on your own?</p>	



Participant Activity Chart 6.1

Jolloid Simulation

Start by forming a circle. One person will be the external supplier and start the jolloids into the system. Another person will be the contact point and pass the jolloids out to the customer. A final person will be asked to take measurements tracking the number of jolloids started, and the number of jolloids that make it to the customer. The object of the simulation is to get as many jolloids through the system as possible (playing catch). The simulation will be conducted two times with the following rules:

1. The external supplier provides jolloids to the group as fast as the contact point will take them.
2. Each person must use the same "customer" each time.
3. Supplier/customer pairs may not repeat. (No $A \rightarrow B \rightarrow A$)
4. Each person must handle each jolloid at least once, and the balls must eventually exit through the contact point.
5. Do not pick up any dropped jolloids.
6. You will be given one jolloid and one minute to determine the flow of the activity. You will be asked not to discuss the simulation; simply determine a flow and remember who your customer and supplier are.
7. The simulation will run for one minute.

As a group, we will overview the *Problem Solving Process* and apply the process to this activity once the simulation has been completed. After a solution has been reached, we will conduct the simulation as before. The same measurements will once again be taken while running another one-minute simulation.



Participant Activity Chart 6.2

MEASUREMENT SHEET FOR PARTICIPANT/OBSERVER

Quality Control

Observed Difficulties

First Run

<u>Problems</u>	<u>Frequency</u>
Dropped by workers	_____
Poor feed by supplier	_____
Collision	_____
Other:	_____
_____	_____
_____	_____
_____	_____
_____	_____

Observed Difficulties

Second Run

<u>Problems</u>	<u>Frequency</u>
Dropped by workers	_____
Poor feed by supplier	_____
Collision	_____
Other:	_____
_____	_____
_____	_____
_____	_____
_____	_____



Participant Activity Chart 7.1

Select an Important Upcoming Meeting

Write in the name or topic here

The priority for this meeting is

The priority has been set by

The priority has been agreed to by

The criteria used to establish this priority include

If someone wants to change this priority, we must

The worst explosion that could occur at this meeting is

Strategies for averting or remedying the explosion are



Participant Activity Chart 8.1

Identifying Rocks, Pebbles, Sand, and Water

The following list of resolved issues are important ones for many collaboratives to achieve. A collaborative that had accomplished everything it wanted might generate this kind of list. Review the list and delete any issues whose resolution is unimportant or irrelevant in your community. Alter any statements that need modification, and add additional ones that better fit your situation.

Considering your work over the coming twelve months, which of these areas should your collaborative consider to be a rock? Which are relatively unimportant (sand, pebbles, water)? Complete this exercise individually, then discuss your answers with your partner.

1. The policy leaders of our community have given our collaborative a major role in decision-making about children and families.
2. There are a number of other collaboratives and policy reforms that sometimes affect our collaborative by competing for time, membership, and resources.
3. Our collaborative has allowed the real issues that affect children and family programs to be debated and has learned to handle discussion of differences in values and other forms of conflict effectively.
4. Our collaborative has broadened its membership and its outreach to other groups in ways that have made it more representative of the whole community it serves and the clients it seeks to help.
5. Our collaborative has actively engaged front-line workers and their representatives in the process of making changes in the way agencies serve children and families.
6. Our collaborative has identified the most important barriers to its success, has had an open discussion of those barriers, and has developed policy agenda aimed at reducing or eliminating some of these barriers.
7. Our collaborative has set clear priorities in a way that enables it to devote resources to the priorities that are more concentrated than would have otherwise been possible.

*Identifying Rocks,
Pebbles, Sand,
and Water
continued*

Participant Activity Chart 8.1 continued

8. Our collaborative has designated specific target groups, programmatic approaches, geographic areas, or cross-cutting areas of emphasis. These target groups, based on age, ethnicity, geography, or other need factors, have been selected for priority attention.
9. Our collaborative has done detailed budget analysis, thus enabling it to review the projected annual costs of current trends in caseloads and spending.
10. Our collaborative has developed a summary of the most important items in the county budget affecting children and families.
11. Our collaborative has developed a summary of the most important items in other governments' and agencies' budgets affecting children and families, including United Way, cities, and school districts.
12. Our collaborative has assessed the impact of recent state and county budget changes on children and youth.
13. Our collaborative has selected re-allocation and/or refinancing options affecting children and family programs that have been adopted as formal policy priorities of the county.
14. Our collaborative has translated our priorities and outcomes into budget commitments from members to be fulfilled in the year ahead.
15. Our collaborative has developed an inter-agency training program that is jointly funded and provides front-line staff with in-service training needed to perform as part of a collaborative team.
16. Our collaborative has provided support to policy leaders, enabling them to network with their counterparts who are working on similar issues around the state and the nation.
17. Our collaborative has successfully come to an agreement on the most important goals that its members share and the outcomes by which its members will measure and assess how we have achieved them.

