California's
Safe and Drug-Free
Schools and Communities
Technical Assistance & Training Project
Governor's Program

SDFSC Grantee
Learning Community Conference 2010

Opportunity
NEXT EXIT

CARS
CENTER FOR APPLIED RESEARCH SOLUTIONS

Managed by the Center for Applied Research Solutions
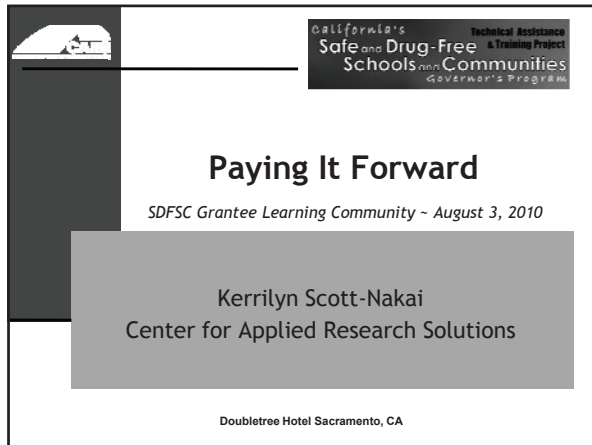**Funded by the California Department of Alcohol and Drug Programs**

AGENDA

Day One: Tuesday, August 3, 2010

8:00 to 8:30	**Registration, Networking, and Continental Breakfast**
8:30 to 9:00	**Welcome and Overview** Jane Williams, ADP and Kerrilyn Scott-Nakai, CARS
9:00 to 9:30	**Paying It Forward: Learnings and Opportunities to Advance the Field** Facilitated by Kerrilyn Scott-Nakai
9:30 to 10:30	**Rising to the Challenge of Diverse Resources and Funding** Facilitated by Jan Ryan Grantee Presentations: Brenda Armstrong, Santa Cruz and Katalina Martinez, Kern
10:30 to 10:45	**BREAK**
10:45 to 11:45	**Rising to the Challenge of Diverse Resources and Funding** Facilitated by Christina Borbely and Jan Ryan Grantee Presentations: Ellen Swedberg, Sonoma and Shirin Vakharia, Napa
11:45 to 1:00	**LUNCH AND NETWORKING**
1:00 to 2:00	**Ensuring Relevant Services: The Participant Perspective** Panel facilitated by Angela Da Re and Dustianne North. Panelists: Sutter-Yuba, Butte, and Sacramento
2:00 to 3:00	**Documenting Our Success: Local and Cross-Site Evaluation Update** Facilitated by Christina Borbely
3:00 to 3:15	**BREAK**
3:15 to 4:45	**Making It Happen: A Hands-On Sustainability Session (Concurrent Breakout Sessions)** ▪ Program Changes: Transitioning, Closure, and New Beginnings Facilitated by Diane Brown ▪ Strengthening Partnerships and Collaborations Facilitated by Jerry Sherk and Dustianne North ▪ Sustainable Budgeting ▪ Facilitated by Paul Nolfo ▪ Telling Your Story: How to Effectively Market Your Program ▪ Facilitated by Gina Cuclis
4:45 to 5:00	**Closing and Overview of Day Two**

Day Two: Wednesday, August 4, 2010

8:00 to 8:30	**Registration, Networking, Continental Breakfast, and Welcome**
8:30 to 10:15	**Strategic Sustainability: Stories, Skills, and Secrets** Facilitated by Christina Borbely Grantee Presentations: Dean Lesicko, Riverside, Armando Chavez, San Bernardino, and Gary Najarian, Marin
10:15 to 10:30	**BREAK**
10:30 to 12:00	**Making It Happen: A Hands-On Sustainability Session** (Concurrent Breakout Sessions) - Program Changes: Transitioning, Closure, and New Beginnings Facilitated by Diane Brown - Strengthening Partnerships and Collaborations Facilitated by Jerry Sherk and Dustianne North - Sustainable Budgeting - Facilitated by Paul Nolfo - Telling Your Story: How to Effectively Market Your Program - Facilitated by Gina Cuclis
12:00 to 1:00	**LUNCH**
1:00 to 3:00	**Sustaining Prevention: Collaborating for Success** Panel Facilitated by Jan Ryan Panelists: Greg Austin, WestEd, Tom Herman, CDE, Marian Gage, Butte County SDFSC and TUPE Coordinator, and Dottie Reichard, SDFSC District Coordinator, Riverside County
3:00 to 3:15	**BREAK**
3:15 to 4:00	**Paying It Forward: Summary and Closing**

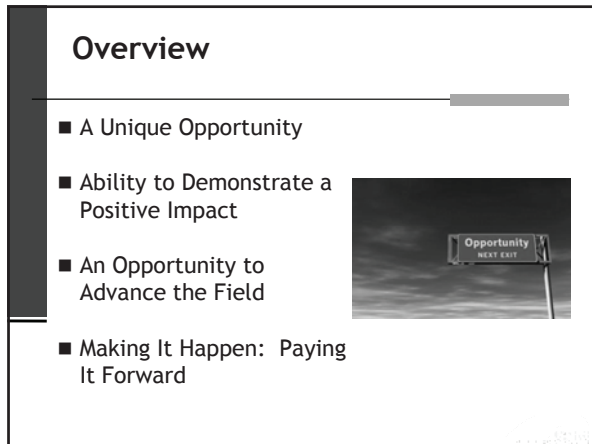# Paying It Forward: Learnings and Opportunities to Advance the Field

Paying It Forward
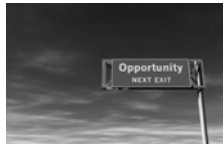
SDFSC Grantee Learning Community ~ August 3, 2010

Kerrilyn Scott-Nakai
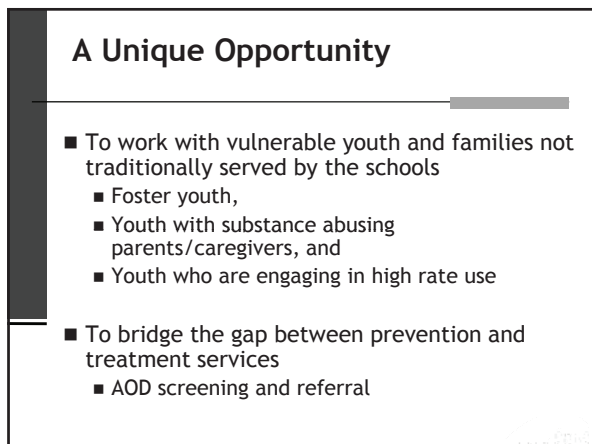Center for Applied Research Solutions

Doubletree Hotel Sacramento, CA

Overview

- A Unique Opportunity

- Ability to Demonstrate a Positive Impact

- An Opportunity to Advance the Field

- Making It Happen: Paying It Forward

A Unique Opportunity

- To work with vulnerable youth and families not traditionally served by the schools
  - Foster youth,
  - Youth with substance abusing parents/caregivers, and
  - Youth who are engaging in high rate use

- To bridge the gap between prevention and treatment services
  - AOD screening and referral

A Unique Opportunity

- To expand services to non-traditional settings, including:
  - Continuation schools, juvenile halls, and group home setting.
- To build county, community, and school partnerships.

A Unique Opportunity

- To replicate and locally adapt two primary evidence-based service models
  - Project Success
  - Strengthening Families
- To document evidence of outcomes at both the local and cross-site level.

A Positive Impact

- On average, grantees are providing intensive services to 125 youth (and their families) per year.
  - Ranging from 50 to 275 youth/families per grant
  - Estimated total of 2,250 youth/families per year
- Some grantees are combining with universal grade level and school wide services.
  - Ranging from 350 to several thousand youth per grantee
  - Over 10,000 additional students served each year

CARS

SDFSC Learning Community 2010

Safe & Drug-Free
Schools & Communities
Technical Assistance Project
California's Governor's Program

A Positive Impact

- Local and Cross-Site data
  - Age of first use
  - 30 day use
  - Attitudes towards use
  - Harm perception of use
  - Positive connections with adults, school, and community

- Preliminary positive findings

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Opportunity to Advance the Field

- What is the value and impact of services?

- What were the common challenges and potential solutions?

- What are the best practices and most innovative approaches?

- What the critical lessons learned?

- What resources or tools can be shared?

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Paying It Forward

- Potential Ways to Pay It Forward
  - Regional round table discussions
  - Case studies
  - Peer sharing/mentoring

- Let's Hear From You

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Paying It Forward: Here and Now

- Over the Two Days
  - Flip Charting
  - Passing the Baton

- Passing the Baton "Kick Off"

SDFSC Grantee
2010 Learning Community Conference
Paying It Forward: Capturing Our Learnings

Thank you in advance for your participation in the 2010 SDFSC TA Learning Community Conference. With the California SDFSC Governor's Program initiative entering it's last year, the conference is focused on documenting the implementation successes and challenges—with an emphasis on identifying lessons learned and best practices that can be shared with other non-funded counties and the broader prevention field.

Time is allocated on day two for having open discussions in order to try to capture the critical lessons learned and best practices from the initiative. We'd like you to consider these questions in order to prepare for this discussion. We are not asking you to formally prepare information, just to actively reflect on the questions relative to your SDFSC project in order to capitalize more fully on our on-site discussion time together.

1. *Serving Selective and Indicated Populations*

Programs or activities funded through the SDFSC Governor's portion are intended to complement and support activities of local educational agencies. The emphasis is on serving at-risk and underserved youth and communities. More specifically, priority was given to programs that ensured the provision of services to: a) Children and youth who are not normally served by State or local educational agencies; or b) populations that need special services or additional resources such as youth in juvenile detention facilities, runaway or homeless children and youth, pregnant and parenting teenagers, and school dropouts. Cohort III funded grants were more specifically charged with serving one of three selective and indicated populations: children of substance abusing parents, foster youth, and youth engaging in high rate use.

- ✓ What is the value and/or impact of transitioning services to include a focus on selective and indicated populations?

- ✓ What are common obstacles to serving selective and indicated populations? And what are some potential solutions to these barriers?

- ✓ What are the best practices/most innovative strategies that were used? What is needed to replicate these strategies? Are there best practices that can be identify for working with each of the three priority populations?

- ✓ In summary, what are the main lessons learned that are valuable to communicate to the prevention field?

- ✓ What resources or tools were developed by SDFSC grantees that could be disseminated to other prevention providers?

2. *Conducting AOD Screening and Referral Processes*

A considerable portion of individuals who require treatment are unaware that they need help. Substance abuse prevention providers can play a significant role in helping to identify and refer people on for further assessment. In the prevention field, AOD screening is an important tool for determining an individual's risk for substance abuse. Preventative screening provides a bridge to assessment and treatment. The SDFSC grantees are uniquely positioned to provide the Department and field with learnings and strategies for utilizing screening tools and referral procedures for youth.

- ✓ What is the value and/or impact of implementing screening and referral procedures?
- ✓
- ✓ What are common obstacles to implementing screening and referral with youth? And what are some potential solutions to these barriers?

- ✓ What are the best practices/most innovative strategies that were used? What is needed to replicate these strategies?

- ✓ In summary, what are the main lessons learned that are valuable to communicate to the Department and prevention field?

- ✓ What resources or tools were developed or adopted by SDFSC grantees that could be disseminated to other prevention providers?

3. *Expanding Services to Non-Traditional Settings*

A considerable portion of SDFSC grantees expanded traditional school-based services to alternative settings, including continuation schools, community schools, juvenile halls, and in the home setting.

- ✓ What is the value and/or impact of expanding services to non-traditional settings?

- ✓ What are common obstacles to providing services in non-traditional settings? And what are some potential solutions to these barriers?

- ✓ What are the best practices/most innovative strategies that were used? What is needed to replicate these strategies?

- ✓ In summary, what are the main lessons learned that are valuable to communicate to the prevention field?

- ✓ What resources or tools were developed by SDFSC grantees that could be disseminated to other prevention providers?

4. *Building School and Community Partnerships*

Building partnerships between county offices, community-based providers and local educational agencies has been critical to the success of the SDFSC Governor's Program. As the Title IV funding is restructured and school-based substance abuse prevention resources remain limited, the need for effective partnerships is even more critical.

- ✓ What are the critical components of effective school and community partnerships?

- ✓ What are common obstacles to establishing and maintaining these partnerships? And what are some potential solutions to these barriers?

- ✓ What are the best practices/most innovative strategies that foster and enhance these partnerships? What is needed to replicate these strategies?

- ✓ In summary, what are the main lessons learned that are valuable to communicate to the prevention field?

- ✓ What resources or tools were developed by SDFSC grantees that could be disseminated to other prevention providers?

OVERVIEW OF THE CALIFORNIA GOVERNOR'S PROGRAM
SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES

JUNE, 2009

This document provides a brief overview of California Governor's Program Grantees, with a focus on the currently funded cohort. The document provides an overview of the funding priorities, the commitment to evidence-based service strategies, and the commitment to document outcomes at both the local and statewide levels. The value of these funded programs will be discussed in the context of populations served, the use of evidence-based programming and commitment to evaluation.

California SDFSC Governor's Program Overview

The California Department of Alcohol and Drug Programs (ADP) is responsible for administering the Governor's portion of the Federal Safe and Drug-Free Schools and Communities grant funding from the United States Department of Education. The primary focus of the Governor's Program is to serve children and youth who are not normally served through state and local educational agencies, or who need additional services. The Governor's Program is designed to complement the California Department of Education (CDE) SDFSC funding by serving:

- Children and youth who are not normally served by state or local educational agencies;
- Populations that need special services or additional resources such as youth in juvenile detention facilities, runaway or homeless children and youth, pregnant and parenting teenagers, and school dropouts.

SDFSC Programs that receive this funding must be based on:

- Objective data to identify needs;
- An established set of performance measures;
- Scientifically-based research;
- An analysis of risk and protective factors;
- Meaningful and ongoing participation of parents.

The SDFSC Governor's program funds are provided through a competitive grant process to county Alcohol and Other Drugs (AOD) offices for program services. To date, ADP has awarded three cohorts of grantees. For each funding cycle, ADP released a competitive grant application process to fund alcohol, tobacco and other drugs, and violence prevention programs that meet the requirements of the law and can achieve measurable results.

A third cohort of 18 grantees, were competitively awarded in October, 2007. These grants focus on the following three priority populations: foster youth, children of substance-abusing parents/caregivers in treatment, and youth with a history of high rate AOD use/binge drinking. The service priority is on selective and indicated prevention strategies.   The lead agencies are County AOD offices, who in return sub-contract with school and community-based prevention providers.   The goals of the grants are to implement evidence-based programs that aim to:

• Prevent the illegal use of alcohol, tobacco, and other drugs (ATOD/AOD);
• Prevent violence in and around schools;
• Involve parents and communities; and
• Coordinate with related federal, state, school, and community efforts and resources.

A priority on outreaching and serving vulnerable youth and their families

Among the major criteria considered by ADP in awarding funds was the emphasis placed on serving children and youth who are not normally served by state and local educational agencies and populations that need special services or additional resources.

Services provided by SDFSC Grantees target **vulnerable and underserved populations** of children and youth, and are designed to fill a gap in services. Consistent with the goals of the Governor's portion of this funding, targeted children and youth in the Round III cohort include: 1) those who exhibit high rate/binge drinking behavior; 2) those who are in foster care; or 3) those whose parents/guardians/caregivers are in substance abuse treatment.

These three populations were identified due to their particular vulnerability concerning AOD use and dependence, and violence, as demonstrated by the following data:

Under-age Binge Drinkers - Alcohol is the most commonly used and abused drug among youth in the United States, more than tobacco and illicit drugs. Although drinking by persons under the age of 21 is illegal, people aged 12 to 20 years drink 11% of all alcohol consumed in the United States. **More than 90% of this alcohol is consumed in the form of binge drinks**. (CDC, 2008)

Foster Youth - Substance use is a factor in at least three quarters of all foster care placements. Foster Youth **exhibit higher rates of illegal drug** use than youth who have never been in foster care (34% vs. 22%) (NSDUH, 2005).

Children of Substance Abusing Parent/Guardians - A new study shows that nearly 1 in 10 children have a parent abusing or dependent on drugs or alcohol. According to a report released by the National Survey on Drug Use and Health (NSDUH) a surprising number of children — more than 8 million — live with at least one parent who was dependent on or abused alcohol or an illicit drug in the past year. Children of substance abusers experience **higher rates of child abuse and neglect**, as well as other threats to their safety including physical injuries and deaths related to motor vehicle accidents. Additionally, research shows that the children of substance abusers are at **increased risk for drug and alcohol addiction**.

Currently of the 18 Grantees 12 are targeting binge drinkers, 5 address children of substance abusing parents/guardians, and 3 are operating programs directed towards foster youth. While each grantee has chosen a primary population of youth to serve, the reality is that they are traditionally serving youth that meet all three categories.

- On average, grantees are providing intensive services to 125 youth (and their families) per year. Ranging from 50 to 275 youth (families) per year.
  - o This represents an estimated 2,250 youth receiving intensive services annually.
- Most grantees are combining intensive services with less intensive universal type services reaching an entire grade level or school campus. The range for these services, ranges from 350 youth all the way up to several thousand youth per grant.
  - o This represents over 10,000 additional students receiving some level of prevention services through the iniative
- At least 7 grantees are providing intensive services to the family as a unit (e.g. Strengthening Families). When considering these services, the number of participants served by the initiative grows more significantly.
- A little under half of the grantees (8) are working in non-traditional school sites (e.g. continuation schools and/or juvenile hall settings.
- Three grantees are providing services in group homes and/or through other types of home visits.

The grants were designed to adhere to the Institute of Medicine (IOM) Model as it relates to substance abuse and prevention and to support an important area of service that works with youth and families at risk of substance abuse and most in need of prevention services. Grantees are implementing strategies that address *selected* populations and their programming is reaching *indicated* students through outreach and screening efforts. This service design forges new territory in working with youth to prevent, delay and reduce harmful AOD use and to furthermore mitigate the risky behavior and detrimental outcomes that often accompany AOD use. By providing services to indicated students, these grantees are testing out how to navigate the grey area between prevention and treatment, and will have many lessons and strategies to share.

Implementation of Evidence-Based Strategies

Consistent with the federal funding requirements, the California Governor's Program grantees are committed to adopting, implementing, and monitoring the fidelity of evidence-based programs and practices. The two main strategies selected by the majority of grantees, Project Success and Strengthening Families, have both achieved high levels of recognition, have long histories of research to support their effectiveness, and have been on numerous lists of accepted evidence-based strategies (including NREPP and U.S. Department of Education).

The lead agencies and their providers have received formal training by the developers at the on-set of the grant initiative. The grantees have also participated in follow-up and booster sessions with the developers and receive on-going technical assistance and consultation in order to ensure effective implementation of these proven strategies.
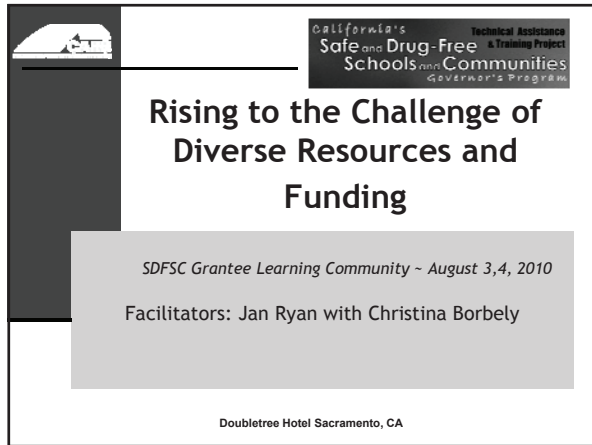
Commitment to Documenting Outcomes

There is a strong commitment by both the California Department of Alcohol and Drug Programs and by the grantees to document the effectiveness at both the local and statewide level. While grantees have adopted their own set of local level outcomes (which they report on an annual basis), the collective group has volunteered to adopt a core set of performance outcomes and to collect and report on these on an annual basis as well. This commitment to a core set of outcomes and measures, without the dedicated resources of a cross-site evaluation, is unique and speaks to the commitment of the grantees in demonstrating overall impact of the initiative.

The core outcomes that have been adopted by the grantees are as follows:

- Age of first use (alcohol, binge drinking, marijuana, prescription drugs and tobacco)
- 30 day use (alcohol, binge drinking, marijuana, prescription drugs, and tobacco)
- Attitudes towards use (alcohol, binge drinking, marijuana, prescription drugs, and tobacco)
- Harm perception (alcohol, binge drinking, marijuana, prescription drugs, and tobacco)
- Positive connections with adults, school, and community

Rising to the Challenge of Diverse Resources and Funding

Rising to the Challenge of Diverse Resources and Funding

SDFSC Grantee Learning Community ~ August 3,4, 2010

Facilitators: Jan Ryan with Christina Borbely

Doubletree Hotel Sacramento, CA

Q. What is cross cutting?

- Cross-cutting in finance is a new way to allocate budgets, especially in the government. Funding and services are based on an area, not by agency. Cross-cutting focuses on identifying and eliminating unnecessary duplication of resources and services within a defined area. So cross-cutting involves looking beyond one particular agency to the linkages between agencies. The goal is efficiency, time/resource/money savings, and improvement in services.

http://wiki.answers.com/Q/In_finance_what_is_cross-cutting

Sources for finding more sources

- http://www.grantsalert.com/

- **Committee for Children**
568 First Avenue South, Suite 600,
Seattle WA, 98104
Tel. 800-634-4449
Web: http://www.cfchildren.org,
Email: info@cfchildren.org

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Other Places to Look for Community Funding

- Here are some other ideas for sources of community funding.
- County government discretionary funds
- Governors' special council funds for child abuse prevention
- Mental health funds
- School enhancement dollars
- Mayors' offices, Municipal government
- Banking institutions, including credit unions
- Police departments and other crime prevention associations/organizations
- Hospitals and medical clinics
- Libraries
- Neighborhood Watch groups
- Parent-teacher organizations/associations
- Faith-based institutions
- Private foundations
- Service organizations
  - Source: http://www.cfchildren.org/funding/sources/

## Abundance vs. scarcity mentality

Half full
or
half empty?
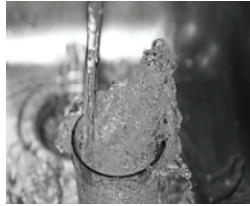
Covey on Abundance mentality

- **Scarcity Mentality**.
  - "zero-sum" paradigm of life: only one pie out there. And if someone were to get a big piece of the pie, it would mean less for everybody else.
  - very difficult time sharing recognition and credit, power or profit
- **Abundance Mentality**,
  - paradigm that there is plenty out there and enough to spare for everybody.
  - Sharing of prestige, of recognition, of profits, of decision making.
  - It opens possibilities, options, alternatives, and creativity.

…program of attraction…

The first rule of sustainability is to align with natural forces, or at least not try to defy them.
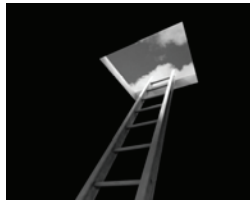
Paul Hawken

Grantee Presentations

- Brenda Armstrong: Santa Cruz County
  - Leveraging PEI funds for sustainability; OTS grant for FNL; GRAA for school-based prevention
- Katalina Martinez: Kern County
  - Service Learning and prevention in a county community school setting
- Ellen Swedberg: Sonoma County
  - Collaboration w MH to create Project SUCCESS Plus
- Shirin Vakharia: Napa County
  - Reflections and Summary

Grantee Profile: Santa Cruz

Program:	Seven Challenges
Target population:	High Rate Users
Age:	High School (Alt. School)
Primary Partners:	School District
Proposed outcomes:	Reduced alcohol use

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Grantee Profile: Kern

Program: Project SUCCESS

Target population: High Rate Users

Age: Middle School

Primary Partners: County Community School

Proposed outcomes: Reduced alcohol use

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Grantee Profile: Sonoma

Program: Project SUCCESS

Target population: High Rate Users

Age: High School

Primary Partners: School District

Proposed outcomes: Reduced alcohol use

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Grantee Profile: Napa

Program: Student Assistance
                       Program, Brief
                       Intervention
Target population: High Rate Users

Age: 6th - 12th grade (MS, HS)

Primary Partners: School District

Proposed outcomes: Increase access to Indicated
                       Prevention
                       Reduced alcohol use

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Q & A

Service Learning: Sustaining Prevention in Kern County

SDFSC Grantee Learning Community ~ August 3,4, 2010

Presenter: Katalina Martinez, Kern County

Doubletree Hotel Sacramento, CA

Grantee Profile: *Kern*

Program: Project SUCCESS

Target population: High Rate Users

Primary Partners: County School:
                        Community Learning
                        Center

Proposed outcomes: Reduced alcohol use

Learning about Service Learning

- Service Learning is a teaching and learning strategy that integrates meaningful community service with instruction and reflection to enrich the learning experience, teach civic responsibility, and strengthen communities.

- Funded by service-focused competitive grants.

http://www.servicelearning.org/what_is_service-learning/characteristics

Diverse experiences for youth

- Bakersfield Homeless Shelter (BHS)
- California Living Museum (CALM)
- Center for the Blind & Visually Impaired (CBVI)
- Kern County Museum
- Bakersfield Association of Retarded Citizens (BARC)
- Mobility Opportunities Via Education (MOVE)
- Bike Bakersfield
- Kern County Animal Shelter
- YOGA
- Club Live EP – Community Friendly Stores
- Christmas for Seniors

Pro-social activities build rapport

- Project Success Groups: used Aggression Replacement Training (ART) skill building approach.
- American Sign Language Skills
- Daily journaling
- Field Trips
- Parent connections builds trust between staff and all programs

Continuum of Service developed

- Youth at high risk for AOD use = SSHS target population
- Co-locate prevention and TX offices
- Referrals receive a screening using CRAFFT
- When appropriate ,refer to a full assessment with option of going to TX.
- Because of Service Learning, parents support both prevention and treatment services.

✓ If youth enter into either the prevention or the treatment program, they also enter into the Service Learning
✓ If they miss group, they cannot go to Service Learning.

What is different about non-traditional funding?

- You have to think outside the box.
- Think of your services individually rather than a package.
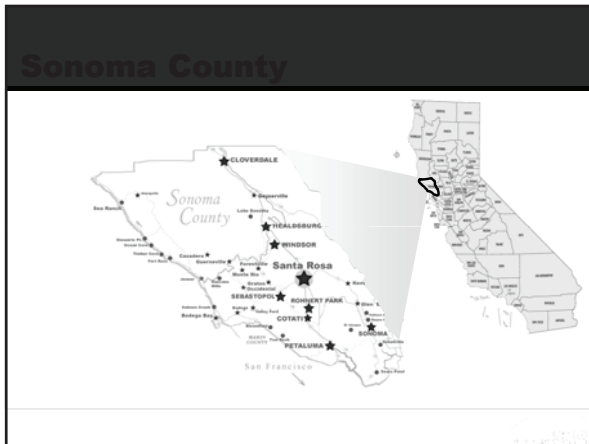- Collaborate and be creative.

Q & A

California's Safe and Drug-Free Schools and Communities
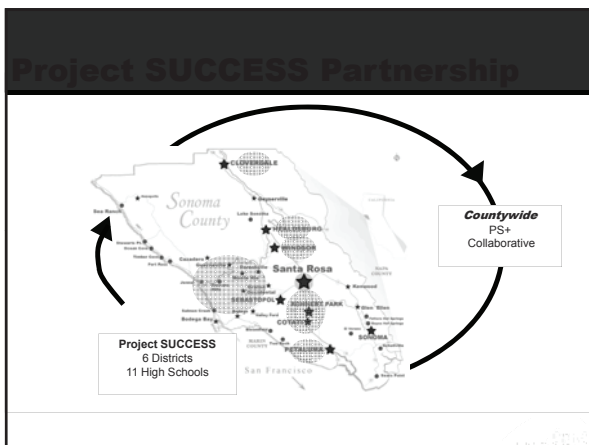Technical Assistance & Training Project
Governor's Program

Sonoma County
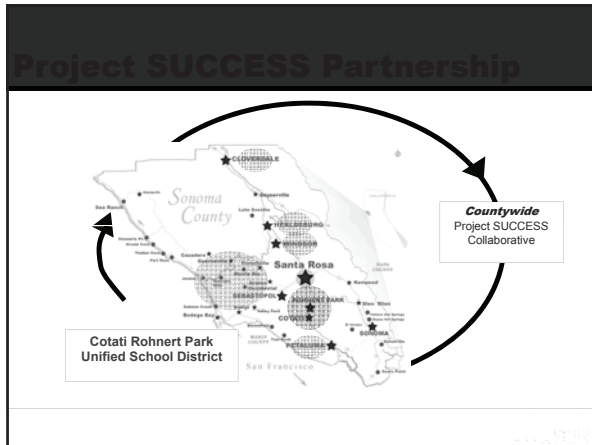### Project SUCCESS Partnership

SDFSC Grantee Learning Community ~August 3-4, 2010

Ellen Swedberg
Sonoma County Department of Health Services

Doubletree Hotel Sacramento, CA

Sonoma County

Project SUCCESS Partnership

Countywide
PS+
Collaborative

Project SUCCESS
6 Districts
11 High Schools

Project SUCCESS Partnership

Countywide
Project SUCCESS
Collaborative

Cotati Rohnert Park
Unified School District

Funding Timeline

June 2007

SCOE received three year federal GRAA grant to fund PS in two districts

October 2008

DHS receives "five year" SDFSC governor's program grant to fund one district

November 2008

DHS funds SCOE planning grants for two school districts

Funding Timeline (cont.)

October 2009

SAPC formed

November 2009

SAPC applied for county MHSA (18 mos) PEI funds to fund two districts for PS+ implementation, three districts for behavioral health enhancement, one district planning grant

January 2010

SAPC implements MHSA

SAPC Visual

Sustainability Subcommittee

- Federal Grants (GRAA, counseling, mental health, DFC)
- Education Grants (21st Century after school programs)
- SAMHSA (Safe Schools)
- OJJDP (Drop out prevention)
- Friday night live
- MHSA
- New sources (health care reform, stimulus)

Project SUCCESS PLUS+
Program Model

- Project Success+, an evidence-based Student Assistance Program (SAP), offers an opportunity for early identification and referral services for children and their families, alleviating the need for additional mental health treatment and/or transition to extended mental health treatment.
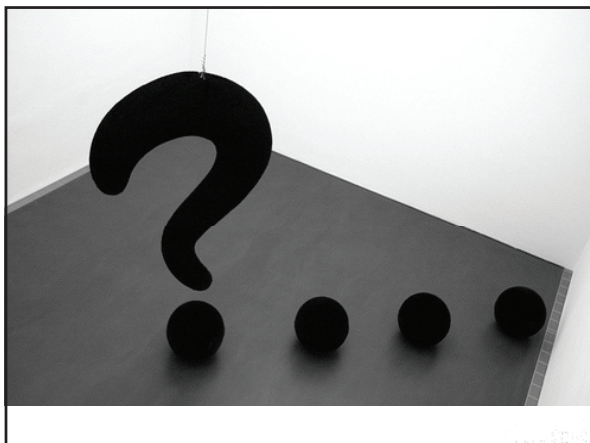
Project SUCCESS
Core Components

- Professional Project Success Counselor
- Professional AOD Prevention Supervision
- Outreach
- Prevention Education Series (PES)
- Assessment for Services
- Individual Counseling and/or Referral
- Short-term Counseling Groups
- Youth Development and Leadership Activities
- Environmental Strategies
- Parent and School Staff Engagement

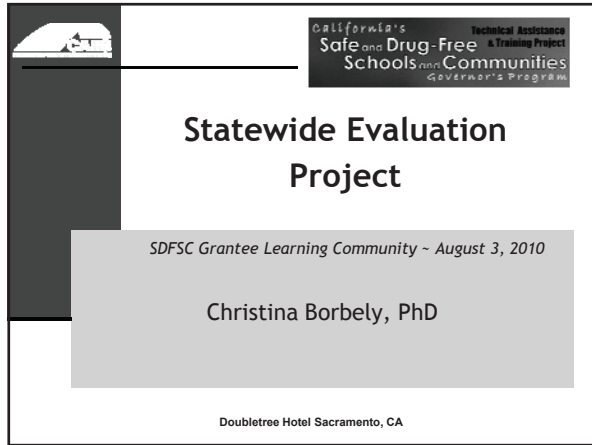**Project SUCCESS+**
PEI-MHSA Enhancements

- Targeted Outreach and Engagement of Underserved Populations
- Behavioral Health Screenings
- Commitment to culturally competent approaches and strategies
- Linguistically appropriate services to the Latino populations
- Integration of NAMI services at all sites

Project SUCCESS+ Goals

- Increased knowledge, awareness and confidence among participating students, staff and parents
- Increased school connectedness among participating students
- Increased school attendance among participating students
- Decrease in binge-drinking
- Increase in perception of harm of alcohol abuse
- Disapproval of alcohol abuse
- Increased feelings of safety at school

Documenting Our Success: Local and Cross-Site Evaluation Update

Statewide Evaluation Project

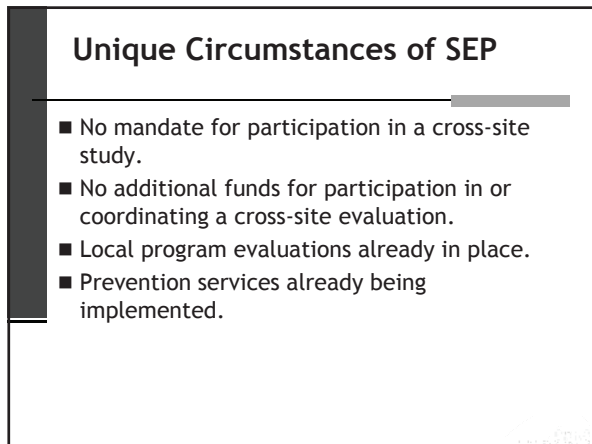*SDFSC Grantee Learning Community ~ August 3, 2010*

Christina Borbely, PhD

Doubletree Hotel Sacramento, CA

Recap

Unique Circumstances of SEP

- No mandate for participation in a cross-site study.
- No additional funds for participation in or coordinating a cross-site evaluation.
- Local program evaluations already in place.
- Prevention services already being implemented.

Procedures

In CARS facilitated sessions, grantees:
- reviewed design and methods options,
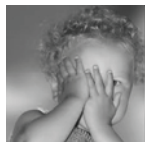- voted on option for cross-site study of prevention impacts

With grantee approval,
- the planning process lasted one year
- was **grantee-led and voluntary**

Agreed Upon Core Cross-Site Measures

- **Age of first use** (alcohol, binge drinking, marijuana, prescription drugs and tobacco)
- 30 day use (alcohol, binge drinking, marijuana, prescription drugs, and tobacco)
- **Attitudes towards use** (alcohol, binge drinking, marijuana, prescription drugs, and tobacco)
- **Harm perception** (alcohol, binge drinking, marijuana, prescription drugs, and tobacco)
- **Positive connections** with adults, school, and community

Preliminary Findings

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*California's Governor's Program*

Participants

In 2009 (time 1 administration)
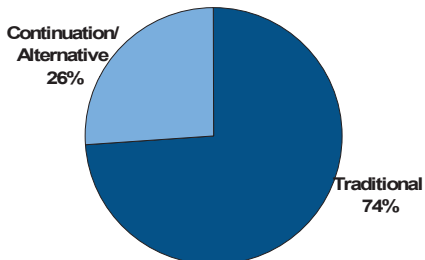237 California youth receiving SDFSC services across 4 counties

- 46.4% girls; 51.4% boys

- 48.1% White; 26.2% Latino; 11.6% bi/multi racial/ethnic; 9.9% Black; 2.3% other

- 18.2% attend alternative/continuation school

- 1st-12th grade; majority in 8th-11th grade

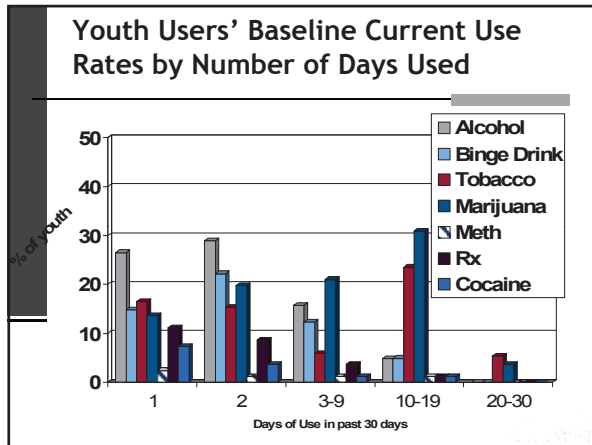- Age ranges from 7 – 19 years; mean age is 14.9 years

Distribution of Ethnicity

Black 10%
Other 2%
Bi/Multi Racial 12%
White 49%
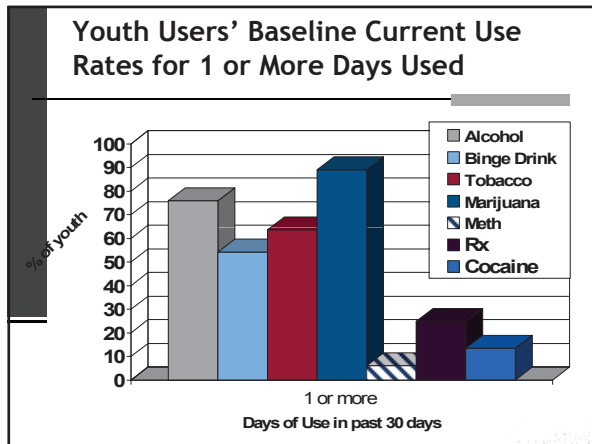Latino 27%

- White
- Latino
- Bi/Multi Racial
- Black
- Other
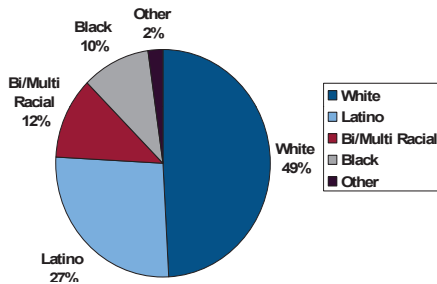
Service and Setting: Matched Sample

Approximately one-fourth of the students were in a continuation or alternative school setting.

Continuation/Alternative 26%
Traditional 74%

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California's Governor's Program

Selective & Indicated Populations

- 54% foster youth; 38.8% CoSAP; 7.2% high risk users
- 7.6% indicated (remaining are selective) population

ATOD Use in SDFSC Population

- 89.4% had some ATOD use in their lifetime

- 68.5% had some ATOD use in the past 30 days

- Boys were more likely than girls and transgender youth to have ever used (57.6% of ever used population) and to have current use (62.4% of current use population)

Youth Users' Baseline Current Use Rates by Number of Days Used

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Youth Users' Baseline Current Use Rates by Number of Days Used

Youth Users' Baseline Current Use Rates for 1 or More Days Used

Prevention of 30 Day Use for All Youth

	Reduction	No Change
Alcohol	28.9%	44.4%
Binge Drink	5.9%	37.8%
Tobacco	31.1%	45.9%
Marijuana	4.4%	40.0%
Meth	8.1% (NS)	83.7%
Rx	17%	66.7%

N=135; from Time 1 to Time 2 assessment points

Prevention of Users' 30 Day Use

	Reduction	Chi-square test
Alcohol	56.9%	x2 (2) = 14.52, p < .001; N = 58
Tobacco	69.2%	x2 (2) = 30.27, p < .000; N = 52
Rx	83.3%	x2 (1) = 8.0, p < .05; N = 18

Sample sizes did not permit analysis, but trends show reduction for users in the following categories binge drinkers (7/7), marijuana (6/12), and meth (5/5).

Discussion

- Baseline rates indicate SDFSC services reach the targeted selective and indicated populations of youth.
- Alcohol and Marijuana are most commonly and most frequently used substances among active users.
- Alcohol rates peaks at 1-2 days per month; marijuana and tobacco rates remain steady, with a peak at 10-19 days per month used.
- Preliminary analysis demonstrates an association between SDFSC participation and youth current ATOD use rates; especially among youth engaged in use.
- Preliminary analysis did not demonstrate significant impact on youth protective factors.

Limitations & Next Steps

- Preliminary analysis do not account for variance attributable to demographic or program characteristics.
- Regression analysis will be conducted in the future as additional data is available
- Current project status did not provide adequate sample to measure change over time.

Implication of the Findings

- Grantees are implementing strategies that address *selected* populations and their programming is reaching *indicated* students through outreach and screening efforts.

Implication of the Findings

- This service design forges new territory in working with youth to prevent, delay and reduce harmful AOD use and to furthermore mitigate the risky behavior and detrimental outcomes that often accompany AOD use.

Implication of the Findings

- By providing services to indicated students, grantees are testing out how to navigate the grey area between prevention and treatment, and have lessons and strategies to share.

Next Steps

Timeline

- Submit all core and supplemental data
- CARS to conduct analyses in August
- CARS to generate findings report in September

Your input

- Questions to ask of the data
- Ideas for analysis

Strategic Sustainability: Stories, Skills and Secrets

**Sustainability:
Stories, Skills, and Secrets**

SDFSC Grantee Learning Community ~ August 3, 2010

Facilitator: Christina Borbely with Jan Ryan

Doubletree Hotel Sacramento, CA

Sustainability

Continued ability of an innovation (infrastructure or program) to meet the needs of its stakeholders

Johnson et al (2004)

- Sustainability,
- Institutionalization,
- Maintenance,
- Durability
- Continuation

2

Sustained - Ability

After initial funding ends...
- Continued program activities
- Continued *measured* benefits or outcomes for new clients
- Maintained community capacity
- Institutionalization or routinization of programs into ongoing organizational systems
- Transfer of projects to other sites or dissemination to new sites

3

Research on Sustainability

- Meta-analysis of empirical studies of program sustainability (Schierer, 2005)
- Empirical studies of ATOD prevention program sustainability
- Theoretical paradigms (e.g. Johnson et al, 2004)
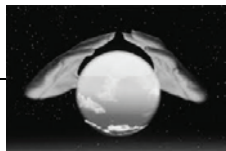- Lived experience (SDFSC grantees 2010)

4

Predictors of Sustainability

- Program can be modified over time
- "Champion" is present
- Program "fits" with its organization's mission and procedures
- Benefits to staff members and/or clients are readily perceived
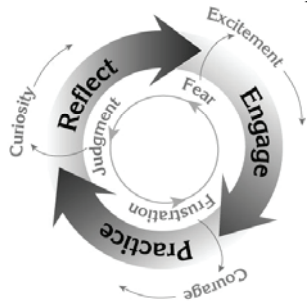- Stakeholders in other organizations provide support.

5

- Alignment with needs
- Positive relationships among key implementers,
- Successful implementation and effectiveness in the target prevention system(s)
- Ownership by prevention system stakeholders
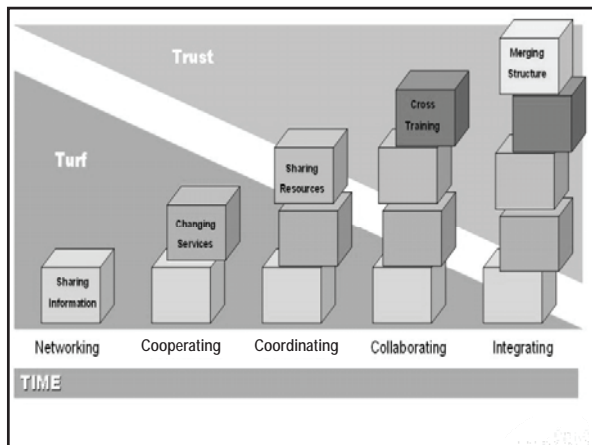
6

A "Change Process"

- Ongoing
- Cyclical

Sustainability Enhancers

- Stable infrastructure
- Formal linkages and partnerships
- Presence of champions
- Effective leadership
- Resources
- Supportive administrative policies and procedures
- Expertise

Stages of Collaboration revisited

Coordination

Longer-term effort around a project or task
Some planning and division of roles
Some shared resources, rewards, and risks

(From Collaboration Handbook, by Michael Winer and Karen Ray.)

10

Stages of Collaboration

Cooperation

- Shorter-term, informal relationships
- Shared information only
- Separate goals, resources, and structures

(From Collaboration Handbook, by Michael Winer and Karen Ray.)

11

Stages of Collaboration revisited

Collaboration

- More durable and pervasive relationships
- New structure with commitment to common goals
- All partners contribute resources and share rewards and leadership

(From Collaboration Handbook, by Michael Winer and Karen Ray.)

12

Thinking about Sustainability

- Approaches to sustainability planning
  - Proactive to spontaneous
  - Formal /structured to improvisational
- Nuts/bolts to replicating sustainability success

13

Grantee Presentations

- Armando Chavez: San Bernardino County
  - Maintaining a Personal Approach to Prevention

- Dean Lesicko: Riverside County
  - Parent/Staff/Student Involvement, Policy Development, Partnerships, Point of View

- Gary Najarian: Marin County
  - Sustaining Prevention Services through Strategic Planning

14

Grantee Profile: San Bernardino

Program:	Kinship Matters
Target population(s):	Youth in Foster Care High Rate Users
Age:	6-15 years old
Primary Partners:	County & Community Agencies
Proposed outcomes:	Reduced AOD use Increased Academic Achievement Reduced School Delinquency

15

Grantee Profile: Riverside

Program:	BreakThrough: Project SUCCESS; BRIMM
Target population:	High Rate Users
Age:	K-12th (family conference) High School (PS components)
Primary Partners:	School District
Proposed outcomes:	Reduced alcohol use Reduced violence Increased family engagement

16

Grantee Profile: Marin

Program:	Be the Influence Project SUCCESS
Target population:	High Rate Users/Binge Drinkers
Age:	High School
Primary Partners:	School District Community Agencies
Proposed outcomes:	Reduced binge drinking

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Q & A

18

Sustaining Prevention: Stories
Skills and Secrets

SDFSC Grantee Learning Community ~ August 3, 2010

Dean Lesicko
Coordinator, Student Support (MVUSD)
Riverside County

Doubletree Hotel Sacramento, CA

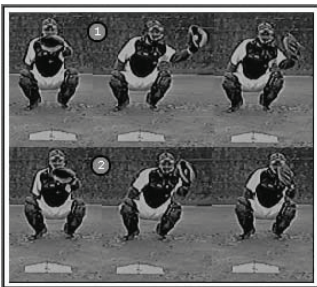---

Sustainability

Prevention, from my perspective, sometimes looks like this…

Sustainability

Framing/Reframing

Parent Involvement

- SAP Core Team
- Town Hall Meetings
- Temecula-Murrieta Interagency Council
- Parents are part of assessment interview
- Parent Orientation Nights
- Customer Satisfaction: surveymonkey
- Testimonials

Student Involvement

- Recruited high school students to spread the word through PLUS program
- Student advisory
- Television/Video production helped create mock assessment video
- Data gathering via student forums
- Testimonials:

Staff Involvement

- Invited at least one staff member from each site to 1st statewide learning conference
- Established SAP Core Team: Staff members, Parents
- School Board Presentations
- SAP Training
- Resource for Health teachers: Project Success Prevention Lessons
- Trusted adult celebration
- Funding considerations: AB1802, ESSCP

Policy Development

- Sought to make program part of daily operations:
  - Included in Annual Rights notification
  - Suspension = referral to program
  - Expulsion process = referral to program
  - Return from expulsion = referral
  - Responsible for Crisis Response Services

Partnerships

- Azusa Pacific University – video, resource guide
- PLUS – Student awareness
- Temecula-Murrieta Interagency Council
- Film clips for Character Education
- Graduate Programs: APU, National, SDSU, Cal Baptist, Redlands, USC, etc.
- Riverside Recovery Resource, MFI
- RCMH – ADP
- Television/Video Production
- Military Families

Approach to planning

Sustainability Approach: Work Plan

Goal 4: Prioritize Sustainability of Services (beyond SDFSC funding)
Objectives:
4.1   Institutionalize prevention principles and practices into partners' infrastructure
4.2   Identify and seek new and creative funding opportunities
4.3   Explore options for maintaining services beyond SDFSC funding

Objective	Task #	Activities	Qrtly Start/End Dates	Responsible Party	Measure
4.1	4.1.1	Organize discussions with District administration. Discussion with AOD administrator of ways to make BHS III position permanent.	1-3	AOD & MVUSD Coordinators	Calendar records; e-mail and other written communications
4.2	4.2.1	Participate in sustainability discussions with collaborative partners	1-3	AOD & MVUSD Coordinators	Calendar records; e-mail and other written communications; # of new/creative funding sought and/or obtained
4.3	4.2.1	Research examples and best practices	1-3	AOD & MVUSD Coordinators	Archive records; e-mail and other written communications

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Technical Assistance Project
California's Governor's Program

Sustainability

Plan
Brand
Evaluate
Communicate
Partner
Hire
Lead
Help
Create
Advocate

Questions?

BreakThrough
STUDENT ASSISTANCE PROGRAM

SDFSC Learning Community 2010

CARS

Safe & Drug-Free
Schools & Communities
Technical Assistance Project
California's Governor's Program

California's Safe and Drug-Free Schools and Communities
Technical Assistance & Training Project
Governor's Program

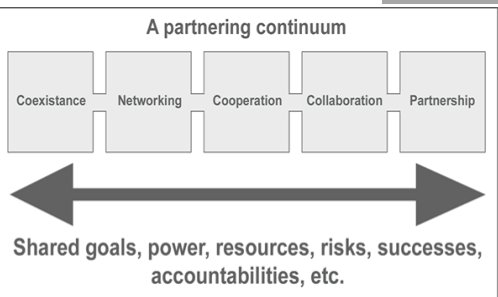**Sustainability:**
Stories, Skills, and Secrets

San Bernardino:
Kinship Matters

Presenter: Armando Chavez
Supervising Social Worker County of San Bernardino
Dept. of Behavioral Health Alcohol and Drug Services

SDFSC Grantee Learning Community ~ August 3, 2010

Stages of Collaboration - Revisted

A partnering continuum

| Coexistance | Networking | Cooperation | Collaboration | Partnership |

Shared goals, power, resources, risks, successes,
accountabilities, etc.

Kinship Matters:
Skills that Matter

- Build upon and strengthen existing infrastructures
  - Helping Hands Kinship Support Program - Kinship Centers:
  - Reach Out West End / Mentoring Taskforce
  - School Principals
  - STREET Team:
  - Probation Girls Circle
  - Public Health Club Live

- Focus on the role of being the "bridge" between what people need and the available services
  - BRRIIM Interview
  - Social Worker and Interns follow up
  - Connect with all prevention efforts

Kinship Matters:
"Secrets" to Success

- Strategic Scheduling
  - Stay consistent with the Caregiver, getting back to School staff, keeping the appointments, strong communication

- Don't take "no" for an answer!
  - Social Worker is persistent and determined; she connects different people with what they need

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Kinship Matters:
Stories of Success

- Returning to the program: how one MS Principal made a difference.

- Helping the family helps the youth: how the Social Worker changed the housing to help change the environment.

Kinship Matters: Summary
Sustaining the Personal Approach to Prevention

- Approach planning with partners:
  - Plan ahead: formal agreements with key players create links to existing infrastructure and programs.
  - Team up: work with partners on next steps

- Core nuts/bolts to replicating this approach?
  - Build the skills of the Social Worker and key players so they continue their personal approach no matter what funds their services.
  - Build the capacity of the Caregivers to value and continue to link up with people and services

Building capacity and sustainable prevention innovations: a sustainability planning model

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[b]*Strategic Collaboration Group, Inc., Philo, IL 61864, USA*
[c]*CSAP's Border CAPT, Tucson, AZ 85719, USA*
[d]*People Matter International, Inc., Ridgeland, MS 39157, USA*

Abstract

This article presents an informed definition of sustainability and an associated planning model for sustaining innovations (pertinent to both infrastructure and interventions) within organizational, community, and state systems. The planning model stems from a systematic review of the literature and from concepts derived from a series of 'think tanks' made up of key substance abuse prevention professionals. The model assumes a five-step process (i.e. assessment, development, implementation, evaluation, and reassessment/modification) and addresses factors known to inhibit efforts to sustain an innovation. One set of factors concerns the capacity of prevention systems to support sustainable innovations. The other pertains to the extent to which a particular innovation is sustainable. A sustainability action strategy is presented that includes goals with corresponding sets of objectives, actions, and results that determine the extent of readiness to sustain an innovation. Sustainability tools to assist in implementing the planning model are illustrated, and next steps for the model are discussed. This planning model provides a conceptual and practical understanding of sustainability that can lead to further investigation.
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Keywords: Sustainability; Planning; Evaluation; Innovation; Prevention

1. Introduction

Over the past three decades, considerable resources have been spent in the United States and other countries to implement and validate innovative prevention programs and strategies. For example, science-based substance abuse prevention innovations that include school-based programs (Tobler & Stratton, 1997), family-based programs (Johnson, Bryant, Collins, Noe, Strader, & Berbaum, 1998; Kumpfer, 1997), and environmental strategies (Holder, 2001; Gruenewald, Holder, & Treno, 2001) are now available for replication. Other health promotion programs have attained prominence in addressing threats concerning cancer (Kaluzny, Schenck, & Ricketts, 1986), heart disease (Bracht et al., 1994), mental health (Glaser & Backer, 1980; Murphy, 1981), and oral health issues (Silversin, Coombs, & Drolette, 1980). Also, increasingly available for implementation are growing numbers of violence prevention programs (Derzon, Wilson, & Cunningham, 1999).

Often designed as demonstrations or community trials, prevention innovations have focused primarily on successful implementation without creating as well assurances of 'life of innovations' after extramural funding has ended (Akerlund, 2000; Goodman, McLeroy, Steckler, & Hoyle, 1993; Green, 1989; Shediac-Rizkallah & Bone, 1998; Vaughn, Klingner, & Hughes, 2000). Given this problem, there is a general consensus that sustainability guidance is essential (Backer, 2000; Goodman & Steckler, 1989). In response, this article presents a planning model for sustaining prevention innovations designed for organizational, community, and state prevention systems.