*Identifying Rocks,
Pebbles, Sand,
and Water
continued*

18. Our collaborative has agreed upon an annual, public review of the outcomes that it has set as the indicators of its success in meeting its goals.
19. Our collaborative has agreed upon a process for upgrading our inter-agency data collection and analysis capacity over the next two years.
20. Our collaborative has agreed upon the ways in which it will desegregate data in order to assess the disproportionate impact on ethnic and linguistic minorities.
21. Our collaborative has agreed upon new forms of accountability among its members, committing them to providing resources to achieve its shared goals.
22. Our collaborative has addressed the need to seek blended, decategorized funding based on new accountability for outcomes we set.
23. Our collaborative has selected a priority set of programs that it intends to evaluate against standards of effectiveness that members agreed to apply over the next one to two years.

Discuss the following questions with your partner.

- Why are the rocks important to your collaborative now?
- What steps can you take to ensure that the rocks get the proper attention from collaborative members?
- What are our three best suggestions for keeping our collaborative partners focused on primary issues?



Role-Play Guidelines

Participant #1

A school principal who wants the Private Industry Council (PIC) to use some federal grant dollars for transporting high school students to apprenticeship opportunities.

Participant #2

The Private Industry Council (PIC) program director who cannot apply federal job training grant money to transportation.

The Situation

Apprenticeships have been organized for 20 students and are to begin in one week. Most of the opportunities are 15 miles or more from the students' homes, and personal transportation is unavailable. The Superintendent has instructed the Principal to make this work, as he is out on a limb with the Board about the program. The PIC brokered the apprenticeships and believes it is not their responsibility, nor do they have funds in this grant to transport the students. If the program does not go into action next week, the PIC may have to return the grant dollars, plus administrative expenses. The PIC Executive Director will not be happy, and the program director will be out of a job if funding is reduced.

Observer

Make a list of key questions that could be asked by either participant.

- What did you observe about the first discussion period?
- What changed in the second discussion period?
- Did either participant seek to gain more understanding of the other person's problem?

Participant Activity Chart 9.1

Seek First to Understand

Select a critical issue facing your collaborative in the coming months and write it below:

Complete the chart, keeping this issue in mind.

Collaborative Partner	My perception of partner's wants or needs	Areas I need more clarity about	Key questions I could ask



Problem Statement

Poor Example:

Our customers are getting later and later in paying their bills.

Improved Example:

In the last six months (**when**) 20% of our repeat customers – not first-timers – are late, over sixty days (**what**) in paying our invoices. The current rate of late payments is up from 10% in 1990 and represents 30% of our outstanding receivables (**magnitude**). This negatively affects our operating cash flow (**concern or consequences**). We need to reduce late paying customers to 5% or less and under 8% of receivables (**gap defined in terms of internal requirements**).

PROBLEM STATEMENT

OBJECTIVE

Write a description of the problem upon which all members agree.

RULES

Include the following ideas:

- Describe what is observed.
- Describe effect.
- Describe the magnitude of the problem.
- Describe how long or when the issue was first observed (time).
- Delete any solution.
- Do not include anyone who (points fingers, assigns blame).

PROCESS

- Identify key issue.
- Draft statement.
- What, when where, how much.
- Discuss until all agree.

APPLICATION

- Focus group efforts.
- Ensure problem is clearly defined before solving.

RELATIONSHIP

- Focus
- Drive consensus



Multi-Vote

<u>OBJECTIVE</u>	<u>RULES</u>	<u>PROCESS</u>
<ul style="list-style-type: none"> • Drive consensus • Converge 	<ul style="list-style-type: none"> • Individuals silently rank their ideas. • Each person provides their ranking. • No one makes judgments. • Write all ideas where everyone can see. 	<ul style="list-style-type: none"> • Combine any ideas. • Number the items. • Each member selects ideas: <ul style="list-style-type: none"> - 4 points = first - 3 points = second - 2 points = third - 1 point = first • Resolve any ties.

<u>APPLICATION</u>	<u>RELATIONSHIP</u>
<ul style="list-style-type: none"> • Prioritizing multiple items • Converging process 	<ul style="list-style-type: none"> • Equalization • Prevents domination • Focuses group • Prepares for problem statement

<u>Fast Multi-Vote Process</u>
<ul style="list-style-type: none"> • Options are on flip charts posted on walls. • Give each participant a marker. • Allow each participant three marks (or five marks) to vote for his or her choices. • Can use all marks on one or distribute them.



Characteristics of Brainstorming

- Ideas are creative.
- Ideas are imaginative.
- Generation of ideas is fast-paced.
- Session is short, fun and lively.
- Ideas are fuzzy and disconnected.
- Thinking is non-linear.
- Ideas diverge.
- Knowledge of issue is not critical.
- Quantity of ideas is stressed.

Characteristics of Brainwriting

- Technique is much like brainstorming.
- It is written.
- Allows for more inclusion of those who may tend to be introverts.
- Should move somewhat quickly from idea to idea.
- Facilitator probes spur idea generation.
- Knowledge of issues is not critical.
- Ideas may diverge or converge.
- Quantity and creativity of ideas are stressed.



Likelihood/Impact Analysis

The purpose of this process is to, into a four-point scale, format a series of events or activities that have been generated as the result of either brainstorming or nominal group technique, analyzing a) the likelihood of occurrence, and b) the impact of such an occurrence. Each event or activity is listed on a *Likelihood/Impact Questionnaire (Attachment A)*.

When deciding what events will go on the rating sheet, be careful to

1. avoid ambiguous statements;
2. avoid overlapping statements;
3. avoid one-sided statements that evoke a predictable response;
4. keep the number of statements short;
5. select statements that could occur within a feasible length of time; and
6. use language known to all respondents. Avoid jargon.

The steps listed below should be followed to complete the *Likelihood/Impact Analysis*:

1. Total all responses for the likelihood of each event. (Note the number of respondents for each event.)
2. Total all responses for the impact of each event. (Note the number of respondents for each event.)
3. Calculate the average score for the likelihood of each event.
4. Calculate the average score for the impact of each event.
5. Write the number of the event into the appropriate cell of the *Likelihood/Impact Matrix (Attachment B)*, rounding up or down to whole numbers.
6. Examine the matrix for cells of high likelihood/high impact, high impact/low likelihood, unusual or unexpected placement of events in the matrix, events which seem in some way related, and unusual interpretations by participants.



Attachment A

Likelihood/Impact Questionnaire

FUTURE STRATEGIES	LIKELIHOOD					IMPACT (presuming occurrence)				
	Low				High	Low				High
1. _____ _____ _____ _____	1	2	3	4	5	1	2	3	4	5
2. _____ _____ _____ _____	1	2	3	4	5	1	2	3	4	5
3. _____ _____ _____ _____	1	2	3	4	5	1	2	3	4	5
4. _____ _____ _____ _____	1	2	3	4	5	1	2	3	4	5
5. _____ _____ _____ _____	1	2	3	4	5	1	2	3	4	5
6. _____ _____ _____ _____	1	2	3	4	5	1	2	3	4	5
7. _____ _____ _____ _____	1	2	3	4	5	1	2	3	4	5



Likelihood/Impact Matrix

L
I
K
E
L
I
H
O
O
D

LOW
1
2
3
4
HIGH

IMPACT

LOW

HIGH

1

2

3

4



Participant Activity Chart 11.1

Mapping a Family's Experience

The Smith Family

Cal Smith is a fifteen-year-old who has been convicted of selling drugs and of carrying a weapon at the time of his arrest. Law enforcement officers believe that he is a member of a local gang that has been involved in several recent robberies. Returning from a state reform school, he is going to live with his mother, stepfather, four brothers and sisters, and three cousins. Cal's stepfather is described as an unemployed, disabled alcoholic. Cal's father, whom he idolizes, is generally absent, offers no financial support, and is suspected of using drugs.

Cal's mother works the night shift as a nurse's aide to support the family, leaving Cal to watch the children. She wants to enroll in night school, but cannot find a day-shift job. Transportation to her work and to agency services is costly and inconvenient, because the family has no vehicle.