The impetus for developing this sustainability planning model comes from a critical need in the substance abuse prevention field, and it was precipitated by a federal initiative, the State Incentive Grant (SIG) program funded by the Center for Substance Abuse Prevention (CSAP). From 1997 to 2002, a series of three-year grants totaling $9 million each have been given to a large majority of the states to fund these goals: (1) promote systems change in state and local prevention systems and (2) implement and evaluate science-based prevention programs and/or strategies (CSAP, 2002). Although states agreed to a variety of

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E-mail address: kwjohnson@pire.org (K. Johnson).

CSAP conditions, one of which was to consider sustaining effective systemic changes and prevention interventions after federal funding ended, only a limited number of planning strategies and tools are yet available for grantees to use in making sustainability decisions. The sustainability model presented here stems from a systematic literature synthesis and information that emerged from a series of 'think tanks' involving key substance abuse prevention professionals who are affiliated with CSAPs Southeast Center for the Application of Prevention Technology (CAPT). Although this model has been developed in the substance abuse prevention field, we believe it can be generalized to other prevention areas.

First, we discuss the literature about sustainability and related terms. Second, we present a prevention-focused sustainability-planning model that highlights key factors relating to sustaining innovations and how to deal with them. Third, we discuss lessons learned and future steps for the model. This planning model is being presented to provide the impetus for further empirical investigation relating to the sustainability of prevention innovations.

2. Sustainability in perspective

Decision-makers involved in implementing an innovation must face the ultimate challenge of planning for the time when the implementation phase is completed. Clearly, not all innovations need to be continued because circumstances, people, situations, and problems change (Bracht et al., 1994; Glaser, 1981). Further, an effectiveness evaluation may find that an innovation does not work outside of specific controlled conditions. Nevertheless, the continuation of an innovation must become a primary goal if evidence shows that it meets the needs of a targeted population.

In an effort to understand key differences and similarities regarding sustaining innovations after a trial or demonstration period, we conducted a systematic review of 105 articles, book chapters, and books. Sustainability literature was intentionally excluded if it did not address how to ensure continuation of innovations after a confined trial period. Although this review does not contain every sustainability-related publication, it does contain most of this literature.[1] (See Johnson, Hays, Center, and Daley (2002) for Sustainability Bibliography.)

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[1] The review methodology involved the following five steps: (1) conducting a key word search (sustainability, institutionalization, capacity building, routinization, and diffusion) of selected databases (Article First, Psyc First, and Pub Med); (2) retrieving hard copy documents; (3) reviewing secondary references for additional publications; (4) conducting the review using specific criteria; and (5) constructing a summary table of review results. We examined: (a) the professions giving attention to continuation of innovations, (b) the terms used to depict continuation of innovations, (c) the differences and similarities in definitions, and (d) the stage models that included continuation of innovations in one or more stages of the change process.

We found a number of terms in the literature that address maintenance or continuation of an innovation. In total, there are eleven related terms, which include *confirmation* (Rogers, 1995), *continuation* (McLaughlin, 1990), *durability* (Glaser and Backer, 1980), *incorporation* (Bracht et al., 1994), *institutionalization* (Goodman and Steckler, 1987), *level of use* (Hall and Hord, 2001), *maintenance* (e.g. Butterfoss et al., 1998), *routinization* (Yin, 1979), *stabilization* (Brown & Flynn, 2002), *sustainability* (Shediec-Rizkallah & Bone, 1998), and *sustained use* (Klingner, Vaughn, Hughes, & Arguelles, 1999). The terms *sustainability* and *institutionalization* were the most frequently used, excluding sustainability development literature, which includes a voluminous body of literature on environmental sustainability (Farrell, 1999) and institutionalism and relates to continuation of institutions like marriage, sexism, etc. (Jepperson, 1991). Further, these two terms, which also appear most frequently in recent literature, have incorporated many of the key elements of other terms, especially routininization. The distinguishing characteristics of sustainability and institutionalization are as follows.

The definitions of both sustainability and institutionalization, although sometimes used interchangeably, have unique elements that were incorporated into our definition of sustainability, presented later. First, sustainability has been defined in a variety of ways, but continued ability of an innovation (infrastructure or program) to meet the needs of its stakeholders is central to the sustainability process (Rissel, Finnegan, & Bracht, 1995; Shediac-Rizkallah & Bone, 1998). In contrast, institutionalization refers to the long-term viability and integration of a new program within an organization (Goodman & Steckler, 1989). Thus, 'meeting the continual needs of stakeholders' vs. 'integration into business as usual' is one major distinction between the two terms.

Second, sustainability has been advanced as a global term to depict the continuation process that encompasses a diversity of forms that the process may take (Shediac-Rizkallah & Bone, 1998); but no emphasis has been placed on measuring the extent of continuation. Institutionalization developers, however, have borrowed from earlier work concerning routinization (Yin, 1977, 1979) and typology of organizational subsystems (Katz & Kahn, 1978) to develop a measure of the degree of institutionalization (Barab, Redman, & Froman, 1998; Goodman and Steckler, 1989; Goodman, et al., 1993). What they have found is that the degree of institutionalization depends on the extent to which an innovation passes through these three stages: passage, cycle, and niche saturation (i.e. spread throughout the organization). Yin (1979) recognized that passage, which occurs only once, represents a highly symbolic event such as putting into writing measurable objectives in a strategic plan. Passing through a cycle refers to repetitively reinforcing the importance of the innovation, for example, by including it in a line item budget year after year. Goodman and Steckler (1989) use the word routine to refer

to this stage. They also define niche saturation as the extent to which an innovation is integrated into all subsystems of an organization.

A third distinction between the uses of the two terms is setting. That is, sustainability is primarily used in the context of continuing programs in a community setting in the US or in developing projects in an international setting. Institutionalization, in comparison, refers to continuing a program primarily in an organizational setting in the US.

A final distinction worth noting is that the concept of sustainability has produced less rigorous empirical studies than has institutionalization, although there have been no seriously rigorous studies of causal modeling and randomized experiments reported in either literature. In our synthesis, we found that 37 percent of the sustainability documents ($N = 27$) were empirical, mostly including case studies, and 60% of the institutionalization documents ($N = 20$) were empirical, mostly including measurement construction and evaluation with weak designs. Hall and Hord (2001) have also constructed an instrument for measuring institutionalization in terms of the level of use of an innovation. Although there are no reports of the validity and reliability of this instrument, special training and certification are required before it can be used (Loucks, Newlove, & Hall, 1975).

In contrast to differences in definitions, the literature is fairly consistent in presenting a conceptual view of moving an innovation to practice as part of a process of progressive steps or stages of decisions and actions that are temporal and ordered, and which follow adoption of an innovation (Mayer and Davidson, 2000). Our literature review found 16 discrete stage models that included continuation of innovations beyond the implementation stage (Backer, 2001; Beyer & Trice, 1978; Bracht et al., 1994; Brown & Flynn, 2002; Edwards, Jumper-Thurman, Plested, Oetting, & Swanson, 2000; Goodman & Steckler, 1989; Green & Plsek, 2002; Hall & Hord, 2001; Huberman & Miles, 1984; McCormick, Steckler, & McLeoy, 1994; McLaughlin, 1990; Parcel et al., 1989; Rogers, 1995; Rudd, Goldberg, & Dietz, 1999; Scheirer, 1993; Wandersman, Imm, Chinman, & Kaftarian, 2000). Other than in Goodman and Steckler (1989), continuing an innovation past implementation was not the primary purpose of these stage models. While sustainability is typically placed toward the end of the change process, some suggest that sustainability activities should begin much earlier (Brown & Flynn, 2002).

In summary, our review of the literature on sustainability and related terms revealed that sustainability and institutionalization (both of which have a number of distinguishing characteristics) are the dominant terms used to characterize continuation of innovations. Sustainability and related terms also usually appear in a stage model of change; the exceptions are the concepts of institutionalization and the level of use. Finally, most observers suggest that sustainability actions be considered after adoption of an innovation, although some do advocate

the development of a sustainability plan as part of the initial design process.

3. A sustainability planning model for prevention

3.1. Defining sustainability

From the list of 11 terms in the literature that defined the process of continuing an innovation beyond a trial or demonstration period, we selected sustainability as the overarching construct that is broad enough to incorporate the essential elements of the other constructs, especially institutionalization. Shediac-Rizkallah and Bone (1998) categorized existing definitions in the literature into three categories that address these issues: (a) maintaining benefits achieved through an initial program, (b) continuing the program within an organization, and (c) building the capacity of the recipient community to continue a program. Using this categorization as a starting point, we define sustainability as 'the process of ensuring an adaptive prevention system and a sustainable innovation that can be integrated into ongoing operations to benefit diverse stakeholders.'

First, we view sustainability as a change process with specific sustainability action steps to strengthen system infrastructure and innovation attributes that are necessary to sustain a particular innovation. While the literature shows the change process to be a one-time and sequential process, we assume that it is ongoing and cyclical (Hall and Hord, 2001).

Second, ensuring an adaptive prevention system is part of the sustainability process. The system must be receptive to change, thus creating an environment for innovations to adapt to the system, if necessary, to which they are introduced. Thus, one assumption is that adequate infrastructure capacity is a determinant of sustainability (Altman, 1995; Goodman et al., 1998). Depicting capacity-building as a determinant rather than an outcome departs from the literature reported by Shediac-Rizkallah and Bone (1998). Another assumption is that systems have a culture that may be resistant to change (Green, & Plsek, 2002; Hall & Hord, 2001). In these cases, capacity-building actions must be adapted to fit that reality.

Third, 'what is to be sustained' is innovation (i.e. that which is new to a prevention system). The innovations may include various things: (a) a new prevention program and strategy (e.g. school-based prevention program and policy change that targets substance abuse or violence) or (b) a new infrastructure element that provides support for a prevention program or strategy (e.g. an evaluation system, training curriculum, administrative policy, or expanded structure). We assume that ongoing innovations are essential for providing continual benefits to stakeholders (Drucker, 1990).

Fourth, a sustainable innovation is fully integrated into normal operations in that it has passed through the essential

cycles and passages (Yin, 1979; Goodman and Steckler, 1989). Further, niche saturation should occur; that is, subsystems of the prevention system(s) that are directly affected by the innovations should be empowered to assume ownership of the innovation (Bracht et al., 1994; Wong, 1997).

Fifth, a sustainable innovation should to be proven to be of benefit to the diverse stakeholders (users of the innovation) prior to adoption and after implementation in a target prevention system. That is, although it is normally not the case, an innovation should produce some scientific evidence prior to adoption that its long-term effects do benefit the targeted stakeholders. Further, there should be an evaluation during implementation of the innovation in the target prevention system to further demonstrate benefit to stakeholders. We assume that effective innovations are available through rigorous research demonstrations and trials such as substance abuse prevention (Tobler and Stratton, 1997) and violence prevention programs (Derzon et al., 1999). If not, a best practice can be substituted, and a rigorous evaluation would be essential during its implementation. The stakeholder groups are diverse, and they vary depending on the innovation. For example, with an infrastructure innovation like an administrative policy, the stakeholders would be decision-makers in specific segments of a prevention system or multiple prevention systems that are affected by the policy; for an innovative prevention program or strategy, the stakeholders would be targeted community adults or youth. Further, the groups of stakeholders will vary, depending upon whether the prevention system is at the organizational, community, state, or national level. It is assumed that these levels of a system (like a prevention system) can be interdependent and/or independent, depending on the type of innovation being sustained (Senge, 1998).

3.2. A conceptual view of the sustainability planning model

Given our definition of sustainability, Fig. 1 presents a conceptual view of a planning model for sustaining innovations. This conceptualization, which presents a prescriptive model based on a set of casual factors, is referred to in the evaluation literature as 'intervention (program) theory' (Bickman, 1987, 1990; Chen, 1990).
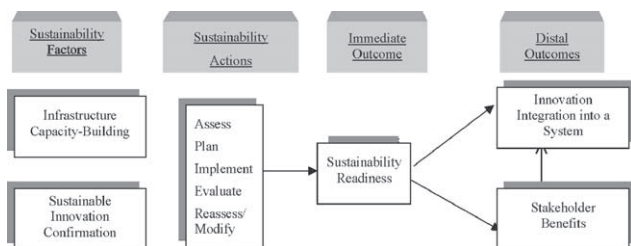

Fig. 1. A conceptual view of the sustainability planning model.

Johnson et al. (1998) and Johnson (1999) have further presented demonstrations of how an intervention theory can be tested.

Our extensive literature review found a number of capacity-building factors (i.e., type of structure and formal linkages, presence of champions for an innovation, effective leadership, resources, administrative policies and procedures, and expertise) that need to be addressed to sustain innovations. There are also known causal factors, which are attributes or characteristics of an innovation that heighten its potential to be sustained. These innovation attributes include alignment with needs, positive relationships among key implementers, successful implementation and effectiveness in the target prevention system(s), and ownership by prevention system stakeholders.

A sustainability action strategy is posited relating to infrastructure capacity-building and sustainable innovations that consist of a five-stage process: assessment, planning, implementation, evaluation, and reassessment and modification, if necessary. The degree of success of the sustainability actions produces an immediate outcome that we refer to as sustainability readiness, that is, adequate infrastructure and an innovation that has been confirmed as sustainable. Further, an adequate level of readiness will lead to achieving distal outcomes that define sustainability. These outcomes are (a) integration of an innovation (infrastructure, prevention program, or strategy) into normal operations of a given prevention system(s) at the organizational, community, state, or federal level and (b) key stakeholders' (decision-makers in the case of infrastructure innovations and citizens in the case of prevention innovations) benefits received as a result of the innovation. The relationship between innovation integration into a system and stakeholder benefits is reciprocal, noting that each outcome influences the other.

4. A sustainability planning model: a micro view

A micro view of our sustainability planning model is presented in Tables 1 and 2, which follows a standard planning sequence (Cooksy, Gill, & Kelly, 2001; Wholey, 1979). First, the two sets of factors (infrastructure capacity-building and sustainable innovation attributes) that are assumed to be causally associated with sustainability in our intervention theory are presented in column one of Tables 1 and 2, respectively. Second, based on our sustainability definition, two goals are formulated, each with five objectives that are associated with the respective factors presented in column two. Third, details of the action steps are displayed in column three in connection with each objective. Fourth, anticipated results from the sustainability actions that collectively define the extent of sustainability readiness are presented in column four.

Table 1
Sustainability planning model: infrastructure capacity-building

Infrastructure capacity-building

Goal 1: continue to build, support and strengthen infrastructure capacity (organizational, community, state, or federal) to ensure an adaptive prevention system that is receptive to change.

Capacity-building factors	Capacity-building objectives	Capacity-building actions	Results indicating readiness to sustain innovations
Structures, and formal linkages to sustain the innovation	1.1: Strengthen and/or maintain structures and formal linkages to sustain the innovation	Assess structure and formal linkages to sustain the innovation Plan strategically for building and/or maintain structures and formal linkages to support the innovation Implement, evaluate and reassess and reassess and modify, if necessary, plan for strengthening structure and formal linkages to support the innovation Create and/or maintain structures and formal linkages to support the innovation	Adequate incorporation and maintenance of structures to support the innovation Adequate formal linkages to support the innovation
Champion roles and leadership actions to sustain the innovation	1.2: Strengthen and/or maintain champion roles and leadership actions to sustain the innovation	Assess existing champion (those who have power and act as advocates for the functional area related to the innovation) roles and leadership actions that can sustain the innovation Plan strategically to strengthen and/or maintain leadership actions and champion roles to support the innovation Implement, evaluate and reassess and reassess and modify, if necessary, a plan to sustain the champion roles and leadership actions - Cultivate champions and leaders, establish linkages between leader(s) and champions and innovation stakeholders	Effective champion(s) and leader(s) who take appropriate actions to sustain the innovation Adequate linkages among leader(s) and champions and innovation stakeholders
Resources to sustain the innovation	1.3: Increase and/or maintain resources to sustain the innovation	Assess resources to sustain the innovation Develop a resource acquisition plan to sustain the innovation, to include: funding from continuous streams, staffing, computer technology (including software), workspace, information access	Adequate yet flexible resource acquisition plan that promotes ongoing resources that support the innovation Increase in resources dedicated to the innovation

(continued on next page)

Table 1 (*continued*)

Infrastructure capacity-building

Goal 1: continue to build, support and strengthen infrastructure capacity (organizational, community, state, or federal) to ensure an adaptive prevention system that is receptive to change.

Capacity-building factors	Capacity-building objectives	Capacity-building actions	Results indicating readiness to sustain innovations
		Implement, evaluate, and reassess and modify, if necessary, resource acquisition plan	
Administrative policies and procedures to sustain the innovation	1.4: Strengthen and/or maintain policies and procedures to sustain the innovation	Assess policies and procedures to sustain the innovation Develop plan to strengthen and/or maintain policies and procedures specific to the innovation; develop policies and procedures and/or revise existing policies and procedures if necessary Implement, evaluate, and reassess and modify, if necessary such policies and procedures	Adequate policies and procedures to sustain the innovation
Expertise to sustain the innovation	1.5: Build and/or maintain expertise to sustain the innovation	Assess necessary expertise to sustain the innovation Develop a plan to acquire and/or maintain adequate expertise specific to the innovation Implement, evaluate, and reassess and modify, if necessary expertise development plan	Adequate expertise to sustain the innovation

Table 2
Sustainability planning model: sustainable innovations confirmation

Sustainable innovation

Goal 2: implement sustainable innovations that benefit diverse stakeholders for an extended period of time.

Sustainable innovation attributes	Sustainable innovation objectives	Sustainability actions	Results indicating readiness to sustain innovation
Alignment between the innovation and the needs of innovation stakeholders	2.1: Increase and/or maintain alignment of innovation stakeholder needs with the innovation	Assess innovation stakeholders and their needs and the innovation's integrity, including: complexity, effectiveness, compatibility, and perceived benefit Develop a plan to adopt, adapt and/or maintain an innovation with integrity Implement, evaluate, and reassess and modify plan when necessary	Adequate alignment and maintenance between innovation stakeholder needs and innovation Adoption and or maintenance of innovation with integrity that adequately meets innovation stakeholder needs
Relationship among the innovation's key stakeholders	2.2: Establish and/or maintain positive relationships among the innovation's key stakeholders	Assess and enhance, where necessary, the network among key stakeholders' (i.e. developers, implementers, evaluators and decision makers): Ability to collaborate, level of trust, communication, credibility, enthusiasm, ability to create excitement Develop a plan to establish and/or maintain relationships among key stakeholders Implement, evaluate, and reassess and modify plan when necessary	Adequate long term positive relationships among key stakeholders (i.e. developers, implementers, evaluators, and decision makers)
Implementation quality and integrity of the innovation	2.3: Produce adequate process evaluation results and use appropriately to ensure implementation quality and integrity of the innovation	Assess adequacy of process evaluation strategy Develop a plan to conduct process evaluation and utilize results to ensure quality (fidelity, strength, reach) and integrity of the innovation during implementation of the innovation Implement, evaluate, and reassess and modify plan when necessary	Appropriate process evaluation methods for assessing the implementation quality and integrity of the innovation Adequate level of implementation quality and integrity of the innovation
Effectiveness of the innovation	2.4: Produce adequate outcome evaluation results to ensure effectiveness of the innovation	Assess adequacy of outcome evaluation strategy Develop a plan to conduct outcome evaluation and utilize results to ensure effectiveness of the innovation during implementation of the innovation	Appropriate outcome evaluation methods for assessing effectiveness of the innovation Adequate effectiveness of the innovation

Table 2 (continued)

Sustainable innovation			
Goal 2: implement sustainable innovations that benefit diverse stakeholders for an extended period of time.			
Sustainable innovation attributes	Sustainable innovation objectives	Sustainability actions	Results indicating readiness to sustain innovation
		Implement, evaluate, and reassess and modify plan when necessary	
Ownership among innovation stakeholders	2.5: Establish and/or maintain sufficient ownership among innovation stakeholders	Assess ownership among innovation stakeholders Develop a plan to establish and/or maintain ownership among key stakeholders Implement, evaluate, and reassess and modify plan when necessary	Adequate and continued ownership among innovation stakeholders

4.1. Sustainability capacity

Table 1 presents our planning framework to ensure the sustainability capacity of a prevention system. Goal 1 is to continue to build, support, and strengthen infrastructure capacity (organizational, community, state, or federal) to ensure an adaptive prevention system that is receptive to change. In connection with this goal, studies of innovation point to a number of infrastructure factors that, if addressed intentionally through strategic planning can facilitate building the infrastructure capacity needed to sustain an innovation. These factors include (1) administrative structures and formal linkages among administrative units that have purview over the innovation, (2) innovation champions and their leadership actions, (3) resources to support the innovation, (4) administrative policies and procedures, and (5) expertise sufficient to assure integration of the innovation into routine system operations. In the case of prevention systems, infrastructure capacity should be considered-whether the innovation to be sustained is an infrastructure element, such as a data collection or an evaluation system, or a prevention intervention, such as a research-based program or an environmental strategy.

4.1.1. Administrative structures and linkages

Objective 1.1, which is to strengthen or maintain structures and formal linkages to sustain the innovation, concerns the first capacity-building issue presented in Table 1. The administrative unit(s) responsible for the integration, use, and oversight of the innovative infrastructure element or program must have the structures and capacity necessary to carry out administrative functions related to an innovation responsively, effectively, and efficiently (Chaskin, 2001; Bossert, 1990; Beuermann & Burdick, 1997). To support the innovation, a new organizational unit that focuses on the administration of the innovation may be necessary (Beuermann & Burdick, 1997; Lefebvre, 1992).

Systems that focus on strengthening administrative capacity to support an innovation during its initial implementation are more successful at sustaining the innovation once the initial trial ends. For example, Akerlund (2000) asserts that sustainable community prevention programs have, among other characteristics, strong administrative capacity that utilizes sound administrative and fiscal management practices. Butterfoss et al. (1998) found that enhancing a coalition's administrative structures, as a part of a plan to sustain a community-based program, will empower and enable the coalition to better manage itself. Too often in the past, prevention trials and initiatives have been funded with little emphasis on funding such supportive administrative structures (Steckler and Goodman, 1989).

Linkages that facilitate cooperation among diverse agencies or organizational units responsible for the effective and ongoing implementation of the innovation also contribute to sustainability (Bauman, Stein, & Ireys, 1991; Schwartz et al., 1993; Foster-Fishman, Berkowitz,

Lounsbury, Jacobson, & Allen, 2001). Interorganizational networks among innovation stakeholders are important to ensure that those charged with sustaining the innovation have support from their peers (Goodman, 2000; Jackson et al., 1994). Further, research at both the community and state levels identifies collaboration among agencies or partners (Bauman et al., 1991; Schwartz et al., 1993; Jackson et al., 1994) as an important factor for facilitating sustainability.

4.1.2. Champion roles and leadership actions

Objective 1.2 is to strengthen and/or maintain champion roles and leadership actions to sustain the innovation. Research repeatedly points to the importance of leaders and champions (influential and proactive individuals inside or outside of a system) in the sustainability process. Inadequate leadership buy-in (Buller and McEvoy, 1989; Gersten, Chard, & Baker, 2000) or ineffectual leaders (Bossert, 1990; Chaskin, 2001; Edwards and Stern, 1998; Goodman et al., 1998; Goodman, 2000; Neville et al., 2000) can derail an innovation's sustainability. Formal and informal leaders within adopting systems, as well as champions who proactively promote an innovation from inside or outside of a system, are critical to creating an environment that supports and facilitates sustaining innovations (Akerlund, 2000; Backer, 2001; Calsyn, Tornatzky, & Dittmar, 1977; Gersten et al., 2000; Glaser & Backer, 1980; Goodman, 2000; McLaughlin, 1990; Monahan & Scheirer, 1988; Neville et al., 2000; O'Loughlin, Renaud, Richard, Gomez, & Paradis, 1998; Rogers, 1995; Schediec-Rizkallah & Bone, 1998; Scheirer, 1993; Steckler, & Goodman, 1989; Streefland, 1995).

A number of studies have found top management support for an innovation to be a primary factor in sustaining innovations (Green & Plsek, 2002; Buller & McEvoy, 1989; Gray, 1997; Huberman & Miles, 1984). In particular, Hadden and Davies (2002) and Gray (1997) found that in certain settings administrative leaders who seek to understand and foster integration of the innovation, to facilitate those who must implement the innovation to assume a leadership role in planning, implementing, and using the innovation, and to develop a partnership to resolve problems that inhibit institutionalization were essential to sustaining innovations. Akerlund (2000) suggests that communities are more likely to receive state assistance once federal funding for programs ends when key community leaders show their support.

Opinion leaders within organizations, who may wield less formal authority than top managers, can serve as champions and accelerate adoption of innovative practices through their influence with top managers and others critical to their adoption and sustained implementation (Green & Plsek, 2002; Rogers, 1995; Klingner, Vaughn, Hughes, & Arguelles, 1999). It is also important to have multiple champions of the innovations who cut across organizational disciplines and status hierarchies to ensure their successful and complete adoption (Calsyn et al., 1977). Essential skills for innovation champions include communicating their commitment to the innovation (Klingner et al., 1999), engaging others, overcoming barriers, building infrastructure, thinking and learning reflectively, summarizing and communicating, coaching for sustainability, and building further organizational capacity to spread the innovation (Green and Plsek, 2002).

State agency leaders can be important champions for sustaining prevention innovations. Further, state prevention system administrators are more likely to be able to sustain system innovations under these conditions: (1) top administrators are committed, (2) influential prevention advocates in the state actively promote the value and importance of sustaining the innovation (Hansen-Turton & Kinsey, 2001), and (3) one or more decision-makers with authority and power serve as an active champion of the innovations (Glaser & Backer, 1980). Such champions can serve as brokers on behalf of the innovation with other decision-makers (Beuermann & Burdick, 1997; Goodman & Steckler, 1987). Further, state agents, important champions for the diffusion of health promotion programs among communities (Monahan & Scheirer, 1988), must consider the role of leaders inside and outside the prevention service delivery system, as well as that of opinion leaders, in promoting diffusion and, ultimately, sustainability (Green & Plsek, 2002).

Those who work within each prevention system level, whether it be in an organization, a community, or a state, should seek to cultivate champions who can educate policymakers outside the immediate prevention system (e.g. local elected officials, state legislators, governors, other statewide elected officials, and members of Congress) about the importance of sustaining the innovation to increase their political support (Beuermann & Burdick, 1997). A mechanism must also be developed for renewal of both internal and external champions (Neville et al., 2000).

4.1.3. Resources

Objective 1.3 is to increase and/or maintain resources such as funding, staffing, and computer technology to sustain an innovation. Sustainability research clearly identifies resources as important to sustaining innovations. The sustainability literature points to the importance of adequate and stable funding (Backer, 2000; Chaskin, 2001; Goodman, Steckler, & Kegler, 1997; Goodman, 2000; Jackson et al., 1994; Scheirer, 1993) in acquisition of diverse funding schemes (Edwards & Stern, 1998; Goodman & Steckler, 1987) such as fund-raising through grants (Akerlund, 2000), taxes (Beuermann & Burdick, 1997), channeling funds to the implementing agency rather than through a brokering agency (Steckler & Goodman, 1989), federal funding (Pentz, 2000), diverse funding, (Edwards & Stern, 1998; Goodman & Steckler, 1987), and use of both local funding (Edwards & Stern, 1998) and non-local funding sources (Goodman & Steckler, 1987).