Cal is described as bright, very emotionally needy, and a non-stop talker. He has a good vocabulary and scored at the 11th and 12th grade levels on achievement tests, but he has only a few high school credits. He is now ready to return to the regular high school in his community.

Your Task

Chart all of the processes (transactions) that members of this family might have with any organization that could meet their unique needs. Pay attention to the following:

- Write large; you can use as much paper as you like.
- Feel free to modify or adjust the symbols to meet your needs.
- Be explicit about the outcomes of the interaction (what has changed for the family member).
- Show interactions between organizations (referrals, case management, etc.).
- Show how each of the family members enters, exists in, and exits the system.

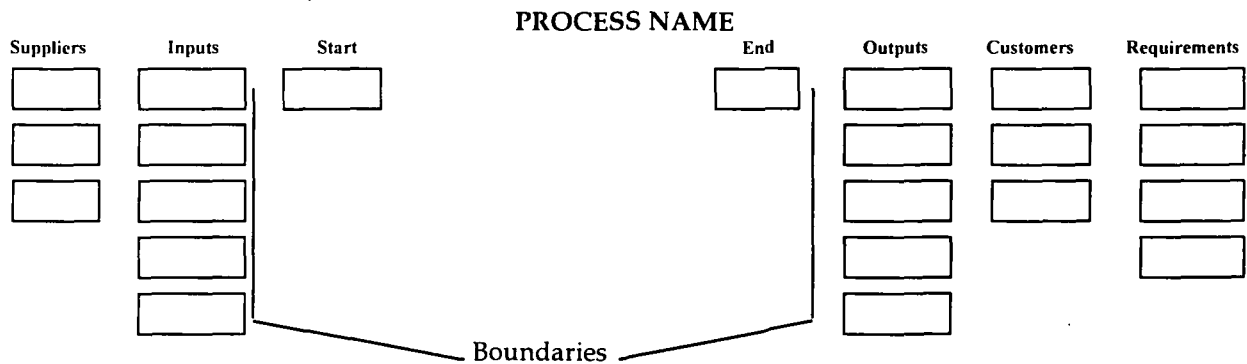
Your group will be asked to present your map and give a short (2-3 minute) summary of what you learned by attempting to map this process.



Basic Steps of Process Mapping

Process Mapping is best done in a Storyboard environment. The idea is to develop a picture of the working process as a team. Following are steps to effective process mapping:

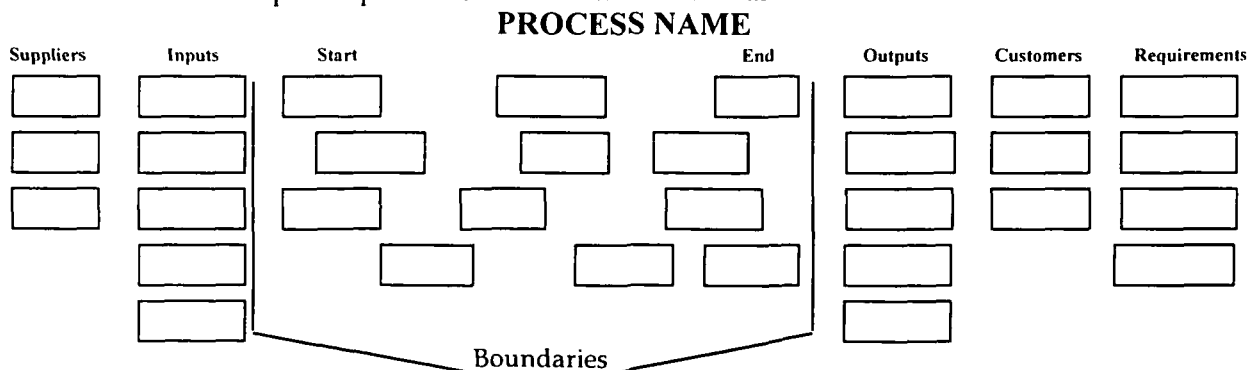
1. Define the process or service to be improved.
 - Write the name of the process on a card and put it on the wall.
2. Agree on the beginning and end the steps of process to be analyzed.
 - Write the steps on cards and place them on wall.
3. List the outputs of this process and the customers for those outputs.
4. List the inputs to the process and the suppliers for those inputs.
5. Identify process boundaries with tape.
6. Determine key requirements the customers have for the outputs; also identify our input key requirements.



7. Brainstorm the Process Steps -- Use Verbs.

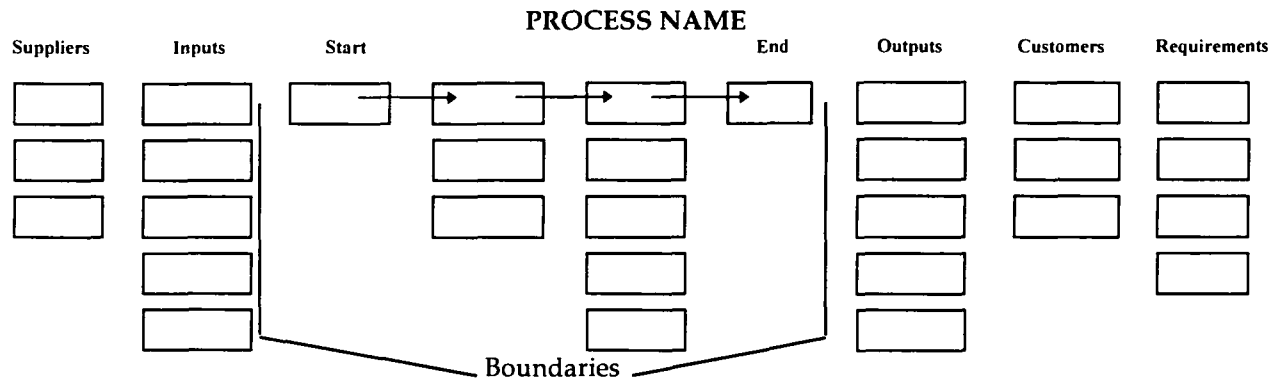
Have each team member write separately on cards what they think are the key process steps (8-12 maximum). Hints:

 - Write large.
 - Don't try to establish order.
 - Don't use different colored cards or symbols.
 - Don't discuss process steps in detail.
 - Each person places his or her own cards on wall.

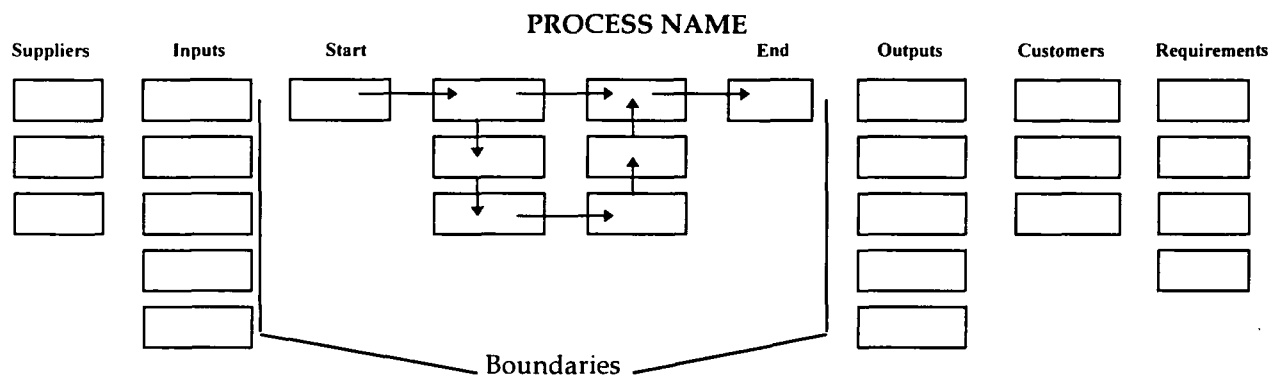


Basic Steps of Process Mapping (Continued)

8. Combine similar cards and agree as a team on the 10-12 steps.
9. Place the cards in sequential order.



10. Arrange the remaining cards as sub-process steps beneath the 10-12 key steps.



11. Discuss steps and differences in detail.
 - Add major decision points.
 - Add decision loop and support activities.
 - Add process controls (measures).
 - Add process mechanisms (machines, people, methods).
 - Explode nested group cards to detail as needed.
12. Validate the Process Map with a "walk-through" of the actual process by the entire team.
13. Change the Process Map to correspond with the physical process.

Hints:

The *Goal* is not to produce a detailed map as quickly as possible.

The *Process* is team discussion to improve understanding, to identify improvement opportunities, and to solve problems.

You Make the Call

Facilitation Scenarios

1. You are the facilitator of a Regulation Reduction Task Force that has been meeting for the past four months. The cross-functional team (including the high school, Private Industry Council, and the Health Department) has made good progress. Unfortunately, the team chairperson has been transferred and the team is now to be led by Bob, who is relatively new to the group.