Funding is only one resource among many that are needed; other resources needed to sustain a system include human, physical, technological, and informational resources. In regard to human resources, functions required to administer the innovation must be carried out by an adequate number of qualified, committed staff (Bauman et al., 1991; Scheirer, 1993; Streefland, 1995). O'Loughlin et al. (1998) and Neville et al. (2000) found that voluntary staffing can be an important sustainability mechanism. At the community level, staff should live within or be accepted by the community (Edwards & Stern, 1998). Training of staff to provide technical assistance supporting the use of the innovation is also important for its sustained use (Gersten et al., 2000; Edwards & Stern, 1998; Calsyn et al., 1977). Further, technology and data resources are critical to generate information that informs needs assessment, and it is important to have evaluation data that provides effectiveness feedback to the system (Schwartz et al., 1993; Lee, Bonson, Yarmirr, O'Dea, & Mathew, 1995; Goodman, 2000; Neville et al., 2000).

4.1.4. Policies and procedures

Objective 1.4 is to strengthen and/or maintain policies and procedures to sustain the innovation. Failure to implement formal policies and procedures can create political obstacles to sustainability, sending mixed messages about the desirability of the innovation and expectations for sustaining it (Beuermann & Burdick, 1997). Codification of sustained integration of the innovation in an organization's operations communicates organizational commitment and sets new norms for behavior (Beuermann & Burdick, 1997). Policies and procedures should assure that the innovation remains part of the routine practice of the organization, even after the top management who advocated sustaining the innovation leaves the organization. In some cases changes in state or local laws may be required to ensure the integration of the innovation into the system.

While certain systems have the ability to force members to use an innovation, thereby promoting swifter adoption and greater stability of use (Lawrence, Winn, & Jennings, 2001), most social service systems, and prevention systems in particular, do not have adequate capacity to closely monitor and enforce such compliance. At most, social service systems and their member organizations have the capacity to combine incentives, rewards, and certification, or to use forms of pressure, to encourage sustained implementation of innovative practices. Such approaches can promote adoption more quickly than attempting to influence through incentives and rewards alone (Lawrence et al., 2001). Thus, policies and procedures with clear standards for performance, as well as clear penalties for non-compliance, are important, as is follow-through. Attention to the needs, attitudes, and perceptions of adopters is critical to their sustained use of an innovation.

4.1.5. Expertise

Objective 1.5 is to build and/or maintain expertise to sustain the innovation. In a critique of the community health promotion approach, Goodman et al. (1997) points to the importance of expertise in developing community and organizational support and increasing community and practitioner competence. Expertise is needed to carry out the functions associated with the innovation, as well as with the strategic planning, in order to plan for sustainability (Haws, Bakamjian, Williams, & Lassner, 1992; Bossert, 1990). State agencies, communities, and community-based organizations need a broad complement of skills to sustain the use of research-based prevention programs (Goodman, 2000). Such skills include knowledge of needs assessment, logic model construction, selection and implementation of research-based prevention interventions, fidelity assessment, and staging intervention components (Goodman, 2000). Knowledge of data collection and interpretation is critical to assure that communities identify prevention interventions to meet the needs of the target population and that organizations implement the interventions with fidelity or make appropriate adaptations (Backer, 2001). Knowledge of process and outcome evaluation methods is necessary to assess and understand the effectiveness of the innovation, and communication and data presentation skills are needed to communicate this effectiveness to other key stakeholders (Green & Plsek, 2002). Effective curriculum development and training skills are necessary in order to diffuse this knowledge within and across systems levels (Klingner et al., 1999; Buller & McEvoy, 1989). Leadership skills are critical to cultivate commitment to the innovation and the sustainability process (Neville et al., 2000), and fundraising expertise is needed to develop a flexible funding acquisition plan (Akerlund, 2000).

4.2. Sustainable innovation attributes

In addition to the necessary infrastructure capacity to sustain an innovation, the innovation itself must be sustainable. To this end, Goal 2 of the framework is to continue to effectively address the needs of innovation stakeholders (Table 2). That is, an innovation has to have specific attributes that lead to producing services to targeted stakeholders that meet specific needs. These attributes or characteristics need to be common to innovations that are infrastructure related (e.g. an evaluation system or reorganization) or specific prevention interventions (e.g. school-based prevention program or an environmental strategy).

Our literature synthesis found five attributes of sustainable innovations that need to be addressed along with infrastructure capacity factors. These attributes include: (1) alignment between the innovation and the needs of innovation stakeholders, (2) positive relationships among the innovation's key stakeholders, (3) implementation quality and integrity of the innovation, (4) effectiveness of

the innovation, and (5) ownership among innovation stakeholders.

4.2.1. Alignment

Objective 2.1 is to increase or maintain alignment of innovation stakeholder needs with the innovation's characteristics. A number of studies suggest that, regardless of the capacity of the organization to support the continued implementation of the innovation, the innovation is not likely to be sustained if it does not meet the needs of intended users (Klingner et al., 1999; Wickizer, Wagner, and Cheadle, 1998; Murray, 1986). A meta-analysis by Tornatzky and Klein (1982) of 80 studies that measured innovation attributes found that less complexity, more compatibility, and perception of benefit are associated with higher rates of adoption and implementation. The innovation cannot be too complex for users to implement; further, it must be effective (Wong, 1997) and compatible with the philosophical orientation (Wickizer et al., 1998) and internal agenda (Murray, 1986) of users, and users must perceive a benefit to the innovation beyond that of current practices (Gersten, Vaughn, Deshler, & Schiller, 1997). Personal commitment to the innovation appears to increase compliance with institutionalization processes (Colbeck, 2002). More complex, less effective, less beneficial innovations that are not compatible with the needs of stakeholders are unlikely to be sustained.

4.2.2. Positive relationships

Objective 2.2 is to establish and/or maintain positive relationships among the innovation's developers, organizational decision-makers, implementers, and evaluators. Research that focuses on sustainability of innovative educational programs and practices points to the importance of the relationship among the implementing teachers and innovation developer. Gersten et al. (1997) found that collaboration between program developers and teachers who are implementing the program appeared to increase their commitment and desire to implement the new procedures. A supportive peer network among implementers of an innovation is also important for sustaining innovations. Such peer networks provide support (Klingner et al., 1999) and prevent feelings of isolation among adopters (Green & Plsek, 2002).

4.2.3. Implementation quality and effectiveness

Objective 2.3 is to conduct process evaluation and use the results to ensure ongoing implementation quality and the integrity of the innovation, and Objective 2.4 is to increase knowledge of the innovation's effectiveness. According to Green and Plsek (2002), measurement is an important factor in the adoption equation. Because of the potential for varying degrees of commitment to a given innovation, the quality of implementation of the innovation should be monitored to ensure fidelity, strength, and reach to its intended recipients (Brekke, 1987; Zins, Elias, Greenberg, & Pruett, 2000).

Adopters are also more likely to sustain an innovation if they believe it is effective (Wong, 1997; Tornatzky & Klein, 1982). If outcome evaluation results do not indicate effectiveness, planners must look to the validity of the evaluation methods, strengthening them if necessary, as well as to the effectiveness of the innovation itself.

4.2.4. Adopter ownership

Objective 2.5 is to strengthen ownership of the innovation among adopters so that they will desire to sustain it. Individuals are more likely to comply with institutionalization processes because they are personally committed to them. A study of the institutionalization of innovative teaching practices revealed that cognitive indicators, such as personal commitment, had a stronger influence than regulative or normative indicators on increased acceptance of these practices among college instructors (Colbeck, 2002). Studies of the implementation of prevention interventions through community-based processes suggest that facilitating active citizen involvement (Abbott, Walton, Tapia, & Greenwood, 1999; Akerlund, 2000; Butterfoss et al., 1998; Chaskin, 2001; Goodman, 2000; Lee et al., 1995; Neville et al., 2000; Pentz, 2000; Schediec-Rizkallah & Bone, 1998; Streefland, 1995) and community ownership (Akerlund, 2000; Altman, 1995; Goodman & Steckler, 1987; Lee et al., 1995) are important for sustaining a given intervention or process in the community.

4.3. Sustainability actions

When planning to sustain innovations, a number of action steps need to be taken in order to achieve the objectives associated with the ten sustainability factors in the planning framework (see Tables 1 and 2). These actions are common to prevention planning in general, but they pertain specifically to sustainability in this framework. Fig. 2 presents a prescriptive set of sustainability actions that reflect a five-step cyclical process, based on an earlier assumption that sustainability is an ongoing cyclical change process rather than a one-time sequential stage process.

Step 1 entails assessing the adequacy of the infrastructure capacity to support an innovation and assessing the attributes

Fig. 2. The sustainability action steps.

of innovation, using the readiness measures referenced in Tables 1 and 2 for each sustainability factor. There are two purposes for conducting this assessment: (1) to determine which sustainability factors, if any, need attention in the planning and implementation steps and (2) to provide baseline data for evaluating the impact of the sustainability actions at step 4. In step 5 the sustainability plan is reassessed based on a review of the pre-post evaluation to determine whether the sustainability actions need to be modified. As additional innovations are adopted and subsequently considered for becoming a viable element of a prevention system, the five-step process is repeated.

An example of this five-step process concerning champions and leadership actions to sustain an innovation is as follows. In Table 1 (row 2; column 3), sustainability actions to ensure adequate champions and leadership action are presented. In terms of achieving sustainability readiness, step 1 entails assessing the strength of champions and the leadership actions of those who advocate for the innovation. For example, if a state wishes to sustain an infrastructure change, such as a new evaluation system, it should first identify champions for it both inside and outside of state government. Champions should be classified by their strength and by the type of power they hold: referent, expert, legitimate, or reward. Prevention systems are best served if champions with each type of power support the innovation and use their authority to sustain it. If there are no strong champions for the innovation, a plan must be developed (step 2) and implemented (step 3) to cultivate such champions. The plan's implementation should be evaluated (step 4) and the results should be used in the reassessment (step 5). If the plan produces effective champion(s) and leader(s) who take appropriate actions to sustain the innovation and adequate linkages among innovation champions and innovation stakeholders, then the sustainability readiness is rated as adequate for this one factor. If the evaluation shows inadequacy or only marginal adequacy of champions to support the evaluation system, then the plan would need to be modified and the process repeated.

A unique feature of this sustainability planning model is that tools are being developed and piloted for each of the five action steps. Research indicates that prevention tools are effective if they have these characteristics: (1) are comprehensive; (2) are easily available; (3) provide useful, step-by-step guidance; (4) utilize a friendly and supportive tone; (5) promote networking among people with relevant experience; (6) are universally available; and (7) build capacity (Fawcett, Francisco, Schultz, Nagy, Berkowitz, & Wolff, 2000). Consistent with these principles, sustainability tools are being developed to support actions relating to each capacity-building factor and innovation attribute shown in Tables 1 and 2.

Sustainability tools are being developed for use in state, community, and organizational prevention systems. For example, one state-level substance abuse prevention system is currently developing and validating a prototype set of tools that focus on sustaining an evaluation system developed as part of a CSAP SIG initiative (Johnson et al., 2003). As part of this development process, a series of meetings was convened with key state prevention staff to conduct the assessment of the ten factors known to pose challenges to sustaining an innovation (see Tables 1 and 2). A standardized sustainability readiness score ranging from 0 to 100 (inadequate = 0–25, marginally adequate = 26–50, adequate = 51–75, very adequate = 76–100) was computed for each factor. A consensus among the five key state prevention stakeholders who assisted in the assessment reported that the quantitative readiness scores had high face validity in comparison with their individual subjective assessments, which were based on working in a variety of roles within the state prevention system. Additional tools are being developed for steps 2–5 that address the development, implementation, evaluation, and reassessment of the plan of action to strengthen factors that were found to be marginally adequate in step 1.

Because of the complexity of the sustainability process that includes infrastructure capacity-building and innovation adaptation, a Sustainability Tool Kit will be designed for use by advanced prevention specialists who have received special training in sustainability. In sequence, these trained specialists can use the tool kit to assist prevention practitioners at all levels in implementing and sustaining their prevention innovations.

5. Summary, lessons learned, and next steps

We present a prototype planning model for sustaining innovations (infrastructure and interventions) within organizational, community, and state systems that provide prevention services. This planning model stems from a systematic literature review and from a series of 'think tanks' consisting of key substance abuse prevention professionals. We define sustainability as 'the process of ensuring an adaptive prevention system and a sustainable innovation that can be integrated into ongoing operations to benefit diverse stakeholders.' This sustainability process needs to begin early after decisions have been made to adopt or experiment with an innovation.

This sustainability planning model addresses two sets of sustainability factors known to be associated with success in sustaining an innovation. One set of factors concerns the capacity of prevention systems to support sustainable innovations. The other concerns the extent to which a particular innovation is sustainable. A sustainability action strategy is presented that includes two goals and corresponding sets of objectives, actions and results that determine the extent of sustainability readiness. A five-step process of sustaining an innovation is highlighted that includes an assessment of sustainability readiness to support an innovation, development, implementation, and evaluation

of a sustainability action plan, and reassess and modifying the action plan, if necessary, to continue to strengthen infrastructure or the innovation. We posit that this model meets essential conditions to succeed in sustaining innovations.

Several lessons learned emerged from the model development process. First, we learned there is an extensive body of literature that addresses sustainability and its related terms; but this literature is sparse when it comes to conceptual or empirical documentation of a set of interrelated factors that may be procurers to the sustain-ability of innovations. Further, the literature is void of planning models that have practical application to pro-fessionals in prevention. Second, we learned that combining results of a systematic literature review and the experience of a 'think tank' of professionals are essential to model construction. On the one hand, the literature helped to define sustainability and to identify and document essential factors associated with sustainability. On the other hand, the think tank provided a critical eye that led us to expanding the definition of sustainability of innovations from simply a prevention intervention to also include infrastructure like an evaluation system. Further, this body of professionals insisted on the model focusing on not only attributes of a sustainable prevention innovation but also on the capacity that is needed to support an innovation continuing on after the implementation phase. Third, we learned that while developing a planning model to sustain prevention inno-vations is an important contribution to the field, prevention professionals need tools to help them in the sustainability process. We have provided an example of such tools, but there is much tool development work left to do.

The next step after completion of the sustainability tool kit is to test the model being presented under experimental conditions. That is, an efficacy trial in substance abuse prevention is needed (Flay, 1986). Additional trials in other prevention fields are also needed to test the effectiveness of the model across prevention fields. Once empirical evidence has found this sustainability model to be effective, dissemination and diffusion of the model are in order. Continued evaluation and model revisions are essential to remain in step with changes in prevention system over time.

Acknowledgements

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Is Sustainability Possible? A Review and Commentary on Empirical Studies of Program Sustainability

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Is Sustainability Possible?

A Review and Commentary on Empirical Studies of Program Sustainability

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Abstract: An important final step in the life cycles of programs and their evaluation involves assessing new programs' or innovations' sustainability. This review and synthesis of 19 empirical studies of the sustainability of American and Canadian health-related programs examines the extent of sustainability achieved and summarizes factors contributing to greater sustainability. Three definitions for measuring sustainability were examined: continued program activities (18 studies), continued measured benefits or outcomes for new clients (2 studies), and maintained community capacity (6 studies). Methods of studying sustainability were also assessed. In 14 of 17 studies covering the continuation of program activities, at least 60% of sites reported sustaining at least one program component. Although these studies' methods had substantial limitations, cross-study analysis showed consistent support for five important factors influencing the extent of sustainability: (a) A program can be modified over time, (b) a "champion" is present, (c) a program "fits" with its organization's mission and procedures, (d) benefits to staff members and/or clients are readily perceived, and (e) stakeholders in other organizations provide support.

Keywords: sustainability; health promotion programs; routinization; institutionalization; program life cycle; evaluation

The topic of sustainability is increasingly important to the funders and implementers of health-related demonstration programs and innovations. What happens after the initial funding for new programs expires? Do the programs continue or end their activities or even expand to new sites or new beneficiaries? Does the concept of "seed funding" have validity in encouraging the start-up of new programs that are then continued by other means? In health-related content fields, several sources of major funding exist for "demonstration" projects, including federal government agencies and foundations. These projects typically receive funding for a few years—usually only 3 to 5 years—and then are expected to obtain other funding and resources for continuation.

For example, at the Robert Wood Johnson Foundation, at which I worked at the time this review was initiated, many staff members questioned whether the projects funded within its tar-

geted initiatives would survive after relatively short periods of external funding. Some staff members were rather pessimistic about the chances for the survival of these projects, given the financial stresses facing most publicly funded programs. I was working with the evaluations of nearly 20 projects for addressing pediatric asthma, which were facing their final years of funding and trying to plan for sustainability. What prior studies could provide evidence to guide them about the extent to which sustainability might be possible and under what conditions? I initiated this review to find out what empirical evidence was available on this topic in the health field. However, the topic of sustainability is likely to be relevant to many other content fields, particularly those using short-term grants as funding sources. Evaluators in other fields might benefit from the findings and discussion in this review about the methods used, the tentative findings, and the suggestions for improved future evaluation of program sustainability in diverse content fields.

This article reports the results of a systematic review of empirical literature on the sustainability of health-related projects, focusing on studies that report data collected at a time point after the initial external funding had expired, for programs or innovations related to health or health care. Studies on this topic were found in several different categories, including sustainability, institutionalization, maintenance, durability, and continuation. The purpose here is to examine the types and extent of sustainability achieved for the programs studied, as well as to summarize findings concerning factors that were found by researchers to contribute to greater likelihood of sustainability.

A program is defined here as a set of resources and activities directed toward one or more common goals (Newcomer, Hatry, & Wholey, 1994). In many cases, the federal or foundation programs that were the subject of the studies reviewed here had funded sets of local projects for limited time periods. These projects were intended to show benefits for some group of clients in relation to a health topic, including heart health interventions, screening for breast cancer, and support for frail elderly, among other intervention topics. Most of the studies reviewed here assessed the continuation of multiple local projects at their original sites, using an organizational unit of analysis.[1]

I address here neither the continued funding of federal- or foundation-sponsored programs as a whole nor the potential transfer of projects to other sites or dissemination to new sites. In addition, I do not include here the sustainability of organizations per se, which is another important issue that may influence the sustainability of projects funded within those organizations. Several other articles discuss developing the capacity of entire communities to sustain programs, for example, focusing on the relationships between researchers who develop community health interventions and the capacity of communities to continue these interventions (Altman, 1995) or on how to build "capacity" in communities for health promotion (Hawe, Noort, King, & Jordens, 1997; Labonte & Laverack, 2001). But those articles did not report empirical evidence on the extent of sustainability in communities after specified interventions, so they are not included in the reporting of empirical studies in this article. Furthermore, studies of the maintenance of desired behaviors among individual clients (compared with relapse), such as continued abstinence from smoking or maintaining sobriety after substance abuse, were not included in this review. These alternative perspectives on "sustainability" and other types of positive outcomes from the programs are also very important topics, and each would need substantial review work to address appropriately.

The growing literature on the general theme of what happens to projects after their initial funding ends has not yet coalesced into a single research paradigm, a shared set of statistical methods, or even a common terminology. Therefore, this review of findings included a broad set of studies to explore what general findings, if any, could be gleaned from them. I did not attempt the formal statistical methods of meta-analysis, because most of the original studies did

not report the statistically derived findings needed for meta-analysis. However, a seminal literature review and theoretical framework by Shediac-Rizkallah and Bone (1998) provides important theoretical underpinnings and categories for this review, even though many authors of the studies reviewed did not use that framework (or wrote prior to Shediac-Rizkallah and Bone's review).

Context

The topic of sustainability is often set within a life cycle perspective about program development, implementation, evaluation, maintenance, and sometimes dissemination to other sites or beneficiaries (Livit & Wandersman, 2004; Pluye, Potvin, & Denis, 2004; Scheirer, 1990; Wandersman, Imm, Chinman, & Kaftarian, 2000; Yin, 1981). From this perspective, new programs intended to improve health or other services often proceed through a series of overlapping stages, such as the following:

- Initiation: A program idea is conceived by innovators within an organization or by researchers wanting to test a potential new solution to a problem or felt need.
- Development and adoption: The program idea is "fleshed out" with details about its components and activities, to be tested in the intended real-life context. Alternatively, a program developed in a different location is adopted by the target organization or community.
- Implementation: The program ideas are put into full practice within the target organization or community; implementation often may require a year or more of work to define work roles, train staff members, acquire necessary technology or other resources, and try out delivery options, as well as to secure needed administrative and/or community support.
- Sustainability (or discontinuation): The program components developed and implemented in earlier stages are (or are not) maintained after the initial funding or other impetus is removed.
- Dissemination: For some programs, the funding organization expects the new program idea to be communicated to other sites and adapted or replicated to serve new beneficiaries.

This model is portrayed in Figure 1, showing the various stages as taking place over a considerable period of time, often several years. The time frames for these stages shown in Figure 1 are illustrative only, not based on empirical data about how long each stage might require. Frequently, the processes in each stage are overlapping. Yet the fact that grants for such projects are often awarded for a time period of 3 years or shorter suggests that funders expect the program development period to follow a trajectory similar to that illustrated in Figure 1 to achieve measurable outcomes for clients by the end of the grant period. This projected time schedule may be overly optimistic for many new programs.

Evaluation is not presented as a specific stage, because different types of evaluation should accompany each stage. For example, formative evaluation is used to illuminate the development period, then process and outcome evaluation track the delivery and results of the implementation stage. Dissemination would require additional evaluative data collection to track the extent and results of use by additional sites. Assessing sustainability requires further data collection to examine whether the activities and benefits of the implementation phase continue. This stage is the topic of this article, focusing on an organizational unit of analysis. I do not include here studies that assessed the dissemination, adaptation, or replication of the initial program model, except for a few studies that consider the extent of sustainability within new sites.

Although these analytical stages can be identified as a theoretical framework, in actual sites, they are often overlapping and sometimes nonlinear. That is, some implementation occurs during the stage of developing the detailed components, particularly for a new program idea. Dissemination to other sites may occur before the program is fully implemented or sustained in the

Figure 1
Program Life Cycle
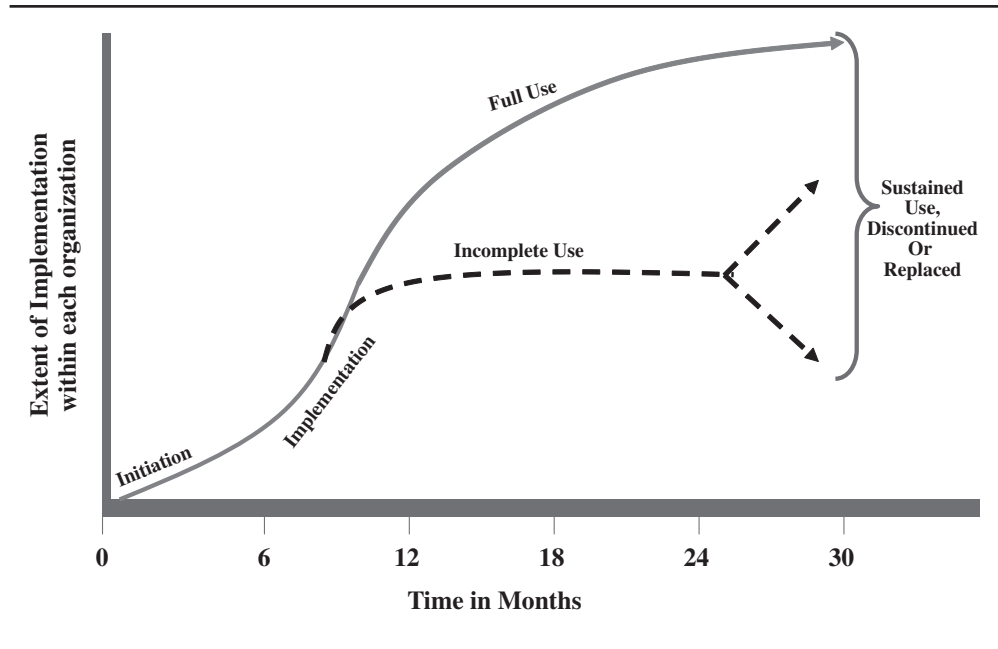
original site. And, as shown in Figure 1, implementation is often incomplete or at a limited status of program delivery before the initial funding terminates. In this case, sustainability may be difficult, because the intended program activities were never fully carried out. A recent article by Pluye et al. (2004) even questions the viability of the concept of stages, proposing that implementation and sustainability are parallel processes that occur concomitantly.

A key point for this setting of context is that sustainability is likely to be affected by all the preceding program activities, as well as by its funding arrangements. For example, a program that is generated at the initiation stage from a strong internal need felt by those within an organization may be more likely to be sustained than one generated from an external "push," such as the availability of funding from an outside agency. Furthermore, the same organizational characteristics that foster strong implementation of a new program, such as its compatibility with the organization's mission and the involvement of strong support by organizational "champions," are likely to enable continued delivery as sustainability.

Conceptual Frameworks

Research on the general topic of "what happens after the funding ends" for a specific program is not yet well conceptualized into agreed-on methods and topics. Various authors tend to approach the topic in very diverse ways. The most inclusive framework for summarizing the available empirical studies is the work by Shediac-Rizkallah and Bone (1998), which reviewed literature available to that date about health intervention programs, both in the United States and internationally. Recent frameworks with similar components have been suggested by Johnson, Hays, Center, and Daley (2004) for interventions in the substance abuse prevention field and by

Mancini and Marek (2004) for family support programs.[2] After examining various definitions for what constitutes program sustainability, Shediac-Rizkallah and Bone suggested that indicators of sustainability fall into three distinct types of measures (i.e., different operational definitions):

1. measuring continued health benefits for individuals after the initial program funding ends, particularly continuing to achieve beneficial outcomes among new consumers or other intended recipients (in contrast to maintaining behavioral change among earlier clients);
2. inquiries concerning the continuation of program activities within an organization, often termed "institutionalization" or "routinization," within an organizational focus; and
3. questions about the continued capacity of a community to develop and deliver health promotion programs, particularly relevant when the initial program worked via a community coalition or other community capacity–developing process.

These three types of measures relate to different units of analysis for sustainability measurement: individual-level outcomes, the organization-level implementation of activities, and community-level capacity. Conceptually, these three levels might reasonably relate to linked components of a program's logic model (community capacity → sustained program activities → outcomes for clients). Yet in the literature to date, these three types of sustainability measures are usually addressed separately and are not interchangeable. For example, a community coalition can continue to meet and may plan for relevant activities without necessarily implementing programs that provide benefits for intended clients, the purpose that generated the formation of the coalition. A program might continue in existence and implement some activities but not document measurable outcomes for its clients.[3] Furthermore, the routinization of a program within an ongoing organization could result in the indefinite continuation of its client outcomes or could become a hollow shell of activities perpetuated for their own sake, whether or not benefits for clients are achieved. At least one observer has questioned whether institutionalization ought to be a goal of the life cycle of program development and delivery (Green, 1989). Green (1989) suggested instead that the capacity building and innovativeness generated by the development of new programs is the more important outcome that should be sustained. A fourth type of sustainability is suggested by work of the Harvard Family Research project: sustaining the ideas, beliefs, principles, or values underlying an initiative (Weiss, Coffman, & Bohan-Baker, 2002). However, this focus on the cognitive components of programs was not addressed by the literature reviewed here and might be difficult to operationalize for systematic research.