Bob is very bright, and the thinking is that he has such expertise in regulatory affairs that his lack of formal team experience will be only a minor inconvenience.

In his first meeting, you see several group members put off by Bob's disregard of group norms. It's bad enough that he tried to cut off the discussion at the last meeting before everyone got to speak, but there aren't even any donuts today.

2. Fred and Harry have hated each other since 1983, when Fred was promoted to a job Harry wanted. You can't believe they are both on your task force to reduce costs and improve services through the collaborative.

You are only in your second meeting as facilitator when you find yourself pointing out to Fred that brainstorming is not a time to criticize ideas. Of course, you know that these two look for opportunities to "zing" each other. Other group members just roll their eyes at the interactions. You know you have to address them. Fred is difficult, but you are also not wild about Harry's behavior.

3. Days like these make the facilitator's job a hard one. The senior management team is discussing an implementation plan for staff training when a Division Director launches into a lengthy monologue on the need to increase efficiencies in order to stay competitive in these difficult times. No one appears willing to point out that he has gotten off the topic, although several of the managers intermittently gaze your way.

**You Make the Call
continued**

4. You appear to be making progress with a tough group of people. It seems as if they are close to buying into several ways of sharing space in a facility when the conversation turns to shift pass-off procedures and quickly escalates to finger pointing between different shift leaders. You now remember that this isn't "Mr. Rogers' Neighborhood."
5. Your team has apparently just reached a decision to recommend that a new procedure be tried in the collaborative on an experimental basis for the next three months. If the procedure doesn't work according to the criteria spelled out, the collaborative will go back to the way it used to be done.

Unfortunately, the decision was made by vote of the eleven team members; the vote was nine to two in favor. The team chairperson says "Looks like pretty much of a consensus; let's try it, just as an experiment."

6. You are facilitating an education and awareness group that is hoping to improve communication in the collaborative. One particularly vocal group member has started a lengthy explanation of what he sees as the "real" problems on which the group should work. Two others appear to be drifting off, while a side conversation seems to be occupying two others across the room. You aren't sure who is more annoying to you.
7. Art was supposed to have a report for the team on how long it would take to install the new piece of equipment the team has recommended. Obviously, he is unprepared. The team chairperson quickly glosses over the situation and sets a new due date for the information, without checking with the team. He then moves on to the next order of business.
8. You are listening to the task force and can tell that many are not participating. The team chairperson seems to be "pulling teeth" in order to get any idea of where people stand. Both the chairperson and the team members appear to be frustrated.

Facilitator Intervention Continuum

Purpose of Intervention	Styles of Intervention		
	Highly Directive	←————→	Non-Directive
1. To observe where the group is in the process.	"You need to keep moving."	"You have 15 minutes left."	"What are we?" "What are we trying to do?"
2. To explain use of process and tools.	"This is how to construct a fishbone diagram."	"Could we brainstorm this issue?"	"What tool will we need?"
3. To prompt action	"Let's do this . . ."	"Maybe we could try this?"	"Any ideas on how to do this?"
4. To evaluate the current situation	"You aren't doing this well . . ."	"This doesn't seem to be working well."	"How can we use our time better?"



Participant Activity Chart 13.1

Developing Role-Play Scenarios

Problem/Issue Statement:

Key Players

Name	Title	Key Information/Bias

Other Key Factors:



TQM Group Activity

Group A - Quality Management Council (QMC)

If you were to establish a Quality Management Council for your collaborative venture

- who would need to be a member?
- what would need to be addressed to get real decisions made by consensus?

Group B - Customer Service (CS)

- List the internal and external customers for your collaborative venture.
- What are the needs and expectations of each?
- How can you know that these are needs and expectations and that they are being addressed?

Group C - Managers and Employees (ME)

- What are the most important changes that would need to occur in the role of managers and employees in your collaboration?
- To what areas and decisions might employees contribute more productively?

Group D - Quantitative Methods (QM)

- What specific measurements would help your collaborative to measure whether they were on the right track?
- Where is this information available?
- Who needs this information the most, and what could they do differently if they had it?
- List all the processes that occur within your collaborative work.
- Which of these are good targets for examining?
- What are simple approaches you can think of to examine these processes on a regular basis?