This review does not encompass the topic of organizational sustainability, that is, whether funded organizations, especially nonprofit organizations, are maintained over long periods of time. This topic tends to be addressed in the separate literatures about organizational behavior, organizational development, and entrepreneurship and was not included in this review. Funders who support the start-up of new organizations to house new programs might well consider both the sustainability of the program activities and the sustainability of the organization (cf. Livit & Wandersman, 2004).

Influences on Sustainability

The previous literature about program sustainability has also investigated the question, What factors help increase the likelihood of sustainability? This question is particularly addressed in the literature concerning the institutionalization of program activities within an organization. This issue is of central importance when one is planning for program sustainability, when it is helpful to know what processes and other influences need to be considered to extend the deliv-

ery of program activities. Although program staff members often think first about finding new sources of funding for a program whose initial funding will end soon, the influences suggested by the literature extend far beyond simply bringing in new funding. Shediac-Rizkallah and Bone (1998) provided a useful framework of potentially influential factors, which I adapted for this review. The framework includes the following components:

- *Aspects of project design and characteristics:* These include the nature of the start-up and design process, particularly whether local stakeholders were involved; whether the program is modifiable to meet local needs and conditions; whether evaluation has documented effectiveness; how long the program or innovation has existed; and the nature of the original sources of financing.
- *Factors within the organizational setting:* These include whether there is a program champion who is strategically placed to foster continuation, whether the new program or innovation is congruent with the underlying mission and operating procedures of the organization, and the underlying capacity of the organization (sometimes shown by its length of time in existence). The work of Robert Yin (1979, 1981) on factors associated with routinization (see below) amplifies this part of the framework.
- *Factors in the broader community environment:* These include the stability and favorability of external socioeconomic and political factors, such as market forces impinging on an organization, legislation affecting the program, support from external community leaders, and the availability of funding and other resources as inputs to the program.

These influences on the extent of program sustainability are not discrete variables whose strength of effects can be easily tested in isolation from one another. Instead, they are likely to interact over time to weave the history of each program or innovation. A factor that was crucially important to the longevity of one program may have been unimportant in the "story" of another site's implementation of the same program. Furthermore, few of the sources reviewed for this article considered the same set of potential influences on the observed extent of sustainability or operationalized them in the same ways. For these reasons, research on the topic of program sustainability, although greatly needed, is not likely to develop and validate a single set of guidance about "how to do it." Similar to the results of research on program implementation (Scheirer, 1981, 1987), research about program sustainability is likely to remain multifaceted, with results contingent on the specific programs and contexts in which they are operating. Yet future research that builds on the methods and findings of the studies reviewed here is strongly needed to consolidate empirical evidence and to test strategies aimed at increasing the numbers of sustained programs from the moderate levels reported below.

Sustainability as Institutionalization

One detailed line of research within the broader topic of program sustainability defines sustainability as the institutionalization or routinization of programs into ongoing organizational systems. In this perspective, the maintenance of program activities without special external funding is most likely to occur if the program components become embedded into organizational processes. When this happens, researchers may no longer be able to identify a specific "program," because the program activities have become a part of the organization's core services. These concepts are well developed in Yin's (1979, 19891) concept of routinization. Using the results of 19 case studies of technical innovations introduced into local governments in the 1970s (such as police computer systems, mobile intensive care units for paramedics, and alcohol Breathalyzer testing for driver safety), Yin examined how these innovations became part of standard practice. He suggested that full routinization depends on 12 processes or events that he characterized as specific "passages" and "cycles," listed in Table 1. Using these catego-

Table 1
Yin's (1979, 1981) Routinization Framework

1. Budget	1a. Program supported by change from soft to hard money
	1b. Survives annual budget cycles
2. Personnel	2a. Program activities become part of job descriptions/requirements
	2b. Program survives turnover of personnel/leadership
	2c. Key program staff members are promoted within agency
	2d. Program activities spread to all potential users within agency
3. Supply and maintenance	3a. Supply and maintenance provided by agency
	3b. Activities survive equipment turnover
4. Training	4a. Skills taught in many training cycles
	4b. Skills become part of professional standards
5. Organizational governance	5a. Use of program recognized in manuals, procedures, regulations
	5b. Program recognized as permanent within agency

ries, he distinguished three degrees of routinization: marginal, moderate, or high, reflecting the number of the passages and cycles that had been achieved. His analysis found that important conditions for routinization were internal to the specific local agency, particularly the extent to which it was supported by local staff members using it and the support of top agency administrators (Yin, 1981).

The work of Goodman, McLeroy, Steckler, and Hoyle (1993) extended Yin's (1979, 1981) framework by developing a questionnaire measuring tool for the Level of Institutionalization. They categorized processes similar to Yin's into four organizational subsystems (production, maintenance, supportive, and managerial). The instrument further extends the scope of program delivery measurement by adding "niche saturation," the extent to which each component is fully embedded into all relevant subsystems. The article presenting this instrument proposed an eight-factor model, with supporting data from administrators in 141 organizations. However, this model has been questioned as not fully supported by the data (Scheirer, 1993), and further research using it (Barab, Redman, & Froman 1998) suggests that a two-factor model (labeled the presence of "routines" and "niche saturation") provides improved reliability and validity. To date, only one later study of sustainability (Goodson, Smith, Evans, Meyer, & Gottlieb, 2001) was located that used the Level of Institutionalization scale, and it was a version adapted for a qualitative, case-study methodology.

These issues about the conceptualization and measurement of program sustainability, as well as the conceptual frameworks for assessing factors which are likely to influence the extent of sustainability, form the background for this review of empirical literature. I now turn to the methods and findings of the literature review itself.

Methods for This Review

For this literature review, the first step was to search for research that had collected data about some aspect of program sustainability after initial funding had ended. The search was limited to studies in the health arena in the United States and Canada and did not include other studies about program sustainability conducted in the international arena. The health field has used the "demonstration model" extensively, for which the question of postfunding sustainability has become an important issue. I expected that there would be greater convergence among studies within the same field than might occur across multiple content areas or

among diverse environments internationally. Furthermore, this review was initiated under the auspices of the Robert Wood Johnson Foundation, which focuses only on health and health care goals. Whether the findings would be replicated for projects in other content fields is an important question needing further investigation.

The search was conducted using the search string "sustainability OR routinization OR institutionalization AND health OR healthcare," in all major relevant bibliographic databases, for the years 1990 to 2003, including PubMed, ProQuest, the Librarians Index to the Internet, and NLM Gateway. The abstracts of potentially relevant citations were examined to determine if the original research included data collected about any aspect of sustainability after the initial funding had ended. Full texts of all relevant articles were then obtained. A few studies were already known to me from prior related work. In addition, reference lists of obtained articles were examined for any additional studies, such as those using different terminology. The systematic review did not include articles or how-to-do-it commentaries about sustainability that did not report empirical data, although these articles were consulted for their conceptual frameworks and approaches. These procedures yielded 19 studies that met the criteria for inclusion: reporting data collected about the status and/or influences on health program sustainability (including case studies). The review included all available studies that met these criteria, not a sample of them.

The next step was to code information from each study into a set of tables, so that overall results could be tabulated and compared. I did the coding using the categories suggested in the framework developed by Shediac-Rizkallah and Bone (1998). Extracts from the article coding appear in Tables 2 to 4. As much as possible, I extracted factual material from each original article. However, in many cases, the original articles used narrative description about the likely influences on sustainability rather than a set of variables with explicit definitions. Therefore, the components from each study coded as showing an influence on sustainability, in Table 4, required some subjective judgment.

Findings

Methods for Studying Sustainability

Using the search strategies listed above, 19 studies were located and analyzed for this article. A first analytic set of questions concerns the methods used to study sustainability: What methods were used, and how systematic were the methods used to derive the findings of these studies? Table 2 shows the scope of each study (the number of sites or programs studied) as well as several features of its methods.

Numbers and selection of sites. The number of sites or programs studied ranged from 5 to 787 sites in one large program. Seven studies examined fewer than 20 sites, 5 studies looked at 20 to 50 sites or programs, and 7 analyzed more than 50 sites or programs. The selection of sites and interventions within each article varied: Many attempted to contact all the sites funded by the programs they were assessing or identified multiple interventions within targeted locations. Two articles selected sites known to have survived or not (Glaser, 1981) or to show a range of sustainability (Goodman & Steckler, 1989); these articles were not included in the tabulation of the extent of sustainability for this review. This review uses the 19 studies as its unit of analysis (not the sites within individual studies). There is no way to know whether the findings from these studies would apply to some larger population of programs, because none of the studies

Table 2
Methods Used in Sustainability Research

Author and Date	Number of Programs/Sites	Methods of Data Collection	Number of Respondents per Site	Time Since Funding Ended	Any Statistical Tests?	Any Data Quality Checks?
Bracht et al. (1994)	78 programs at 3 sites	? Mail survey, key informants	Multiple	3 years	No	?
Elder et al. (1998)	22 interventions at 1 site	? "Monitoring"	Not specified	> 2 years	No	No
Evashwick and Ory (2003)	20 projects: won award for "best practice models"	Telephone? interviews	One per project	Not stated: varied funding status	No	Some
Glaser (1981)	18 programs	Site visits after telephone contacts	Multiple?	Survived > 2 years	Yes	Yes
Goodman and Steckler (1989)	10 sites	Case studies using interviews, observation, document review	Multiple	? All in existence from 3 to 6 years	No	Yes
Goodson, Smith, Evans, Meyer, & Gottlieb (2001)	5 primary care sites	Case studies using in-person and phone interviews plus written questionnaire	Multiple	3 years	No	Some
Harris et al. (2003)	7 states	Telephone interviews	Multiple	2 years	No	No
Herrera (2002)	787 local coalitions for Faith in Action program (of 1,091 funded sites)	Mail and telephone survey, documents, early project reports	One per site (?)	Varied: up to 6 years	Yes	Some
Hogg, Baskerville, Nykiforuk, & Mallen (2002)	7 family medical practices, Canada	Group interviews (doctors, nurses, staff members)	Multiple	No external funding; 1 year after intervention	No	Yes
Lichtenstein, Thompson, Nettekoven, & Corbett (1996)	11 communities	Site visit, focus groups; phone interviews	Multiple	Approximately 1 year	No	Some
Lodl and Stevens (2002)	56 community coalitions: rural	Telephone interviews (regarding 18 coalitions)	Not specified	5 years	No	No
O'Loughlin, Renand, Richard, Sanchez-Gomez, & Paradis (1998)	189 interventions in 30 sites	Telephone interviews	One per intervention	0 to > 20 years	Yes	Yes
Paine-Andrews, Fisher, Campuzano, Fawcett, & Berkley-Patton (2000)	6 community initiatives	Mailed survey (4 of 6 sites); interviews	Not stated	1 year	No	No

Scheirer (1990)	490 school districts	Telephone interviews	1 interview per district	Varied: mean of 6 years	Yes	Some
Shediac-Rizkallah, Scheirer, & Cassady (1997)	28 hospitals	Telephone interviews; surveillance database	One per hospital, plus mammogram records	6 months	Yes	Yes
Stevens and Peikes (2004)	112 local health projects (of 120 funded)	Telephone survey plus 10 case studies	Multiple	Varied, average of 4.8 years	No: too few nonsustained	Some
Stange, Goodwin, Zyzanski, & Dietrich (2003)	37 family medical practices	Data extracted from medical records by researchers	11 to 40 patient records per physician	12 months after intervention	Yes	No?
Thompson, Lichtenstein, Corbett, Nettekoven, & Feng (2000)	11 communities in smoking program, plus 11 comparison communities	Mailed questionnaires to key informants	Multiple	2 years after intervention	Yes	Yes
Wallin, Bostrom, Wikblad, & Ewald (2003)	119 nurses, in Sweden, from 75 organizations	Mailed questionnaire	One: individuals were focus of study	4 years after training	Yes	Yes

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Table 3
Types of Sustainability Assessed

Author and Date	Type of Program	Number of Years: External Funding	Operational Definition of Sustainability?	% of Sites Sustained?	Types of Sustainability Examined		
					Benefits to Clients	Program Activities	Community Support
Bracht et al. (1994)	Heart health interventions	Up to 8 years	Yes	60% of programs	—	Yes	Yes
Elder et al. (1998)	Nutrition and heart health	2 to 3 years	No: narrative only	6 (2 major ones) of 22 interventions (27%)	Examples given, with data	Yes	Briefly
Evashwick and Ory (2003)	Gerontological health: varied	? Projects were from 2 to 15 years; funding source not known	No	At least 5 of 20 "dormant," 75% sustained (?)	Examples of numbers served	Yes	Briefly
Glaser (1981)	Mental health: Goal Attainment Scaling and Fairweather Lodges	Not applicable: not selected on funding status	Sites selected on basis of > 2 years survival vs. not	Selected for case studies: about half sustained	—	Yes	Some
Goodman and Steckler (1989)	Community health promotion	3 years	Yes: used Yin's (1979, 1981) model	40% (1 rated high, 3 moderate institutionalization) Selected for range	—	Yes	—
Goodson, Smith, Evans, Meyer, & Gottlieb (2001)	Put Prevention Into Practice at 5 primary care sites	3 years	Yes: based on Level of Institutionalization scales	4 of 5 (80%) at 3 time periods	Not after funding	Yes	Some
Harris et al. (2003)	Multidisciplinary, community-based education for health professionals	5 years	No: part of interview questions	5 of 7 (71%) "sustained as originally planned"; also 63 policy changes	—	Yes	? mentioned plus
Herrera (2002)	Faith in Action: coalitions of religious and other organizations use volunteers for supporting homebound clients	18 months for most, some received funds for a few additional months	Brief: continuing to serve clients	At least 62% continue to serve clients; perhaps up to 78%	Brief: only numbers of clients	Some, especially regarding support for volunteers	Some
Hogg, Baskerville, Nykiforuk, & Mallen (2002)	External facilitator to increase prevention in primary care practices	None: facilitation only	No: informal	Varied by intervention: 6 of 7 (86%) continued one intervention; others lower percentages	—	Yes	—

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Reference	Program	Duration		Results			
Lichtenstein, Thompson, Nettekoven, & Corbett (1996)	Community-based smoking cessation	4 years	Brief	9 of 11 (82%) kept coalition; 68% of initial activities	—	Yes	Yes
Lodl and Stevens (2002)	Community coalitions for children's and families' needs	5 years	No	Only 18 of 56 coalitions could be contacted (32%); 5 (28% of contacted) still "active"	—	Yes	Slight
O'Loughlin, Renaud, Richard, Sanchez-Gomez, & Paradis (1998)	Heart health promotion interventions	Varied: median of 24 months	Yes	44% "very permanent"; 35% "somewhat permanent"	—	Yes	—
Paine-Andrews, Fisher, Campuzano, Fawcett, & Berkley-Patten (2000)	Teen pregnancy and teen substance abuse: in communities	4 years	Yes	100% of 6 communities kept projects; 32% of 378 activities remained	—	Yes	Yes
Scheirer (1990)	Dental program in public schools	Extent of external funding unknown: schools used program for mean of 6 years	Yes	79% still using program when surveyed	—	Yes	—
Shediac-Rizkallah, Scheirer, & Cassady (1997)	Breast cancer screening program for low–socioeconomic status women	5 years	Yes	44% of number of screening mammograms; 18 of 28 (64%) reported maintaining some program activity	Yes	Yes	Yes
Stevens and Peikes (2004)	Diverse types of local health-related projects	3 to 4 years	Brief	At least 75% of projects still in operation; 92% survived at least 1 year	—	Yes	Some
Stange, Goodwin, Zyzanski, & Dietrich (2003)	Interventions to increase use of prevention services	Not applicable: intervention was in-person assistance, no external funding	Yes	Not analyzed: only overall rate of services: no significant reduction by 12 months after inventions	Yes	—	—
Thompson, Lichtenstein, Corbett, Nettekoven, & Feng (2000)	Smoking cessation: in communities	4 years	Yes	9 of 11 (82%) communities in both intervention and control sites had tobacco control structures; activity levels in 5 intervention areas had similar ratings: moderate to high	—	Yes	Yes
Wallin, Bostrom, Wikblad, & Ewald (2003)	4-day training on quality improvement	Not applicable	Yes: briefly	46 of 119 (39%)	—	Yes	—

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Table 4
Findings: Factors Reported to Be Related to the Extent of Sustainability

Author and Date	Project Design and Characteristics				Organizational Setting					Community and Environment	
	% of Sites Sustained?	Program Modifiable	Low Cost; Uses Volunteers	Positive Evaluation	Champion Present	Strong Existing Capacity	"Fit" With Mission/Tasks	Perceived Benefits to Staff Members/Clients?	Longer Time Period	Support From Other Organizations	Type of Funding
Bracht et al. (1994)	60%	Yes					Yes	Yes		Yes	
Elder et al. (1998)	27%		Yes		Yes		Yes	Yes			
Evashwick and Ory (2003)	75%	Yes	Yes	Yes	Yes	Yes	Yes			Yes	Yes
Glaser (1981)	Not applicable[a]	Yes		Prior	Yes		Yes	Yes		Yes?	Maybe
Goodman and Steckler (1989)	40%[a]	Yes			Yes	Yes	Yes	Yes			
Goodson, Smith, Evans, Meyer, & Gottlieb (2001)	80%				Yes	Yes	Yes	Yes?		Yes	
Harris et al. (2003)	71%				Yes	Negative	Yes			Yes	Yes
Herrera (2002)	62% to 78%		Yes		Yes?				NR	Yes	Yes
Hogg, Baskerville, Nykiforuk, & Mallen (2002)	86%	Yes			Yes?		Yes	Yes			
Lichtenstein, Thompson, Nettekoven, & Corbett (1996)	82% coalitions; 68% activities			Results not available				Yes		Yes	
Lodl and Stevens (2002)	28%	Yes			Yes			Yes	Yes	Yes	Yes
O'Loughlin, Renaud, Richard, Sanchez-Gomez, & Paradis (1998)	79%	Yes	Yes	Yes	Yes	NR	Yes	Yes	NR		NR
Paine-Andrews, Fisher, Campuzano, Fawcett, & Berkley-Patton (2000)	100% communities; 32% activities	Yes	Yes		Yes		Yes	Yes		Yes	Yes
Scheirer (1990)	79%				Yes		Yes	Yes	Yes	Yes	Yes

Study										
Shediac-Rizkallah, Scheirer, & Cassady (1997)	64% hospitals; 44% mammograms	Yes	Yes	Yes				Yes		Yes	Yes
Stevens and Peikes (2004)	75%	Yes	Yes	Yes	Yes	Yes	About half	Yes?	Yes	Yes
Stange, Goodwin, Zyzanski, & Dietrich (2003)	Not analyzed	Yes	Feedback provided	
Thompson, Lichtenstein, Corbett, Nettekoven, & Feng (2000)	82% of both intervention and control sites	Yes	
Wallin, Bostrom, Wikblad, & Ewald (2003)	39%	
Totals: number of studies citing each factor	12	5	4	13	12	4	12	3 related, 2 NR	12	9, 2 NR

NOTE: Influences are those cited by authors of original studies, not necessarily by statistical tests. NR = factor examined by study but found to be not related to extent of sustainability. Prior = prior evidence of effectiveness available from other research.

a. Projects were selected to show a range of outcome levels on sustainability.

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began by identifying any such population. Furthermore, the discussion below about the influences on sustainability also depends on the extent of variability in these "predictors" among the sites studied: If a hypothesized predictor does not vary among sites, then it would not show a statistical association with the dependent variable, sustainability.

Data collection. Not surprisingly, the major methods used to gather data also varied substantially, with mail (5 studies) or telephone (11 studies) surveys being most prevalent. Case-study methods or site visits were used in 6 studies. Other methods or multiple methods were used in 8 studies. One article did not specify the study's methods, merely stating that data were collected by "monitoring." Even though most programs took place in organizations or communities, 6 of the studies used only one informant per site to report on its current status,[4] and 3 others did not specify how many respondents were contacted from each site. More positively, 9 studies contacted multiple respondents per site or program to obtain a more reliable base of information about the project, and 1 study extracted data from medical records about prevention services provided to individuals. About two thirds of the studies (13) reported at least some information about data quality checks or methods undertaken to ensure quality (such as steps to ensure adequate response rates in a survey, methods to assess the reliability or validity of data, or comparisons across different types of data collection to provide triangulation of findings).

Timing of sustainability measurement. Most studies waited for a meaningful amount of time to elapse before examining sustainability: At least 13 studies contacted the original sites at least 2 years after external funding had ended (if there was external funding) or had a varied length of time after funding ended before data collection.[5] There is no commonly accepted time point for defining when a program is "sustained." These studies typically contacted the sites studied at only one time point within a long trajectory of events that might affect sustainability. For some interventions, institutionalization within an ongoing organization might take place rather quickly, if the organizational factors were favorable (such as those identified by Yin, 1981, discussed above). On the other hand, the pace of organizational change is often slow; there might be a tendency to keep staff members on the payroll for a time, to maintain only some activities of a broader initiative, or to keep a recent initiative going for political or face-saving reasons, even if it is not sustained permanently. Detailed investigation about the long-term processes of sustainability or institutionalization of the targeted interventions over a period of several years was generally not undertaken by the studies reviewed.

Statistical analysis. Nearly half of the studies (8 of 19) used some type of statistical analysis or tests of significance for assessing influences related to sustainability, whereas the other 11 reported only narrative data or frequencies of cases. However, the statistical analysis used was often only a bivariate test of these associations, not a more rigorous multivariate analysis to control for the correlations among the influences (e.g., in O'Loughlin, Renaud, Richard, Sanchez-Gomez, & Paradis, 1998; Scheirer, 1990).[6] The relative scarcity of tests of statistical association made it impossible to rigorously compare influences on sustainability across studies, such as by using statistical meta-analysis methods.

This overall assessment of the methods used in these studies presents a mixed picture. Although a few studies were quite rigorous and explicit in the methods they used, several others did not report much information about how they arrived at their conclusions. Some mentioned that funding was not adequate to use more systematic methods. The great majority used only self-report surveys of key staff members from the target projects, usually the project director, and had no data source to cross-validate the responses provided. Only a few studies provided explicit operational definitions of what was meant by "sustainability," and even fewer

operationalized potential influences on this outcome (sustainability) in ways that could be compared across studies. The relative absence of information about the quality of the data underlying findings presented is a substantial weakness in this body of work. Many authors were eager to provide advice about how to increase sustainability but did not always ground this advice on a methodologically sound evidence base. The findings from these 19 studies, reported below, are thus based on a body of rather weak evidence; future studies with more rigorous methods might reach quite different conclusions.

Extent and Types of Sustainability

The types of programs that were examined in these studies varied considerably, as shown in Table 3, so the nature and meaning of sustainability also varied by context. Several studies were of community-based coalitions, such as heart health or smoking cessation programs; several were of efforts to promote primary care in medical office practices. Others had quite diverse contexts, including one that examined the long-term influences of a 4-day training program for nurses on quality improvement methods and another that assessed projects that had promoted multidisciplinary, community-based education for health professionals. Those that had external funding had received it for periods ranging from 18 months to 8 years; in five sets of programs, external funding was provided for 3 years or less. Six studies were of projects that received no external funding or did not report its extent, for example, when only training was provided to the intervention sites, or multiple sources were used to fund the same intervention, as noted in Table 3.

It would have been desirable to examine systematically the implications for the extent of sustainability of a number of characteristics of the programs reviewed, such as their source(s) of initial funding, differences in program content areas and intervention strategies, and variability in organizational characteristics (e.g., whether the organization itself was a small, struggling nonprofit versus a larger, established organization). Unfortunately, these studies often did not include these detailed descriptors about the sites they assessed, particularly not in terms that were consistent enough across studies to permit comparisons. Furthermore, the original authors' operational definitions of what was meant by sustainability were often quite generous (such as "Are any activities from the project still remaining?") or even nonexistent.

A positive finding from this review is that a substantial proportion of studies found that some type of sustainability was achieved within a majority of the sites studied, as shown in Table 3. I adopted an inclusive definition of sustainability for this tabulation: If the original author stated that the project and/or some of its activities still existed, I coded it as sustained, using studies as the unit of analysis for the frequencies reported below.

- Fourteen of 17 relevant studies reported that 60% or more of the sites showed some sustainability, for at least some activities or the continued existence of community coalitions. (I choose the 60% benchmark as a level showing success in sustainability for at least a majority of the sites studied, but not so high a criterion as to be unattainable. Specific percentages of sites sustained are shown in Table 3.[7])
- Two other studies selected the sites to be observed to show a range of sustainability (Glaser, 1981; Goodman & Steckler, 1989), so the overall percentage sustained was not relevant (both used case study methods).
- Only three studies reported less than 60% sustainability for all of the components studied, all lower than 40% of their sites sustaining. One of these examined the continued use of a short training program 4 years after delivery and found a quite respectable 39% of nurses still using the training.

Many of these studies used exploratory methods to see if anything remained several years after external funding had ended. The fact that so many of them found evidence that project components or activities still existed is suggestive evidence that some form of sustainability is often possible, although certainly not guaranteed. Nevertheless, much greater rigor is needed in future studies concerning the definition and measurement of extent of sustainability. As a minimum, the components or activities in the original project should be detailed, including questions about the specific components that survived or were abandoned and why.

Comparisons Among Types of Measures

Several studies examined more than one type of sustainability measure and found differential results. For example, Shediac-Rizkallah, Scheirer, and Cassady (1997) found that 64% of 28 hospitals reported maintaining some components of their breast cancer screening programs after funding ended, but they provided only 44% as many screening mammograms as during the same period the prior year. In this case, the outcome of benefits sustained for clients was not nearly as high as the percentage of hospitals continuing some activities. Several follow-up studies were conducted of the federal Community Intervention Trial for Smoking Cessation (COMMIT) community trial to promote smoking cessation. One year after the funding ended for the intervention activities, Lichtenstein, Thompson, Nettekoven, and Corbett (1996) found that 9 of 11 (82%) of the intervention communities still had organized coalitions, but they averaged only 68% of their earlier scope of activities. Two years after funding ending for the same COMMIT trial, Thompson, Lichtenstein, Corbett, Nettekoven, and Feng (2000) found that 9 of 11 communities in both the intervention and comparison arms of the original trial maintained coalitions or other organized tobacco control structures, and the activity levels in five areas of intervention were similarly moderate to high in both sets of sites. This study suggests that the continued activity levels for some types of programs might be due to the underlying trends for promotion of such activity in all communities, rather than differential maintenance just in the intervention sites.

Most of these studies did not differentiate among the three types of sustainability measures described by Shediac-Rizakallah and Bone (1998) in the framework described above: the sustainability of beneficial outcomes for clients, the continuation of program activities, and the maintenance of community attention to the problem addressed by the program. As indicated in the final three columns of Table 3, only two studies measured benefits to clients, although three others included some examples of the numbers of clients that continued to be served. One rigorous study (Stange, Goodwin, Zyzanzki, & Dietrich, 2003) followed up a program of interventions to increase the use of prevention services in 37 family medical practices. Using data extracted from patient medical records at least 12 months after the interventions, the researchers found no statistically significant reductions in the overall rates of services to clients, which had increased significantly during the intervention. In other words, services were maintained on average, at the same rates for at least a year following the interventions. Unfortunately, this study did not report or analyze the extent of variability among the 37 medical practices in the study, in the rates of preventive services provided. This follow-up study also did not include data from the original comparison group of medical practices, which were offered a delayed version of the interventions.

Nearly all studies (18 of the 19 studies reviewed) examined whether program activities were sustained, although for some studies, this meant only a single question in a questionnaire or interview asking the respondent whether the program was maintained. Several other studies considered sustainability from an institutionalization perspective and measured a number of

indicators of whether full institutionalization had taken place. Further analysis of influences on the level of sustained program activities is provided below.

Six studies explicitly examined the maintenance of community coalitions or other community structures for continuing to address their problem area (Bracht et al., 1994; Herrera, 2002; Lichtenstein et al., 1996; Lodl & Stevens, 2002; Paine-Andrews, Fisher, Campuzano, Fawcett, & Berkley-Patton, 2000; Thompson et al., 2000). In five of these six studies, at least 60% of their community coalitions continued to operate when the follow-up study was conducted (see Table 3 for details). Few of the other studies assessed whether the program had enhanced or sustained influences on community capacity. As indicated in Table 3, seven additional studies provided some commentary or analysis about the importance of community support for the program activities undertaken but did not attempt to measure or analyze community capacity.

Several studies that examined the sustainability of activities promoted by community coalitions did report on the continued existence of the coalitions as coordinating structures. For example, the Minnesota Heart Health Program (Bracht et al., 1994) used community boards in three cities; two of the three cities incorporated the boards following the program to assume responsibility for maintaining the programs. The community programs analyzed by Paine-Andrews et al. (2000) also developed local advisory boards or steering committees, but the authors did not report how much of this structure remained following the program funding. Two studies of the national COMMIT trial on smoking cessation both report that 9 of 11 intervention communities still maintained tobacco control structures 1 year (Lichtenstein et al., 1996) and 2 years after (Thompson et al., 2000) the end of federal funding. Thompson et al. (2000) further analyzed the "strength" of these coalitions in terms of their independence of agendas, their receipt of funding, and the extent of paid staff members. However, these studies of coalitions do not examine whether or how the continued operation of the coalition structure contributed to increased community capacity, for example, to develop or operate other programs.

One study (Jackson et al., 1994) that did explicitly examine the capacity of communities to carry on health promotion activities was an extended follow-on activity to the Stanford Five-City Project, an interventional research program for heart health led by researchers from Stanford University in the 1980s (Farquhar et al., 1985, 1990). During the 6-year intervention period, the researchers and community participants planned for maintaining the comprehensive program of heart health promotion activities after federal funding ended. The plan involved a networking strategy under a new umbrella nonprofit agency, overseen by a community advisory board, which would locate and disseminate program ideas to local participating agencies. After 3 years of attempting to work within this structure, the participants dissolved it, finding that it resulted in increased conflict among agencies and increased competition for resources and staff time. Subsequently, they shifted to a capacity-building strategy for local health education staff members partnering with the university staff members to develop agency members' skills in program management, grant writing, project evaluation, and other topics requested by the health agency participants. This activity was maintained for 2 years and was viewed as successful by the participants and authors of this descriptive case study. This report ends by defining sustainability as capacity building of individual staff members within their agencies rather than measuring the extent to which they continuing specific activities or achieved outcomes started under the original program. (For this reason, this report was not coded in the tables for this review: It did not use any of the three definitions to measure sustainability. Future research on sustainability and related topics might well include more attention to capacity building as a possible outcome of short-term programs.)

Factors Related to Extent of Sustainability

Most studies in this review provided some explanation for the levels of sustainability they found. They asked, What factors help programs to sustain themselves after external funding ends? Are there some identifiable factors that could help increase the extent of sustainability in the future? This review classifies these factors according to the framework of potentially influential factors suggested by Shediac-Rizkallah and Bone (1998), as shown in Table 4. However, the authors of the studies reviewed did not usually use this framework when suggesting influences on sustainability. Instead, they often took an inductive approach of describing differences between high and low or nonsustained sites, or they obtained participants' perceptions of helpful or detrimental factors. Whenever a study mentioned the positive influence of a factor included in Table 4, it was coded as "yes." (These were sometimes statistically derived associations, such as correlations, but not always. As indicated in Table 2, only eight of the studies used any type of statistical tests.) The many blank cells in Table 4 indicate that the studies made no mention of that factor. In only a few studies was one of these factors examined but found to be not related to the extent of sustainability (coded as "NR" for "not related"). Coding these factors thus required frequent judgment on whether the factors being discussed in a particular study are the same ones mentioned in the framework. For example, is a "strong executive director" (found to be an important factor by Herrera, 2002) the same as having a program champion? I thought these similar enough to be included as "yes" in that column.

Seventeen of the 19 studies provided some analysis or discussion of factors believed to influence sustainability, as shown in Table 4. The unit of analysis for this summary is thus the studies reviewed, not the sites within studies. Few studies used a multivariate method (such as multiple regression) to examine the associations between hypothesized influences and whether the project was sustained. Furthermore, few studies provided operational definitions of their predictor variables or provided information about the variability among sites for those variables. Therefore, cross-study examination of influential factors using the methods of statistical meta-analysis was not possible in this review. Many of the studies stated they used exploratory methods, such as fairly open-ended telephone interviews with project directors, and made little attempt to build on the conceptual frameworks provided by prior research. Therefore, the findings from this review should be viewed as suggestive rather than conclusive.

Influences on sustainability found or mentioned most often were the following:

Concerning project design and its characteristics:
- Twelve studies suggested that programs that were modifiable at the local level were more likely to be sustained. They reported that local organizations were likely to make changes in the initial program design to address a greater perceived need (such as preventing teen smoking rather than adult smoking cessation) or to make it easier to deliver locally. Few of these studies examined whether these modifications were made in essential components of the original program (i.e., was the essence of the original program sustained?). Furthermore, one study (Stevens & Peikes, 2004) noted that frequent changes to meet the priorities of new funders could lead to a loss of focus on the initial program goals.
- Five studies explicitly mentioned the use of volunteers or other low-cost ways of delivering services as a key strategy for sustainability.
- Only four studies mentioned the use of evaluation data as an important vehicle for gaining support needed for continuation. In one of these (Stange et al., 2003), data feedback was an integral component of the intervention strategy promoting the use of prevention services in medical care. Several other programs were focused on interventions whose efficacy was already well established, such as breast cancer screening or smoking cessation. A recent article (Stevens & Peikes, 2004) found that although nearly all of the projects studied had evaluations, only about half of the project directors

interviewed thought that evaluation results contributed strongly to sustainability. Another study (Lichtenstein et al., 1996) noted that most of the intervention communities had already decided to continue before the results of the national evaluation were available. However, program staff members' perceptions of program benefits were found by many studies to contribute to sustainability (see below), even if these benefits were not confirmed by research or evaluation.

Concerning aspects of the organizational setting:
- Thirteen studies emphasized the important role of a program champion, sometimes the executive director. This is a person who is strategically located to have access to upper management as well as influence on, or control over, day-to-day program operations. The champion often enthusiastically advocated for the needs of the program, particularly to help secure resources for its continuation.
- Only four studies cited the strength of existing organizational capacity as a key aspect influencing sustainability. Another strongly empirical study (O'Loughlin et al., 1998) included this variable in its regression analysis and did not find it to be an important influence on the sustainability of 189 heart health interventions at 30 sites. Furthermore, another study (Harris, Henry, Bland, Starnaman, & Voytek, 2003) even found that one aspect of the existing organizational structure, the "silo" structure of academic organizations, was a negative influence on a program to infuse a multidisciplinary and community orientation into medical and nursing education.
- Twelve studies emphasized the "fit" of the new program within the existing organizational mission and/or its standard operating procedures as a key influence on sustainability. Project activities that could be "sold" as contributing to the organization's goals were more likely to receive internal support and even resources that allowed them to be sustained. Furthermore, project activities that could readily fit into existing tasks and procedures were more likely to have the support of operating staff members. However, it is also possible that some of these were continuations of activities that the organization had started up before the "new" funding for the project studied and would have continued even in the absence of that specific source of funding.
- Similarly, 12 studies noted that when staff members or key stakeholders could perceive benefits to themselves and/or to clients, the program was more likely to be sustained. However, such benefits were not necessarily documented by formal evaluation or prior research.

Concerning aspects of the community environment surrounding the program:
- Twelve studies emphasized the key roles played by support from other organizations in the environment, for example, for in-kind resources such as expert advice in fund-raising, for political support, or to help mobilize clients to advocate for new funding.
- Nine studies emphasized the role of funding from other sources, particularly the availability of a larger number of funding sources or the transfer of support to local governmental sources. However, two studies (O'Loughlin et al., 1998; Scheirer, 1990) both found that the actual availability of new funding was not a predictor of sustainability (both used relatively rigorous multiple regression analysis) but that funding was perceived by respondents to be very important to continuation. Some studies appeared to assume that securing additional funding was nearly synonymous with sustainability and did not consider it as a separate factor.

Keeping in mind the methodological limitations of these studies noted above, there is reasonable convergence here on the importance of five factors: (a) The program itself is modifiable over time, (b) the key roles of a program champion, (c) a substantial fit with the underlying organization's mission and procedures, (d) benefits to staff members and/or clients that are readily perceived (but not necessarily documented via formal evaluation), and (e) the importance of support from other stakeholders in the community. Although alternative funding was not explicitly cited as a factor by as many studies, in many reports, new funding was assumed to be needed for sustainability, and other influences were linked to their roles in helping the program to secure new funding. Only a few of these studies were influenced by the prior work of Goodman and Steckler (1989) or Shediac-Rizkallah and Bone (1998) to develop hypotheses about

which variables were likely to influence sustainability. Nevertheless, the influences recorded as positive in Table 4 were those supported by the evidence independently collected for each study.

In addition to the factors suggested by the framework of Shediac-Rizkallah and Bone (1998), I attempted to look at the extent of time that had elapsed after funding until the data were collected about sustainability. Does sustainability deteriorate over time? This question could not be fully addressed in this review, because the time when initial funding ended was ambiguous in many of the studies. Others noted that there were varying time periods since the end of funding among the agencies they studied but did not relate this variability in elapsed time to the extent of sustainability. However, three studies found a positive relationship between time since project start-up and sustainability, whereas two others examined time and found no relationship. A positive relationship means that projects that received funding early in the initiative being studied (perhaps "early adopters") were more likely to have sustained their projects than those funded later. These early adopters might have been organizations with more interest in the program, stronger champions, stronger fit of the program with the underlying mission, or higher status on other underlying influences on sustainability than were projects funded later. There may also be some response bias in this finding: Sites that had earlier funding among those in a study but did not continue that project after funding ended may be less contactable for a survey than are sites that sustained the program. This is especially likely to occur if there is turnover of the initial program director or champion, and the implementing organization does not continue the training and support after the initial implementers leave. (The studies reporting the positive relationship with time since start-up did not break out their response rates by time since startup to enable examining this potential nonresponse bias.)

A few additional influences were noted by one or more studies. External technical assistance from program developers or funders was viewed as helpful by three studies. Two studies supported the use of early planning for sustainability. At least one cited each of the following as helpful to the sustainability processes: continuous staff discussion about how to implement and sustain the program, having a paid coordinator to staff the program, and multiple strategies used for obtaining funds. Other negative influences mentioned were staff turnover, medical practice ownership changes, and a low level of implementation early in the project.

Discussion and Implications for Several Audiences

The studies reviewed found a consistent pattern of evidence that at least some type of sustainability is frequently possible, although their methodological limitations were numerous. However, most studies reported that continuation is not guaranteed: Informants providing the data for these studies frequently cited the challenges they had faced in trying to sustain their projects, particularly in securing funding or other resources needed for continuation. Furthermore, the studies' discussions make clear that sustainability is a continuously evolving process in the life cycle of a project, which begins before the end of initial funding and is not always ensured, even with resources that extend for 1 or 2 years after the end of initial funding.

In many of these studies, sustainability was found to be influenced by a coherent set of factors primarily related to its organizational context and the people behind it, both within and outside the implementing agency. Organizational factors are shown in the importance of the fit with an embedding organization's mission and procedures, as well as the extent to which the program can be modified to adapt to the organization. The importance of leadership and staffing was shown by the fact that more than three fourths of the studies that examined influences on sustainability cited the importance of a champion, someone who is strategically placed within an organization to advocate effectively for the program. A belief in the benefits provided by the program by both staff members and external stakeholders was cited more often than a positive

influence from actual evaluation findings. Equal numbers of studies found that other organizations and community supporters played a key role in helping secure resources and mobilizing support for continuation.

These studies examined a wide range of program types, including community coalitions, community-based prevention programs, training programs, interventions within medical practices, and the use of volunteers to provide community services. The extent of sustainability does not appear to be related to the type of program implemented among these diverse health-related studies. Nevertheless, the question of whether sustainability is easier for some types of programs certainly deserves further attention in future research. Because this review was limited to empirical studies that had focused on health-related programs, the generalizability of its findings to other content areas is unknown. It would be desirable to conduct similar reviews of sustainability studies in different content areas that use short-term funding for demonstration or "seed money" projects, such as education, criminal justice, or social services. One could hypothesize that the extent of sustainability in other sectors is likely to be related to the presence or absence of the organizational and individual supports for it and/or the extent to which the implementing organizations have characteristics similar to the organizations in the health studies rather than differing by the content area of the programs. This hypothesis remains to be tested.

Long-term outcomes other than project sustainability within the funded site might also occur from demonstration programs; other potential outcomes deserve more evaluative attention. For example, this review did not include evaluations of efforts toward long-term change in the ongoing activities within health delivery organizations, often termed quality improvement projects. Other types of social change that might show positive outcomes from demonstration programs include increasing the capacity of the funded organization to implement other new projects, transferring or disseminating the program activities to other organizations, or enhancing the capacity of an entire community to address its social needs. Few of the studies reviewed here addressed any of these alternative outcomes of the programs they were studying.

Operationalizing Sustainability

This discussion of the broad array of potential outcomes for the demonstration projects that were the focus of these studies raises fundamental issues concerning the definition and measurement of sustainability. This review focused on three definitional measures of sustainability: (a) continuing to deliver beneficial services (outcomes) to clients (an individual level of analysis); (b) maintaining the program and/or its activities in an identifiable form, even if modified (an organizational level of analysis); and (c) maintaining the capacity of a community to deliver program activities after an initial program created a community coalition or similar structure (community level of analysis). Other definitions or components of sustainability are also possible, which might focus on other long-term outcomes listed above. Only a few of the studies reviewed here discussed in any detail their own operational definitions of sustainability, a notable exception being the careful work by Goodman and his colleagues on the institutionalization of a program (Goodman & Steckler, 1989; Goodman et al., 1993; Steckler & Goodman, 1989). Most other studies did not address more detailed measurement issues about what level of success or what proportion of a project's original activities, at what level of intensity, need to be present before considering a site as "sustained." Furthermore, if the adaptation of components is viewed as desirable at the local level, at what point is it no longer the "same" program? Clearly, the findings of this review might have been very different if I had restricted the review to any one of these definitions for measuring sustainability or had included only articles with strong methodologies.

Ideally, a logic model or careful process evaluation would be available to define what program activity components are essential to achieve a given outcome. In this case, the maintenance of these components would constitute a good operational definition of program-level sustainability. However, in many instances, the program components have not been carefully defined or even fully implemented before sustainability is assessed, so this guidance on operationalizing sustainability would be difficult to implement. Furthermore, this definition would complicate multiple-site evaluation research about the sustainability of projects with different local components, (e.g., those studied by Stevens & Peikes, 2004, and O'Loughlin et al., 1998). Such inquiries would need to first identify the program components in each site rather than asking only generic questions across many sites about whether each project had continued. For these reasons, documenting the continued extent of beneficial services or outcomes for clients may be the most rigorous definition of sustainability, but it too may be unfeasible unless the local project has collected and continues to collect this type of outcome data.

Many of these issues need further careful evaluative research to sort out. As indicated in the Findings section about the methodologies used by these researchers, future research needs to be explicit about operational definitions of concepts being measured and to report fully the methods used in each study for both the outcome variable, sustainability, and measures of potential influencing factors. Evaluators should build on the work done previously about sustainability, such as the conceptual framework of Shediac-Rizkallah and Bone (1998), Yin's (1979, 1981) routinization dimensions, the extensions of Yin's work by Goodman and others, as well as this review. Evaluation researchers conducting studies of sustainability need to have some background in the literature on organizational behavior to understand the organizational influences that operate across the life cycle of project start-up, implementation, then sustainability and other potential longer term outcomes.

Funding Research on Sustainability

Many issues concerning the scope and rigor of future evaluations of project sustainability depend on the adequacy of financial support for these studies. At the least, funders should continue to provide support for evaluation to go beyond the usual focus on ascertaining effectiveness to grapple with these longer term issues of sustainability. Several studies reviewed here stated they were "exploratory" or had limited funding, primarily to find out whether anything was maintained of programs funded some years earlier and, if so, what factors seemed to influence or improve sustainability. In essence, many studies aimed to advise program funders on "how to do it better," rather than to contribute to a research-based understanding of sustainability. Immediate needs of funding agencies for some evidence about how to foster sustainability may conflict with the likelihood that the research will include rigorous methodology, which usually costs more. However, given the findings reported here that the sustainability of such projects often is possible and that the prior studies suggest a set of factors that are likely to influence these processes, it would be desirable for future sustainability studies to build on and go beyond the results reported here rather than to repeat the same type of exploratory studies.

Some methodological caveats and limitations of this review are worth noting. First, most of the studies used mail or telephone surveys to collect data. Although the respondents to these surveys were likely to report accurately on the existence of a continued project, they may have some limitations in their reporting on the continuation of all its components and activities, particularly if no list of initial project components was available to the researchers. The factors survey respondents reported as influential on sustainability may reflect their assumptions and "hunches" about contributing factors, rather than the findings from independently measured

variables associated with a measured extent of sustainability. Second, few of these studies used on-site observations to measure sustainability. One set of case studies with a careful definition of institutionalization (Goodman & Steckler, 1989; Steckler & Goodman, 1989) rated only 1 of its 10 sites as having a "high" level of institutionalization, with 3 others rated "moderate" and the remaining 6 as "low" institutionalization. This was a lower level of sustainability than reported by most other studies with less careful methodology; however, these sites were selected for case studies from sites expected to show a range of institutionalization progress.[8] Third, only 2 of these studies measured the continuation of benefits for new clients: One (Shediac-Rizkallah et al., 1997) found a greatly reduced level of mammograms during an unfunded period, and the other (Stange et al., 2003) reported no significant reduction in prevention services provided by medical practices by 12 months after the intervention. Thus, the continuation of the same level of services in relation to client benefits cannot be assumed, even when a high level of program activity is reported. Finally, this review of factors associated with sustainability often used judgment in coding an article's narrative discussion into the major categories shown in Table 4. Another reviewer might have started with different categories or coded the source materials differently.

Recommendations

This review has some important implications for several groups of stakeholders who are interested in enhanced sustainability: developers at the local level, external funders of these programs, and evaluators.

Developers at the local level. For local program developers (and evaluators working in a program planning stage), several recommendations can be offered to increase the likelihood of program continuation:

- Choose programs and interventions that relate strongly to your agency's mission and culture, so that support from upper management will be likely, and tasks needed to implement the program will fit within the workloads of available staff members.
- If the program components have been developed elsewhere, engage in thoughtful modifications of components to fit the new organizational context, without destroying the core components contributing to the effectiveness of the original design.
- Identify and support a program champion to take a leadership role in both initial program development and planning for sustainability.
- When designing and publicizing the program, emphasize its benefits for various groups of stakeholders, including staff members and clients, as well as its fit with the major objectives of potential external funders.
- Consider the possible advantages of "routinizing" the program into the core operations of an existing agency rather than continuing it as a "stand-alone" program. Use Yin's (1979, 1981) list of factors contributing to routinization (see Table 1) as a checklist of organizational aspects to work on.

External funding agencies. Funding agencies and their evaluators with interests in sustainability (whether a foundation, a governmental agency, or another initial funding source) may be able to influence this long-term outcome by doing the following:

- Funding projects in existing agencies with some capacity to support them and to provide the expertise needed for carrying out the many facets of sustainability. Or if a new project involves creating a new organization, allow time and resources for building the capacity of that new entity.

- Funding smaller scale projects that also have some local resources involved in them, to build owner-ship of the project among local stakeholders.
- Identifying, working with, and strengthening local champions to provide the leadership and knowl-edge of local organizations needed to keep a project going over time.
- Recognizing that programs do not remain static at the local level but are adapted to fit local priori-ties and capacities. The widely used model of "develop, validate by evaluation, then disseminate" to yield effective programming may not be useful for improving practice if new users modify the pro-gram components substantially.
- Allowing enough time and resources in the initial project for it to fully develop its capacity and fully implement the intended program activities.
- Encouraging planning for sustainability early in a project's life cycle, particularly if the project is not the initial research testing the effectiveness of a new program idea. If the project is developing and testing a new program idea, it should include rigorous evaluation and enough time after the results of the evaluation are known to plan for the sustainability of program interventions shown to be effective.
- Evaluation funders should support studies of sustainability even after the initial program funding is terminated, including data collected to assess the continuation of benefits for intended clients. Sim-ply inquiring whether the program continues to exist does not address whether it continues to pro-vide the same scope or types of activities or the same extent of benefits for clients.

Evaluators and researchers. Finally, the methods and findings of this article suggest some implications for evaluators and other researchers investigating sustainability:

- The topic of sustainability requires its own evaluation, apart from and usually after, an evaluation has shown positive results for the program intervention itself. This is part of the life cycle of pro-gram evaluation associated with the different stages of program development and delivery.
- Researchers publishing articles about sustainability should be sure to fully document their methods for data collection and analysis, so that the likely validity of their findings can be assessed in rela-tion to the methods used in each study.
- Methods for studying sustainability call for further development of standard ways of operationali-zing sustainability and the factors influencing it, so that results of studies can be compared and accumulated by review articles such as this one.
- Studies of sustainability should make greater use of methods to reduce potential bias in findings, such as contacting multiple respondents to obtain convergence in reports of organizational pro-cesses and using multiple sources of evidence to triangulate findings.
- Future studies of potential influences on sustainability should start from a broad conceptualization of these factors, for example, drawing explicitly from the frameworks of Shediac-Rizkallah and Bone (1998), Yin (1979, 1981) and Goodman and his colleagues. Limiting future evaluative research to the five influential factors found in this review would be premature, because few of these studies started with a fully operationalized conceptual model of potential factors; few tested these associations statistically.
- The timing of evaluation findings is often too late in the project life cycle to be useful in promoting sustainability; evaluation could be more useful if it included continuously accumulated data about major outcomes, so that interim data about outcomes would be available before the initial funding ends.

This article has examined the available strands of empirical literature about the sustainability of health programs to summarize what has been learned to date about this complex topic. Using a life cycle perspective grounds the study of sustainability in the context of the prior processes surrounding the program's development and implementation. Drawing on the framework sug-gested by Shediac-Rizkallah and Bone (1998), I found that only a few studies had measured the extent to which beneficial services or outcomes for clients were sustained. Most of the studies

focused only on the sustainability of program activities and presented a reasonably positive picture: 14 of the 17 studies (for which the percentage of sustainability was presented or could be calculated) found that 60% or more of their sites sustained at least some of their activities. Studies that had examined community coalitions also reported that most coalitions continued to exist after external funded ended. However, these findings might have been quite different if the studies reviewed had used a different definition and measurement of the key outcome variable of sustainability or had used more rigorous methods of data collection and analysis. The studies also showed substantial convergence on major influences that were related to increased program maintenance, including programs with modifiable components, an active program champion, a good fit with the implementing organization's mission and procedures, benefits from the program that are visible to staff members and other participants, and support from other community agencies and members. Many of these studies also suggested that these influencing factors are important factors in generating continued financial support. In sum, this body of evidence supports the tentative conclusion that local project sustainability is possible, under the right conditions generated by the convergence of internal and external supporting factors.

Notes

1. See further discussion of the units of analysis and data definitions used in these studies in the section titled "Conceptual Frameworks."

2. Both of these frameworks were published after the review and coding were completed for this article, but the variables they included in their conceptualizations do not differ in major ways from Shediac-Rizkallah and Bone's (1998) framework.

3. See further discussion and examples in the section titled "Extent and Types of Sustainability."

4. One of these studies (Wallin, Bostrom, Wikblad, & Ewald, 2003) appropriately contacted only one person per intervention, because the intervention was a training program for individuals whose long-term sustained use was being assessed.

5. See the section titled "Extent and Types of Sustainability" on funding sources. Some interventions were studied that did not have a single source of external funding (e.g., the school-based Fluoride Mouth Rinse Program described in Scheirer, 1990), or multiple interventions were studied that had funding from diverse sources (Evashwick & Ory, 2003).

6. For the most part, these studies did not report how much variability there was across sites for the predictor variables assessed. As pointed out by an astute reviewer, a factor that was relatively homogeneous across the sites in a specific study would not be supported as a predictor variable, or influence, on the sustainability outcome.

7. Only 5 studies reported 80% or more of their sites sustained; see Table 3 for specific percentages for each study or to calculate the extent of sustainability at different cutoff points.

8. This study was not included in the tabulation of overall sustainability achieved, because its sites were selected on the basis of this outcome variable.

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DIRECTORY OF WEBSITE RESOURCES

Capacity Building

The Hauser Center for Nonprofit Organizations, Kennedy School of Government, Harvard University
http://ksghauser.harvard.edu
Research and articles on capacity building.

The Brookings Review
Directions in National and Community Service:
http://brookings.edu/dybdocroot/press/review/rev_des.htm
Background on building capacity through volunteer service.

Center on Nonprofits and Philanthropy
http://www.urban.org/content/PolicyCenters/NonprofitsandPhilanthropy/Overview.htm
Resources and research on trends in giving and trends in resource development.

SustainAbility Website
http://www.SustainAbilityOnline.com

Program Sustainability

1. Volunteer Recruitment and Development

How to Recruit and Retain Volunteers
http://nonprofit.about.com/library/weekly/aa090199.htm
Includes tips on preparing for volunteers, keeping records of volunteers and their work, helping volunteers feel comfortable at their assignment, and showing appreciation for volunteers.

Recruiting Volunteers
http://www.serviceleader.org/manage/recruit.html
This website leads directly to valuable content on volunteerism, including volunteer screening, matching, legal issues and risk management, online recruitment, and volunteer management software. Service Leaders is also the home of the Virtual Volunteering Project, with hundreds of ideas, tips, and real-life examples for any organization that wants to involve volunteers via the Internet.

USAFreedomCorps
http://www.USAFreedomCorps.gov
The new USA Freedom Corps website is "the most comprehensive network of volunteer resources and service organizations ever assembled." This White House sponsored website provides one-click access to information and resources related to such effective practices as mobilizing volunteers from both

the non-profit and corporate sectors.

Volunteer Library

http://www.sustainabilityonline.com/HTML/Volunteers/index.html
Read and download current articles aimed at assisting you in identifying and successfully working with the volunteers and stakeholders of your program. The library also includes a series of links to additional resources, such as publications and organizations related to working with volunteers and stakeholders.