Group E - Continuous Process Improvement (CPI)

- List all the processes that occur within your collaborative work.
- Which of these are good targets for examining?
- What are simple approaches you can think of to examine these processes on a regular basis?



Total Quality Management

⇒ TQM Defined

⇒ QMC: Quality Management Council

⇒ CS: Customer Service

⇒ ME: Managers and Employees

⇒ QM: Quantitative Methods

⇒ CPI: Continuous Process
Improvement



TQM Defined

Total Quality Management (TQM) is a strategic integrated management system, designed to achieve customer satisfaction, involve all managers and employees, and use quantitative methods to achieve continuous process improvement.

QMC

Quality Management Council

First and foremost, TQM is a strategic integrated management system. It composed of membership from all parts of the organization. Those traditionally considered management are present, plus any other stakeholder group representatives such as labor, special interest groups, and employees with special expertise. The goal is to include all perspectives on the Council. There is no prescription for the composition other than the general guideline that all stakeholders should be represented.

Another very significant aspect of TQM is that all decisions are made by consensus. Everyone needs to agree (or at least agree not to block) decisions reached by the group.

These two key features

⇒ **stakeholder representation**

⇒ **consensus decision-making**

make all of the difference.

A Quality Management Council offers the possibility of genuine sharing of vision, values and strategy by all members of the organization.

CS

Customer Satisfaction

TQM is designed to increase customer satisfaction. To increase customer satisfaction, the customer must be a priority. Whether by intention or not, public organizations often become preoccupied with internal problems and issues. The focus is on "fixing" things and the customer is ignored.

The only way an organization can survive in the long run is to focus on the customer. This means recognizing that the customer has both needs and expectations, and that an organization intent on survival and excellence must focus on both of these components of customer satisfaction.

Every organization needs to identify its external and internal customers. External customers are those people outside the organization who are the recipients of the organization's goods and services. The internal customers are those people within the organization whose output is input for others within the organization. These are two significant customer groupings, but **THE EXTERNAL CUSTOMER IS PREEMINENT!** Without an external customer and a relatively happy one at that, internal customers will not be around for long. This does not imply that the internal customers are unimportant. In fact, one very effective way to satisfy external customers is to satisfy internal customers as well.

An organization just beginning its quality journey must focus on the critical issues of who the organization's customers are and how they will be served.

ME

Managers and Employees

TQM involves all managers and employees. Everyone must become involved in quality for the organization to develop a sense of alignment and common vision. TQM involves employees in new ways, including decision making. But TQM is not an excuse for management to abrogate its responsibilities. Involving employees in analyzing the work and making recommendations accomplished three things:

Fosters Employee Involvement:

Including all managers and employees ensures employee involvement.

Engages Expert Knowledge:

With employees involved, the true "experts" are available. Managers are involved in the work in many ways, but are often removed from the location where the work is accomplished. Management knowledge of the work and work processes is typically partial or incomplete.

Produces Win-Win Solutions:

With everyone involved, true commitment to the work and the organization can occur. Management sees work coming under control. Employees see their frustrations decrease. It's a win-win situation.

QM

Quantitative Methods

TQM uses quantitative methods. . . statistics. But they are extremely easy to learn and apply. The Japanese have made TQM statistical tools into an art form. The field of statistics that so many of us remember as a frightening school of study has been re-crafted into an easy to understand, applicable and powerful way to do business. The tools seemingly flow one into another and can be applied anywhere for measurement and definition of any problem or process.

Most organizations, especially in the public sector, need only a handful of these tools, such as the flow diagram, cause and effect diagram, and Pareto chart, to make very dramatic improvements in their work. With a couple of additional tools, like check sheets and run charts, a team can work on a process and demonstrate improvements with a high degree of certainty.

CPI

Continuous Process Improvement

TQM assumes that you never "fix" anything permanently. This can be a very difficult concept for most managers to accept. The words "*continuous process improvement*" capture the essence of TQM.

Processes within your system will vary from the norm forever. Nothing you do can prevent this. If we manage to bring a process under control, but then re-focus on other work, the first process will eventually become out of control again unless we have in place an ongoing method to monitor it and keep it under control.

Many TQM practitioners advocate working first on one process, and then on another, with no deliberate strategy to insure that either process is kept under control. This is in error. Continuous feedback procedures must be in place to ensure that the process is kept under control for as long as it exists. By definition, continuous process improvement means that you will be doing TQM forever, or at the very least, for a very long time.