Volunteer Recruitment: Tips from the Field

http://www.txserve.org/txcvcs/resources/volrec/recruit.html
This web page outlines four specific steps to a successful recruitment process. Hosted by the Texas Commission on Volunteerism and Community Service, it was developed by Sarah Jane Rehnborg, PhD. and Betsy Clubine.

Volunteer Tools

http://www.sustainabilityonline.com/HTML/Volunteers/index.html
Download tips and worksheets to help you build better relationships with your volunteers and stakeholders. Adapt these practical resources to fit the needs of your program.

Creative Volunteer Roles

http://www.energizeinc.com/art/npcrea.html
This article by volunteerism expert Susan Ellis guides thinking regarding volunteer roles outside the box and in new directions. Several examples are offered and tips on how to apply these creative examples to your initiative.

The Points of Light Foundation

http://www.pointsoflight.org
The Points of Light Foundation has many resources for volunteer organizations including books and materials to purchase and conferences and training events you can register for online.

NSRC: Sample Forms Collection

http://nationalserviceresources.org/resources/sample_forms
See examples of forms and documents you can use for volunteer management. Includes everything from job descriptions to exit interviews. New forms are added regularly.

Retaining Volunteers/Keeping Volunteers Motivated

http://www.serviceleader.org/new/managers/2003/04/000071.php
Several links to on-line resources, from professional articles to tips from the field, are included here.

Retention and Recognition

http://www.casanet.org/program-management/volunteer-manage/retenrec.htm

This long excerpt from the book Volunteer Management, by Steve McCurley and Rick Lynch covers in detail the proactive steps you can take to motivate your volunteers and ensure that they feel valued.

Supervision
http://www.energizeinc.com/art/subj/super.html
This page includes links to articles and excerpts which offer tips on addressing problems with volunteers, maintaining open communication, and being an effective leader.

Volunteer Management Review
http://charitychannel.com/vmr.shtml
Charity Channel is an online community with over 100, 000 participants discussing every aspect of voluntary-sector issues in hundreds of forums. On this page, you can subscribe to the newsletter Volunteer Management Review or browse back issues.

Volunteer Supervision
http://www.casanet.org/program-management/volunteer-manage/index.htm
Volunteer Supervision has excellent articles on virtually every aspect of volunteer management, including recruitment, screening, retention, and supervision.

2. Partnership Building

Principles for Partnership
http://www.pfdf.org/leaderbooks/L2L/fall2000/austin.html
The Peter F. Drucker Foundation for Non-Profit Management provides many resources on leadership in the nonprofit world. This page is an article by James Austin, chair of Harvard University's Initiative on Social Enterprise. The article includes a number of tips and tools for creating stronger partnerships, and a case study to illustrate the principles in action.

Collaboration Tools
http://www.sustainabilityonline.com/HTML/Collaboration/index.html
Download tips and worksheets to help you and your partners work better together. Adapt these practical resources to fit the needs of your program. Use these tools yourself and share them with your partners.

Collaboration Library
http://www.sustainabilityonline.com/HTML/Collaboration/index.html
Read and download articles to assist you in successfully working with partners to achieve mutual goals. On a regular basis, newspapers, conventional magazines, and e_magazines are reviewed and then excerpted for access through the library. The library also includes a series of links to additional resources, such as publications and organizations related to collaboration.

3. Marketing and Promotion

American Society of Association Executives

http://www.asaenet.org

Described as the association for association executives, ASAE is dedicated to enhancing the professionalism and competency of association executives, promoting excellence in association management, and increasing the effectiveness of associations to better serve members and society.

Cone Communication

http://www.conenet.com

Cone, Inc. is a strategic marketing communications firm with a passionate commitment to the new and innovative. Cone builds leadership-brands both on and offline by creating strategic positions and campaigns for its clients. They provide strategic counseling and services in areas such as brand-centering, marketing communications, public relations, online marketing and promotions, strategic philanthropy, cause-related marketing, and community and employee relations.

Council for the Advancement and Support of Education

http://www.case.org

The Council for the Advancement and Support of Education (CASE) is an international association of education advancement officers, who include alumni administrators, fundraisers, public relations managers, publications editors, and government relations officers. The ultimate goal of advancement professionals is to enhance their institutions by bringing in support – be it in the form of money, alumni loyalty, public esteem, or new students. In turn, CASE's purpose is to help these people advance the cause of education. It does this by offering information resources and training opportunities to aid members.

Getting the Word Out: Marketing your Project or Agency in Real Time

http://www.sustainabilityonline.com/HTML/Marketing/index.html

Whether you're trying to market your project to attract new volunteers or marketing your agency's successes to potential investors, the problem's the same. How do you fit in a new set of public relations tasks into your already too full schedule? This session will focus on the steps common to the start of any marketing effort that can be incorporated readily into an ED's schedule. By starting with a campaign plan and making better use of the things you already do, this workshop will make the link between great marketing success and the future of your project.

Independent Sector

http://www.independentsector.org

Independent Sector is a national leadership forum, working to encourage philanthropy, volunteering, not-for-profit initiative and citizen action that help us better serve people and communities. Founded in 1980 and based in

Washington DC, Independent Sector is a national coalition of voluntary organizations, foundations and corporate giving programs.

Institute for International Research

http://www.iir-global.com
The Institute for International Research (IIR) is the world's largest international information company with a global network of offices in 36 countries including the United States, Canada, The United Kingdom, Germany, Asia, Australia, Latin America, and the Middle East.

The Institute for Public Relations

http://www.instituteforpr.com
Through publications, lectures, awards, symposia, professional development forums, and other programs, the Institute for Public Relations has been at the leading edge of efforts to promote and encourage academic and professional excellence. The Institute's mission is to improve the effectiveness of organizational management by advancing the knowledge and the professional practice of public relations and public affairs through research and education.

Public Service Advertising Research Center

http://www.psaresearch.com
The Public Service Advertising Research Center is an on-line information library dedicated to public service advertising, brought to you by Goodwill Communication.

Public Relations Society of America

http://www.prsa.org
The Public Relations Society of America (PRSA), headquartered in New York City, is the world's largest professional organization for public relations practitioners. The Society's almost 20,000 members represent business and industry, counseling firms, government, associations, hospitals, schools, professional services firms and nonprofit organizations.

Amherst Wilder Foundation

http://www.wilder.org
The Amherst H. Wilder Foundation is a nonprofit health and human service organization that serves the greater Saint Paul, Minnesota area. The Foundation originated in 1906 as a result of the generosity of the Amherst Holcomb Wilder family, which established the Foundation through their wills. The legacy of the Wilder family would be "to relieve, aid and assist the poor, sick, and needy people of the City of Saint Paul."

4. Increasing and Diversifying Resources

Indiana University Fund Raising School
http://www.philanthropy.iupui.edu/fundschool.htm

Explore this web site for educational opportunities in fund-raising.

Association of Fund Raising Professionals
http://www.nsfre.org
Explore the resource center and publications of this national network of fund-raising professionals.

Foundation Center
http://www.fdncenter.org
Search by types of program funded, types of support provided, region funds offered to, etc. Research foundations and grants in depth.

Fundraising Research_ Government and Private Foundations
http://www.cdpublications.com
CD Publications announces grants to be issued in the future by the government and private foundation sector.

Fundraising Research _ Staying Current
http://philanthropy.com
Chronicle of Philanthropy is billed as the newspaper for NPOs.

Resource Development Tools
http://www.sustainabilityonline.com/HTML/Resources/index.html
Download tips and worksheets to help you in your fundraising/resource gathering efforts. Adapt these practical resources to fit your own particular needs.

Resource Development Library
http://www.sustainabilityonline.com/HTML/Resources/index.html
Read and download current articles aimed at assisting you to obtain funds and resources for your program. On a regular basis, newspapers, conventional magazines, and e-magazines are reviewed and then excerpted for access through the library. It provides information on best practices on prospecting, developing relationships with backers, and proposal writing.

Ventures in Philanthropy- Revenue generation in the nonprofit sector
http://ventures.yale.edu/factsfigures.asp
Articles on trends and statistics on giving.

SustainAbility Website
http://www.SustainAbilityOnline.com

*   *   *   *   *   *   *   *   *   *   *   *   *
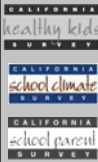
For additional information on any of the topics treated in this toolkit, visit the National Service Resources website at: http://nationalserviceresources.org. and the Sustainability website at http://www.SustainAbilityOnline.com.

Sustaining Prevention: Collaborating for Success

CALIFORNIA healthy kids SURVEY

CALIFORNIA school climate SURVEY

CALIFORNIA school parent SURVEY

CALIFORNIA school climate health & learning SURVEY SYSTEM

**Where are We Now and
Where are We Going?**

Greg Austin

SDFSC Learning Communities
Sacramento, August 4, 2010

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Director
Health & Human
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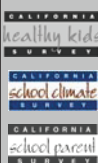
What is Cal-SCHLS?

- California School Climate, Health, and Learning Survey System (Cal-SCHLS)
    – Healthy Kids Survey (CHKS)
    – School Climate Survey for staff (CSCS)
    – School Parent Survey (CSPS)
        • new for 2010-11
    – After School Program Survey (ASPS)
- Focus on school climate in response to USDE OSDFSC priorities
- Expanded funding within CDE
    – P-16 Division
    – Division of Special Education
    – Migrant, Indian, International Education Office
    – Learning Support and Partnerships Division
        • School Mental Health & Service Learning

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CHKS/CSCS Overview

- Required every 2 years, NCLB Title IV compliance (since 2004)
- Students: grades 5, 7, 9, 11, & Continuation
  Staff: grades 4-12
- District representative sample and report
- Joint administration for comparability
    – CHKS paper; CSCS online
- Per-student fee of $.30 covers both
- Administered by 85% of districts with secondary schools = 98% of state enrollment
- 90% of survey districts do all schools
- Reports posted on websites — district, county, state

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Core Content Overview

- Learning conditions, barriers, and supports
- School connectedness & learning engagement
- Resilience/developmental supports in school & community
  - Caring, respectful relationships
  - High expectations
  - Meaningful participation and decision making
- Safety, violence, bullying, and crime
  - Weapons, gangs, gambling, hate crimes, dating violence
- Substance use
- Mental health (depression risk & suicide ideation)
- Exercise

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Core Content Overview

- Equity, diversity, and cultural sensitivity of schools
- School physical environment
- Parent involvement
- Staff collegiality and supports (CSCS)
- School policies & services to address student needs (CSCS)
- Special education services (CSCS)

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Content—Substance Use

- Lifetime and 30-day frequency
  - Including prescription drugs, cold/cough medicine
  - Age of onset
- Level of use
- Use at school
- Adverse effects & dependency indicators
- Availability
- Attitudes; perceived harm & friends disapproval
- Prevention (talk to parents; message exposure)
- SAMHSA National Outcome Measures
- New: Heavy User Index for estimating intervention needs

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New Products

- Supplementary Reports (Group Disaggregation)
  - Special Education (staff)
  - Migrant Education Program status (staff/student)
  - Race/ethnicity — CTAG (staff/student)
- Printed staff CSCS reports
- Race/ethnic disaggregation in main CHKS reports
  - Harassment, protective factors, school connectedness
- Mental Health Factsheets and Content Guidebook
  - Characteristics of youth at risk of depression and reporting suicide ideation
- *Workbook for Improving School Climate and Closing the Achievement Gap*
  - http://www.wested.org/chks/pdf/CTAGWorkbook-complete.pdf

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New Products—Kidsdata

- Partnership with Lucille Packard Foundation
- CHKS key indicators statewide added to kidsdata.org with direct access on CHKS website (CHKS Online)
  - AOD use (lifetime, 30-day, at school, use level, driving)
  - School connectedness, developmental supports ,
  - School safety, fighting, weapons possession, victimization
  - Dating violence & gang membership
  - Mental health needs (sad/hopeless, suicide),
  - Breakfast consumption,
- Selected cross-tabs (gender, race/ethnicity, school connectedness)
- Data graphing

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CALIFORNIA school parent SURVEY

- Our newest survey, anonymous
- Short (34 questions)
- Can be customized
- Online and/or paper
- Available in 26 languages to reach 99% of California parents and caregivers
- Unlimited technical assistance in planning and implementation
- Lower in cost than competitors for most districts

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CALIFORNIA *school parent* SURVEY

Cost

- A custom survey — Not covered by CDE contract like CHKS/CSCS
- Low cost, based on district size:
  $500 < 600 students
  $1000
  $1500 >3,500 students
  25 cents/form for paper
  20% discount if administer along with CHKS
- District-level reports; school reports optional ($50 each)

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CALIFORNIA *school parent* SURVEY

Content

- Aligns with student and staff for comparability
- School as welcoming/informative to parents
- Parental involvement in education of children
- Are students treated fairly, with respect, and given equal opportunities, regardless of their race or ethnicity
- Do students encounter high expectations for academic success and rigorous classes
- How much of a problem for the school are student drug use, violence, truancy, etc.

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Strategizing for a Future without T4

- Title 4 (Safe and Drug Free) funding ended
- Schools/communities no longer have local T4 funds for survey expenses
  – Student fees, photocopying, customization, special reports, etc. (not to mention staff).
- Loss of state survey infrastructure support as well as California Student Survey funds
- CHKS/CSCS no longer required except for districts with carry-over funds
  – As/more problematic than funding
  – If participation declines, so does value of survey for state coverage
    • CSS participation already declined

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Why Continue Local Survey?

- Required of TUPE grantees
- Prove need/accountability for program funding
  - Increasingly required (e.g., NOMS)
- Identify contributors to dropping out, poor achievement, health
  - Growing awareness of role of school climate and psychosocial/health barriers to learning
- Identify factors related to teacher retention, parent/community involvement.
- Data on most vulnerable populations
  - Special education, migrants, academically struggling (CTAG), substance abusers, poor mental health, foster youth.

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Why Continue the Local Survey?

- Raise public awareness and program support
  - Has improved school-community collaboration in meeting needs of youth.
- Contribute to county and state planning
- Direct costs minimal
  - For half of districts, basic fees around $130 or less. In 6th & 7th deciles, $150-$350. 10% largest districts, $1,000
- Cost effective means to collect other needed data

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Strategies for Encouraging Participation

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Compile Success Stories

CALIFORNIA
healthy kids
SURVEY

CALIFORNIA
school climate
SURVEY

CALIFORNIA
school parent
SURVEY

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- Collect and disseminate examples of positive effects surveys have had at the local, county, and state levels
  – Greater awareness of local needs, even at school-level
  – Improved school-community collaboration
  – Greater understanding of factors that contribute to poor achievement and dropping out.
  – Contributions to getting program funding
- Need examples of how made a difference, not just how as disseminated.
  – What actions occurred based on results?
  – What positive outcomes from actions?

Focus on School Climate

CALIFORNIA
healthy kids
SURVEY

CALIFORNIA
school climate
SURVEY

CALIFORNIA
school parent
SURVEY

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- Gain more support within education community by emphasizing it as tool for improving school climate and learning.
- New federal focus in place of Title IV
- State applying for ED Safe and Supportive Schools Program grant funding
  – Would require surveying 9-12 grades
  – Survey costs covered by CDE
  – Provide intervention program funding if selected.

What is School Climate?

CALIFORNIA
healthy kids
SURVEY

CALIFORNIA
school climate
SURVEY

CALIFORNIA
school parent
SURVEY

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- The conditions or quality of the learning environment that affect the subjective experiences, attitudes, behaviors, and performance of both students and staff
- Premise: Learning affected by complicated set of nested factors (e.g., health, social/emotional, developmental) that must be addressed in a holistic fashion.
- An environmental approach to AOD prevention that embeds it into a comprehensive effort to improve school connectedness, a major protective factor, and student well-being

CARS

SDFSC Learning Community 2010

Safe & Drug-Free
Schools & Communities
Technical Assistance Project
California's Governor's Program

What is School Climate?

- Aims to increase achievement by promoting engagement in learning — and reducing risk behaviors and external barriers to learning.

- A means to link health/prevention and education building on the fundamentals of youth development

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**CHKS Youth Development Framework
for Engaging Learning & Well-being**

Youth Needs

School Supports
- Caring Relationships
- High Expectations
- Meaningful Participation

•Safety
•Love
•Belonging
•Respect
•Mastery
•Challenge
•Power
•Meaning

School Connectedness

Internal Assets
•Cooperation
•Empathy
•Problem-solving
•Self-efficacy
•Self-awareness
•Goals and aspirations

Improved academic, health & social outcomes

Supports in the Home Community Peer Group

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Quality Curriculum

High Performing Students

Quality Teachers & Instruction

School Climate

Ready, Able, Engaged in Learning

Health

Strong Parent/Community Ties

Safety

Caring Relationships

High Expectations

Meaningful Participation

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A School Climate Model for School Success

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Reduce Local Requirements & Costs

- Eliminate 5th-grade
- Eliminate either 9th or 11th grade.
  - 9th a good baseline for program planning
    - Before dropout. Often lower well-being & supports than 11th. But doesn't capture level of heavy AOD use as well as 11th.
    - Better to do survey after January (mid-yr & after winter holiday)
- Create online CHKS (Core only, 9/10)
- Major cost still staff labor and materials (photocopying surveys, instructions etc.)

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Expand State Agency Support

- Require of other CDE state programs for funding and accountability (monitoring and reporting)
  - Migrant education programs
  - Schools in Program Improvement
- Require in state health-related proposals and programs.
  - Assesses environmental factors that are linked to positive health outcomes.
- End separate California Student Survey and TCS TUPE Evaluation Survey and rely on CHKS.

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State Legislative Mandate/Funding

- Reliance on data is widespread
  - Meets multiple needs at the local, county, & state levels among education, community, health, and criminal justice agencies.
  - Links health and education
- Many benefits at the local level
- Ensure representative data at county and state level for planning and resource allocation.

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Obtain Local Fee Coverage

- Annual cost of covering basic fees for all schools (funded mandate):
  - $158,000 total (year); $80,000 for 1 MS and 1 HS grade
- Total cost to replace loss of Title IV for local fees and state infrastructure: $260,000 year

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Other Sources of Financial Support

- Community and county agencies that rely on survey results to help cover
  - E.g., United Way, hospitals
- Local Prop 63 committees.
  - Emphasize many mental health questions on survey
- SAMHSA funding
- Include in all proposals
- Your suggestions?

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Three Levels of Prevention: U.S. Department of Education

Federal Education Priorities and Creating Safe Schools **Kevin Jennings** *Assistant*
Deputy Secretary

Preventing Violent and Destructive Behavior in Schools:
Integrated Systems of Intervention

Specialized Individual Interventions
•Individual Student System

Specialized Group Interventions
•At-Risk System

Universal Interventions
•School Wide System
•Classroom System

Tertiary Prevention

Secondary Prevention

Primary Prevention

Students with Chronic / Intense Problem Behavior
(1-7%)

Students At-Risk for Problem Behavior
(5-15%)

Students without Serious Behavior Problems
(80-90%)

All Students in School

Adapted from Walker, H.M, Horner, R.H., Sugai, G.H., bullies, M., Sprague, J.R., Bricker, D., & Kaufman, M.J. (1996). Integrated approaches to preventing antisocial behavior patterns among school-age children and youth. Journal of Emotional and Behavioral Disorders, 4, 193-256. Found in *Setting the Stage for Strong Standards: Elements of a Safe and Orderly School* by AFT.

What Might a Fully Functioning Enabling or Learning Supports Component Look Like at a School?

The following is adapted from a description developed for use by Hawaii's *Comprehensive Student Support System* (CSSS). CSSS is designed to ensure that every school develops a comprehensive, multifaceted, and integrated component to address barriers to learning and promote healthy development as primary and essential facets of school improvement.

A school with an enabling or learning supports component integrates the component as a primary and essential facet of school improvement. The aim is to ensure the school develops a comprehensive, multifaceted, and cohesive approach to address barriers to learning and promote healthy development. Given limited resources, such a component is established by deploying, redeploying, and weaving all existing learning support resources together.

The school has redesigned its infrastructure to establish an administrative leader who guides the component's development and is accountable for daily implementation, monitoring, and problem solving. There is a team (e.g., a Learning Supports Resource Team) focused on ensuring that all relevant resources are woven together to install a comprehensive, multifaceted, and integrated continuum of interventions over a period of years. The team maps and analyzes available resources, sets priorities, and organizes work groups to plan program development. As illustrated in Figure 1, the goal is to establish effective

- systems for promoting healthy development and preventing problems
- systems for responding to problems as soon after onset as is feasible
- systems for providing specialized assistance and care

And the work involves creating the continuum in keeping with the content or "curriculum" framework the school has adopted for its enabling or learning supports component (e.g., see the six areas illustrated in Figure 2).

While the focus of the team is on resource use and program development, it also ensures that effective mechanisms are in operation for responding rapidly when specific students are identified as having mild to moderate learning, behavior, and emotional problems. For most students, the problems are resolved through relatively straightforward situational and program changes and problem solving strategies. Based on analyses of their response to such interventions, additional assistance *in the classroo*m is provided those for whom these first methods are insufficient. Those whose problems persist are referred for additional and sometimes specialized assistance. Before such interventions are set in motion, in depth analyses are made of the reasons for their problems in order to ensure appropriate assistance is planned. All special interventions are carefully monitored and coordinated. Through a sequential strategy that begins with the least intervention needed and that gauges students' responses to intervention at every stage, there is a significant reduction in the number requiring intensive help and referral for specialized assistance.

Because there is an emphasis on programs and activities that create a school-wide culture of caring and nurturing, students, families, staff, and the community feel the school is a welcoming and supportive place, accommodating of diversity, and committed to promoting equal opportunities for all students to succeed at school. When problems arise, they are responded to positively, quickly, and effectively. Morale is high.

(cont.)

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The following should be understood as examples of the types of interventions that might be used with any student who experiences barriers to learning. Remember the point is to ensure a full continuum is available at schools so that least intervention needed strategies are implemented and students' responses to intervention can be used to gauge whether more intensive help and referrals for specialized assistance are required. When such a sequential approach is followed, schools can expect a significant reduction in the flow of referrals for specialized assistance.

Example 1

Focusing on helping the teacher with student re-engagement, rather than overemphasing discipline and referral for services

Matt, a third grader, has not been doing well at school. He often is in trouble on the school playground before school and during lunch. Before the Learning Supports Component was established, his teacher constantly had to discipline him and send him to the principal's office. He had been referred to the "Student Success Team" but just was one of a long list in line to be reviewed. Now, the focus is on how to enhance what goes on in the classroom and on school-wide changes that minimize negative encounters; this minimizes the need for classroom management, discipline, and referral out for expensive special services.

The focus on enhancing teacher capacity to re-engage students in daily learning activities is helping Matt's teacher learn more about matching his individual interests and skills and how to design the instructional day to provide additional supports from peers and community volunteers. Rather than seeing the solution in terms of discipline, she learns how to understand what is motivating Matt's problem and is able to provide more a personalized approach to instruction and extra in-classroom support that will re-engage Matt in learning. Over time, all student support staff (all professional staff who are not involved in classroom instruction) will be trained to go into the classroom to help the teacher learn and implement new approaches designed not just for Matt, but for all students who are not well-engaged in classroom learning.

At the same time, the focus on enhancing support for transition times (such as before school and lunch) increases the recreational and enrichment opportunities available for all students so that they have positive options for interaction. Staff involved in playground supervision are specifically asked to work with Matt to help him engage in an activity that interests him (e.g., a sport's tournament, an extramural club activity). They will monitor his involvement to ensure he is truly engaged, and they, along with one of the student support staff (e.g., school psychologist, counselor, social worker, nurse) will use the opportunity to help him and other students learn any interpersonal skills needed to interact well with peers.

Newcomers: One Example of Support for Transitions and Home Involvement

To increase family involvement in schooling, special attention is placed on enhancing welcoming and social support strategies for new students and families. Student support staff work with office staff to develop welcoming programs and establish social support networks (e.g., peer buddy systems for students; parent-parent connections). As a result, newcomers (and all others) are greeted promptly and with an inviting attitude when they come into the school. Those without correct enrollment records are helped to access what they need. Parents are connected with another parent who helps them learn about school and neighborhood resources. Upon entering the new classroom, teachers connect the newcomer with a trained peer buddy who will stick with the newcomer for a few weeks while they learn the ropes.

Support staff work with each teacher to identify any student who hasn't made a good transition. Together they will determine why and work with the family to turn things around.

Crisis prevention

To reduce the number of crises, student support staff analyze what is preventable (usually related to human relations problems) and then design a range of school-wide prevention approaches. Among these are strategies for involving all school personnel (credentialed and classified) in activities that promote positive interactions and natural opportunities for learning prosocial behavior and mutual respect.

Fewer Referrals, Better Response

As the in-classroom and school-wide approaches emerge, the need for out-of-classroom referrals declines. This allows for rapid and early response when a student is having problems, and it enables student support staff to work more effectively in linking students up with community services when necessary.

Example 2

Here's what a family might experience when their children have a problem:

Clara, a third grader, finds reading difficult. Her teacher asks one of the many community volunteers to work with Clara to improve her skills, motivation, and confidence. Clara and the volunteer, a local college student, go to the school library where she is encouraged to choose books on subjects that interest her, and they read together. Clara also writes stories on topics she likes. To further improve her skills, her family is encouraged to have her read the stories to them at home.

As Clara's skills improve, she also begins reading to her younger sister, Emma. Emma needs help in getting ready for kindergarten. She is enrolled in Head Start. Her family, including her grandmother who lives with them, comes to parent meetings to learn ways to enrich Emma's readiness skills.

When the family's oldest child, Tommy, got into trouble for fighting at school, his behavior was reviewed by a student support staff member and the youngster's teacher who then met with the family and Tommy to explore the causes of his behavior problems and planned some solutions. At subsequent meetings, they reviewed the plan's effectiveness. One of the strategies called for Tommy becoming a "Peer Buddy" to help provide social support for new students. When the next new family enrolled, Tommy spent several days showing the new student around the school, and they both got involved in some extracurricular activities. Tommy's behavior problems quickly turned around, and he soon was able to assume a leadership role during various school events.

In the middle of the year, the grandmother got sick and went to the hospital. Support staff at each of the children's schools were sensitive to the disruption in the home. When Tommy and Clara regressed a bit, they arranged for some extra support and explored ways to assist the family's efforts to cope. The work with the family and the two schools that were involved was coordinated through a "care monitoring" mechanism developed by a multisite council that focuses regularly on common concerns of all schools in the neighborhood.

Figure 1. Interconnected Systems for Meeting the Needs of All Children

- Providing a *Continuum of School-community Programs & Services*

- Ensuring use of the *Least Intervention Needed*

School **Resources**
(facilities, stakeholders,
programs, services)

Examples:

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

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

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

Community **Resources**
(facilities, stakeholders,
programs, services)

Examples:

- Public health & safety
  programs
- Prenatal care
- Immunizations
- Pre-school programs
- Recreation & enrichment
- Child abuse education

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

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

Systems for Promoting Healthy Development & Preventing Problems
primary prevention – includes universal interventions
(low end need/low cost per individual programs)

Systems of Early Intervention
early-after-onset – includes selective & indicated interventions
(moderate need, moderate cost per individual)

Systems of Care
treatment/indicated interventions for severe and chronic problems
(High end need/high cost per individual programs)

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

_____

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

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Figure 2. An Enabling Component to Address Barriers to Learning
& Enhance Healthy Development at a School Site

Range of Learners
(categorized in terms of their
response to academic instruction
at any given point in time)

I = Motivationally
ready & able

No Barriers

II = Not very
motivated/
lacking
prerequisite
knowledge
& skills/
different
learning rates
& styles/
minor
vulnerabilities

III = Avoidant/
very deficient
in current
capabilities/
has a disability/
major health
problems

Barriers to Learning

Instructional Component

(a) Classroom Teaching
+
(b) Enrichment Activity

Desired Outcomes

Enabling or Learning Supports Component

Component to Enable Learning:
*A Comprehensive, Multifaceted Approach
for Addressing Barriers to Learning*

Such an approach weaves six clusters of enabling
activity (e.g., a learning supports component curriculum)
into the fabric of the school to address barriers to learning
and promote healthy development for *all* students.

Classroom-Based
Approaches to
Enable Learning

Crisis/
Emergency
Assistance &
Prevention

Support for
Transitions

Infrastructure
>leadership
>resource
coordination &
enhancement

Student
& Family
Assistance

Community
Outreach/
Volunteers

Home Involvement
in Schooling

Emergent impact = Enhanced school climate/culture/sense of community
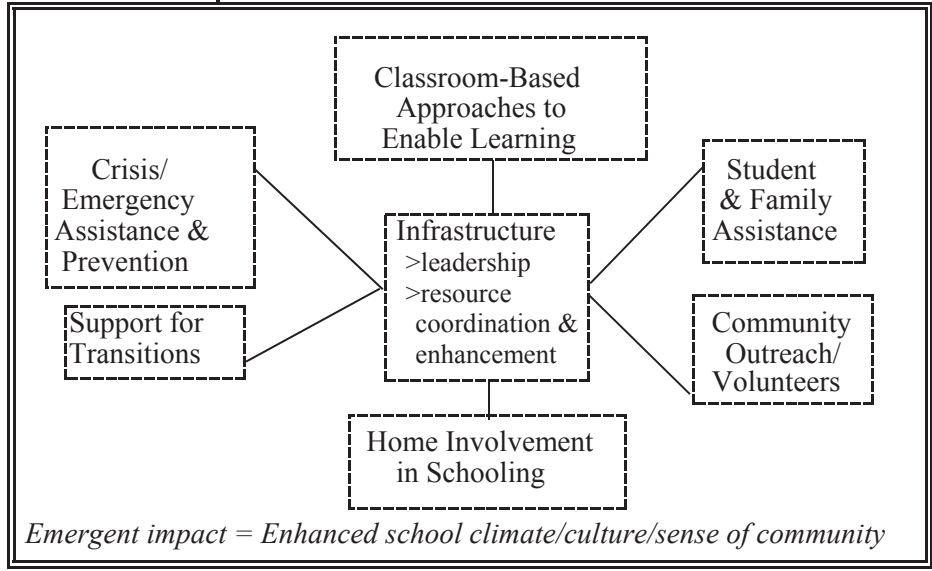
About the Center for Mental Health in Schools at UCLA

UCLA

Operating under the auspices of the School Mental Health Project at UCLA, the national Center for Mental Health in Schools was established in 1995. The Center is one of two national centers funded in part by the Office of Adolescent Health, Maternal and Child Health Bureau (Title V, Social Security Act), Health Resources and Services Administration (Project #U93 MC 00175) with co-funding from the Center for Mental Health Services, Substance Abuse and Mental Health Services Administration. Both are agencies of the U.S. Department of Health and Human Services.*

Our mission and aims are to improve outcomes for young people by enhancing how schools address learning, behavior, and emotional problems and promote healthy development.

Below are a few opportunities the Center offers to facilitate networking and information sharing. Descriptions of each are available on the website.

Indicate with a checkmark below any or all that fit your interests:

_____ (1) Send me the free monthly electronic news (*ENEWS*) and the quarterly topical newsletter (*Addressing Barriers to Learning*)

_____ (2) Add me to the *Practitioner Listserv*

_____ (3) Contact me about joining the *Consultation Cadre*

_____ (4) Add me to the *Policy Leadership Cadre for Mental Health in Schools*

_____ (5) *Coalition for Cohesive Policy in Addressing Barriers to Development and Learning*

I am interested in being part of my state's initiative for *New Directions for Student Support?*
Yes __ No__

Below are some people the Center should contact to see if they are interested:
Name   Contact Info

Your Name _____   Title _____
Agency _____
Address _____
City _____   State _____   Zip _____
Phone (____)_____   Fax (____)_____   E-Mail _____

Thanks for completing this form. Return it by FAX to (310) 206-8716 *or* in a separate envelope.

*Center co-directors are Howard Adelman and Linda Taylor; the Center coordinator is Perry Nelson. For an overview of resources available from the Center scan the website at http://smhp.psych.ucla.edu or contact us at Dept. of Psychology, UCLA, Box 951563, Los Angeles, CA 90095-1563; email: smhp@ucla.edu; ph: (310) 825-3634 or Toll Free (866) 846-4843.

U.S. Department of Health and Human Services
HRSA
Health Resources and Services Administration
Maternal and Child Health Bureau

CMHS
Center for Mental Health Services
SAMHSA
Substance Abuse & Mental Health Services Administration

A FRAMEWORK FOR CATEGORIZING INTERVENTIONS AT SCHOOLS AND MAPPING THE SCIENCE-BASE

I. *School-Wide Culture/Climate*

II. *Classroom-Based*

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

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

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

IV. *Pull-Out for Individual Intervention*

Special assistance/treatment

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

Notes:

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

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

National School Climate Standards

Benchmarks to promote effective teaching, learning and comprehensive school improvement

National School Climate Council

INTRODUCTION

There is growing appreciation that school climate—the quality and character of school life[1]—fosters children's development, learning and achievement. School climate is based on the patterns of people's experiences of school life; it reflects the norms, goals, values, interpersonal relationships, teaching, learning and leadership practices, and organizational structures that comprise school life. The increased attention to school climate reflects both the concern for improving schools and the need for preparing students to address the myriad of challenges they will face in the 21st century.

A growing body of empirical research shows that a sustainable, positive school climate reduces dropouts and fosters youth development and academic achievement, as well as the knowledge, skills, and dispositions necessary for students to be responsible and productive members of society[2]. All learners want and need to be safe and happy: to be supported, cared for, valued, appropriately challenged and engaged in ways that touch our hearts as well as our minds. Empirical research has also shown that when school members feel safe, valued, cared for, engaged and respected, learning measurably increases, and staff satisfaction and retention are enhanced.

The National School Climate Council stresses that a sustainable, positive school climate is one that fosters youth development and learning necessary for a productive, contributing and satisfying life in a democratic society. Such a climate includes:
• Norms, values, and expectations that support people feeling socially, emotionally and physically safe;

• Members of the school community who are engaged and respected;
• Students, families and educators that work together to develop, and contribute to a shared school vision;
• Educators who model and nurture an attitude that emphasizes the benefits and satisfaction that can be gained from learning; and,
• Members of the school community who contribute to the operations of the school and the care of its physical environment.

These factors matter and show the importance of school climate. Practices are designed to promote a positive climate that fosters the environment which ensures all students have an equal opportunity to succeed and become socially conscious and ethical members of society. Furthermore, such practices play a critical role in the graduation of young people who will go on to lead satisfying lives, care about the common good, engage in the democratic process, possess the skills and abilities to work with others in the workplace and in their communities, and who are productive members of society.

Given that all efforts to improve schools benefit from being based on a well developed set of standards and indicators, leaders from across the country have collaborated on the development of the following *National School Climate Standards*[3].

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[1]This definition of school climate was consensually developed by members of the National School Climate Council (2007). The terms "school climate", "school culture" and "learning environment" have been used in overlapping but sometimes, quite different ways in the educational literature. Here, we use these terms interchangeably.

[2]For information about school climate research, see the following reports: Adelman & Taylor, 2005; Cohen, et. al. 2009; Freiberg, 1999; National School Climate Council 2007.

[3]See Appendix A for details about how these standards were developed.

ABOUT THE STANDARDS

The National School Climate Standards present a vision and framework for a positive and sustainable school climate. They complement national standards for Content, Leadership, and Professional Development and the Parent Teacher Association's National Standards for Family School Partnerships Standards.

This framework is comprised of five standards that support effective school climate improvement efforts:

1. The school community has a shared vision and plan for promoting, enhancing and sustaining a positive school climate.

2. The school community sets policies specifically promoting (a) the development and sustainability of social, emotional, ethical, civic and intellectual skills, knowledge, dispositions and engagement, and (b) a comprehensive system to address barriers to learning and teaching and reengage students who have become disengaged.

3. The school community's practices are identified, prioritized and supported to (a) promote the learning and positive social, emotional, ethical and civic development of students, (b) enhance engagement in teaching, learning, and school-wide activities; (c) address barriers to learning and teaching and re-engage those who have become disengaged; and (d) develop and sustain an appropriate operational infrastructure and capacity building mechanisms for meeting this standard.

4. The school community creates an environment where all members are welcomed, supported, and feel safe in school: socially, emotionally, intellectually and physically.

5. The school community develops meaningful and engaging practices, activities and norms that promote social and civic responsibilities and a commitment to social justice.

The *National School Climate Standards* provide a research based framework and benchmark criteria for educational leaders (School Boards, State Departments of Education, Superintendents, Principals and After School leaders) to support and assess district and school efforts to enhance and be accountable for school climate[4]. They also provide guidance for professional preparation and continuing education. Appendix C includes a glossary of terms.

As with most standards, School Climate Standards do not recommend or detail specific assessment, curricular, leadership, professional development, and related systemically informed programs, curricula, or services. Each state and/or school community must consider how best to translate these standards into practice in ways that build on past experiences, values, strengths, priorities, and contextual needs of the local school community.

The five standards presented below include sixteen indicators for supporting student learning, positive youth development and teaching. Thirty-sub indicators further delineate essentials.

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[4]See Appendix B for research related to each of the five standards.

NATIONAL SCHOOL CLIMATE STANDARDS

School Climate Standard #1
The school community has a shared vision and plan for promoting, enhancing and sustaining a positive school climate.

Indicators and sub-indicators:

1.1 School policies and practices support school, family, youth and community members working together to establish a safe and productive learning community.

    1.1.1 School, family, community and youth members agree to work on strategies to be impmented for ongoing school climate improvement.

    1.1.2 Policies and practices are regularly assessed to ensure continual refinement that enhances the quality of a safe and productive learning community.

    1.1.3 School, family and youth members collaboratively develop, publicize and model codes of conduct that support positive and sustained school climate.

1.2 Schools gather accurate and reliable data about school climate from students, school personnel and parents/guardians for continuous improvement and share it regularly with the school community.

    1.2.1 Educational leaders regularly assess and monitor policies and practices and revise as necessary to determine the effectiveness of school, family and community members working together to support student learning, teaching and positive youth development.

    1.2.2 Schools use multiple evidence-based methods of collecting data, such as surveys, observational methods and behavior reports, that recognize the range of factors that shape school climate (e.g., social norms, school connectedness, sense of safety, discipline, learning/teaching, leadership, absence rates and mobility).

    1.2.3 School, family, community and youth leaders establish procedures for using school climate findings (including disaggregated data) to establish instructional and/or school-wide improvement goals and implementation strategies that will enhance student learning and positive youth development.

    1.2.4 School climate reports are periodically provided that communicate effectively with all school community members and families about goals, benchmarks and progress.

1.3 Capacity building is developed over time to enable all school community members to meet school climate standards.

    1.3.1 Capacity building includes developing infrastructure, classroom and school-wide prevention and intervention strategies/practices, and developing policy and systemic changes that promote positive school climate.

School Climate Standard #2

The school community sets policies specifically promoting (a) the development and sustainability of social, emotional, ethical, civic and intellectual skills, knowledge and dispositions and (b) a comprehensive system to address barriers to learning and teaching and reengage students who have become disengaged.

Indicators and sub-indicators:

2.1 Policies and mission and vision statements that promote social, emotional, ethical and civic, as well as intellectual, skills and dispositions are developed and institutionalized.

   2.1.1 Policies promote curriculum content, continued monitoring and standards for social, emotional, ethical and civic learning and are fully integrated into the classroom and school in ways that align with 21st century learning and with students' prevailing cultures, circumstances and languages.

   2.1.2 Policies for instructional and assessment processes and standards are personalized in ways that model and promote mutual respect, caring and a psychological sense of community.

   2.1.3 Accountability measures and data are used and monitored that directly demonstrate the impact of efforts to promote social, emotional, ethical and civic learning.

2.2 Policies and mission and vision statements are developed and institutionalized that promote a comprehensive system to address barriers to learning and teaching and reengage students who have become disengaged.

   2.2.1 Policies promote engagement and address barriers to learning and teaching while reengaging disconnected students through an intervention framework that generates a comprehensive and cohesive system of learning supports as delineated in Standard 3.

   2.2.2 Policies ensure continuing development and sustainability of a comprehensive and cohesive system of learning supports.

   2.2.3 Accountability measures, data and monitoring are used that directly demonstrate the impact of efforts to address barriers to learning and teaching and reengaging students who have become disengaged.

2.3 Policies promote use and monitoring of natural and informal opportunities (e.g., recreational and extracurricular aspects of classroom and school life, formulation of codes of conduct and fair enforcement of rules, mentoring, and informal interactions among and with students) to ensure they support the helpful norms of learning and teaching that foster mutual respect and caring; engagement; safety and well being; civil, pro social, responsible behavior; and a psychological sense of community.

2.4 Policies ensure the operational and capacity building mechanisms (including staff and student development) related to this standard are fully integrated into a school's infrastructure and are effectively implemented and sustained.

School Climate Standard #3

The school community's practices are identified, prioritized and supported to (a) promote the learning and positive social, emotional, ethical and civic development of students, (b) enhance engagement in teaching, learning and school-wide activities; (c) address barriers to learning and teaching and reengage those who have become disengaged; and (d) develop and sustain an appropriate operational infrastructure and capacity building mechanisms for meeting this standard.

Indicators and sub-indicators:

3.1 Specific practices are designed to enhance engagement of every student through classroom-based social, emotional, ethical and civic learning and in school-wide activities.

> 3.1.1 Instructional and engaging practices focus on cognitive and behavioral learning as well as social, emotional, ethical and civic engagement.

> 3.1.2 Practices facilitate students' desire and ability to share their perceptions readily (e.g., to enter into dialogues with adults and peers at school), emphasize interests and needs, stress options and choices and a meaningful role in decision making, provide enrichment opportunities, provide a continuum of guidance and support and minimize coercive interactions.

> 3.1.3 Based on research about intrinsic motivation, practices are designed to maximize feelings of competence, self-determination and connectedness to others and to minimize threats to such feelings. Practices are designed to minimize psychological reactance by not overemphazing social control strategies and not over relying on extrinsic motivation to promote positive social, emotional, ethical and civic behavior and learning.

3.2 Teachers and school administrators design specific classroom and school-wide practices to address barriers to learning and teaching and reengage those who have become disengaged.

> 3.2.1 Practices include a full continuum of integrated systems of intervention designed to:
> • Promote healthy development and prevent negative problems;
> • Respond as early after problem onset as is feasible;
> • Provide for those whose serious, pervasive and chronic negative problems require more intensive assistance and accommodation.

> 3.2.2 Classroom and school wide interventions are designed to:
> • Enhance regular classroom strategies to enable learning (e.g., improving instruction and classroom management practices for maximum engagement and reengagement of all students and to pursue response to intervention practices for those with mild to moderate learning and behavioral problems)
> • Support transitions (e.g., assisting students and families as they negotiate
> school and grade changes and many other transitions);
> • Increase home and school connections;
> • Respond to and, where feasible, prevent crises;
> • Increase community involvement and support (e.g., outreach to develop greater community involvement and support, including enhanced use of volunteers and community resources that fill priority gaps in the system of supports);
> • Facilitate student and family access to effective services and special assistance as needed;

• Provide multiple opportunities for students to have leadership roles that enhance their commitment to school and to the development of themselves and others.

3.2.3 Classroom and schoolwide practices are designed to address barriers to learning and teaching and reengage those who have become disengaged; these practices are developed into a comprehensive and cohesive system of learning supports that weaves together school and community resources.

3.3 School leaders develop and sustain a comprehensive system of learning supports by ensuring an appropriate operational infrastructure that incorporates capacity building mechanisms.

3.3.1 The school has administrative leaders who are responsible for the development, operation and sustainability of high quality practices related to this third standard (Practices are identified, supported and prioritized that (a) enhance engagement in teaching, learning and school-wide activities; (b) address barriers to learning and teaching and reengage those who have become disengaged; and (c) develop and sustain an appropriate systemic infrastructure and capacity building mechanisms for meeting this standard.). These responsibilities are delineated in job descriptions.

3.3.2 Sufficient staff are assigned to developing and sustaining such high quality practices.

3.3.3 Leadership and staff are provided continuous professional development in order to develop and sustain practices related to this third standard.

3.3.4 An effective school family community operational infrastructure is in place for weaving school and community resources together and for ongoing planning, implementing and evaluating the comprehensive system of learning supports.

3.3.5 The operational and capacity building systems related to this third standard are fully integrated with the school's mechanisms for improving instruction, management and overall governance.

School Climate Standard #4
The school community creates an environment where all members are welcomed, supported, and feel safe in school: socially, emotionally, intellectually and physically.

Indicators and sub-indicators:

4.1 School leaders promote comprehensive and evidence-based instructional and school-wide improvement efforts designed to support students, school personnel and community members feeling welcomed, supported and safe in school: socially, emotionally, intellectually and physically.

4.2 Students, their families, school staff and community stakeholders are regularly surveyed and are asked to indicate what the school should do to further enhance a welcoming, supportive and safe environment.

4.3 School leaders monitor and evaluate the prevention and intervention strategies designed to support people feeling welcomed, supported and safe and use that data to improve relevant policies, practices, facilities, staff competencies and accountability.

School Climate Standard #5
The school community develops meaningful and engaging practices, activities and norms that promote social and civic responsibilities and a commitment to social justice.

Indicators and sub-indicators:

5.1 Students and staff model culturally responsive and ethical behavior. This reflects continuous learning that builds knowledge, awareness, skills, and the capacity to identify, understand, and respect the unique beliefs, values, customs, languages, and traditions of all members of the school community[5].

> 5.1.1 Curriculum and instructional practices promote curiosity, inquiry into and celebration of diverse beliefs, customs, languages, and traditions of all members of the school community.

> 5.1.2 Students have ongoing opportunities to provide service to others in meaningful and engaging ways in their school and in the larger community.

5.2 Relationships among and between staff and students are mutually respectful, supportive, ethical and civil.

> 5.2.1 Every student is connected to a caring and responsible adult in the school.

> 5.2.2 Social norms in the school support responsible and positive peer relationships.

> 5.2.3 Discipline procedures are aligned with the goals of supporting students in their learning and being respectful of all individuals; the goals are enhanced with authentic student-driven opportunities for reconciliation when appropriate.

5.3 Students and staff are actively engaged in celebrating milestones and accomplishments as they work to achieve meaningful school and community life.

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[5]This definition of culture competence has been adapted from the State of Ohio's Governors Cabinet Council.

APPENDIX A
HOW THESE STANDARDS WERE DEVELOPED

Acknowledgements

The National School Climate Standards are the product of the efforts of many individuals and groups.

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APPENDIX B
RESEARCH SUPPORT FOR THE NATIONAL SCHOOL CLIMATE STANDARDS

1. The school community has a shared vision and plan for promoting, enhancing and sustaining a positive school climate.

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3. The school community's practices are identified, prioritized and supported to (a) promote the learning and positive social, emotional, ethical and civic development of students, (b) enhance engagement in teaching, learning, and school-wide activities; (c) address barriers to learning and teaching and reengage those who have become disengaged; and (d) develop and sustain an appropriate operational infrastructure and capacity building mechanisms for meeting this standard.

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Collaborative for Academic, Social, and Emotional Learning (2008). *Social and Emotional Learning (SEL) and Student Benefits: Implications for the Safe Schools/Healthy Students Core Elements.* (Available on: www.casel.org)

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5. The school community develops meaningful and engaging practices, activities and norms that promote social and civic responsibilities and a commitment to social justice.

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APPENDIX C
GLOSSARY OF TERMS

Accountability refers to the notion that people (e.g., students or teachers) or an organization (e.g., a school, school district, or state department of education) should be held responsible for improving student achievement and should be rewarded or sanctioned for their success or lack of success in doing so. Accountability measures and data refer to the specific measurement systems (e.g., an academic grade or a school climate pattern) that school leaders use to make decisions about student learning and/or school improvement efforts.

Assessment is the measurement of knowledge, skills and beliefs to determine the level of student achievement in a particular content area (e.g., performance-based assessments, written exams, quizzes).

Awareness refers to how knowledgeable we are about a given topic. It does not relate to our inclination to learn or act in a given way or to what extent we are actually able or skilled to do so.

Barriers to learning refers to external and internal factors that interfere with academic and social success at school. They stem from a variety of widely recognized societal, neighborhood, familial, school, and personal conditions.

Benchmark is a description of a specific level of student achievement expected of students at particular ages, grades, developmental levels, or during a specific point in the school year.

Best Practice is a technique or methodology that has been proven to reliably lead to a desired result through research and experience.

Capacity building refers to the process of creating a school environment with appropriate policy and human resource development that will support school reform in an ongoing manner.

Coercive interactions refers to the process of educators using force or authority to make a person do something against his or her will.

Codes of conduct delineate explicit or implicit principles, values, standards, or rules of behavior that guide the decisions, procedures and systems of a school (or other organizations) in a way that (a) contributes to the welfare of its key stakeholders, and (b) respects the rights of all constituents affected by its operations.

Culturally responsive educational systems are grounded in the belief that culturally and linguistically diverse students can excel in academic endeavors. Culturally responsive pedagogy and practice facilitates and supports the achievement of all students. In culturally responsive classrooms and schools, effective teaching and learning occur in a culturally-supported, learner-centered context, whereby the strengths students bring to school are identified, nurtured and utilized to promote student achievement.

Curriculum refers to the course of study offered by a school.

Data-driven decision making is a process by which district leaders, school leaders, teachers and parents review cause and effect data to determine strengths and prioritize areas in need of improvement to inform instruction, curriculum and policy decisions to positively impact student achievement.

Disaggregated data refers to the presentation of data broken into segments of the student and/or parent-guardian and/or

school personnel populations instead of the entire student/parent-guardian-school personnel population. Typical segments, for example, might include students who are economically disadvantaged, from racial or ethnic minority groups, have disabilities, or have limited English fluency. Disaggregated data allows the school community to understand how various sub-groups within the school perceive school climate.

Dispositions refers to the tendency to act in given ways.

Engagement (disengaged and reengaged) is defined in three ways in the research literature:
- *Behavioral engagement* draws on the idea of participation; it includes involvement in academic and social or extracurricular activities and is considered crucial for achieving positive academic outcomes and preventing dropping out.
- *Emotional engagement* encompasses positive and negative reactions to teachers, classmates, academics, and school and is presumed to create ties to an institution and influence willingness to do the work.
- *Cognitive engagement* draws on the idea of investment; it incorporates thoughtfulness and willingness to exert the effort necessary to comprehend complex ideas and master difficult skills. (School Engagement: Potential of the Concept, State of the Evidence" (2004) by J. Fredricks, P. Blumenfeld & A. Paris. Review of Educational Research, 74, 59-109.)
- *Disengaged students* are those who do not manifest behavioral engagement. The source of the disconnect may be either emotional or cognitive, or both. Reengaging such students usually requires addressing intrinsic motivational needs with strategies that maximize student feelings of competence, self-determination, relatedness to significant others and minimizing threats to such feelings.

Evidence-based practices in education refers to instructional and/or school-wide improvement practices which systematic empirical research has provided evidence of statistically significant effectiveness.

Formative assessment is the process used by teachers to determine how to adjust instruction in response to student needs, and by students to adjust learning strategies. Formative assessments are used to inform and adjust instruction, and are not used to evaluate student progress for a grade.

Instructional practices refers to teaching methods that guide interaction in the classroom.

Knowledge refers to the information or understanding that a person has.

Learning community refers to a group of people who share common values and beliefs and are actively engaged in learning together from and with each other.

Learning supports are the resources, strategies and practices that provide physical, social, emotional and intellectual assistance to directly address barriers to learning and teaching and reengage disconnected students. A *comprehensive system* of learning supports provides interventions in classrooms and school-wide settings and is fully integrated with efforts to improve instruction and management at a school. In keeping with public education and public health perspectives, the system is designed to enable holistic student development while addressing negative social, behavioral, academic and emotional problems.

Mobility refers to how often families move from one school community to another within or outside of a school district.

National School Climate Council is a group of educational policy and practice leaders devoted to narrowing the socially unjust gap between social school climate research on the one hand and school climate policy, practice and teacher education on the other hand (www.schoolclimate.org/climate/council.php).

Operational infrastructure is defined as the set of mechanisms developed to carry out an organization's major functions. Examples of such mechanisms include leaders, teams and workgroups. The manner in which they are supported, developed and organized shapes their effectiveness. In education, the need to weave together the resources of school, home and community requires both horizontal and vertical operational infrastructures to interconnect related operations at school, families of schools, district, regional and state levels.

Positive, sustained school climate is one that fosters youth development and learning necessary for a productive, contributing and satisfying life in a democratic society. Such a climate includes: norms, values and expectations that support people feeling socially, emotionally, intellectually and physically safe; members of the school community who are engaged and respected; students, family members and educators who work together to develop, live and contribute to a shared school vision; and educators who model and nurture an attitude that emphasizes the benefits and satisfaction that can be gained from learning. Members of the school community contribute to the operations of the school and the care of its social, emotional, intellectual and physical environment.

Positive youth development refers to the intentional effort to support the healthy development of youth.

Professional Learning Community (PLC) is a collegial group of educators who are united in their commitment to continuous adult and student learning who work and learn collaboratively to realize a common mission, visit and review other classrooms, and participate in decision making.

Safety – physical, social, intellectual and emotional. Safety refers to being free from danger. Feeling and being safe is a fundamental and basic need. Feeling safe and being safe are not synonymous. Schools measure rates of physical violence and as a result tend to focus primarily on physical safety. Social safety refers to feeling and being safe interpersonally. Mean-spirited, bullying behaviors, exclusion and harassment undermine social safety. Emotionally safety refers to feeling sufficiently comfortable with our own internal feelings, thoughts and impulses. Feeling emotionally safe supports learners to reach their academic potentials. Intellectual safety refers to being able to take academic risks, to engage in necessary questioning and dialogue when one does not know, and to feel comfortable with being confused.

Skill refers to the ability to do something.

School climate refers to patterns of people's experiences of school life; it reflects the norms, goals, values, interpersonal relationships, teaching, learning and leadership practices, as well as the organizational structures that comprise school life.

School connectedness refers to student perceptions that adults in the school care about their learning and about them as individuals. Connectedness is measured in terms of how much/often students feel close to people at school, are happy to be at school, feel a part of the school, feel that teachers treat them fairly and feel safe at school.

Social, emotional, ethical and civic learning refers to the intentional process of promoting students' social, emotional, ethical and civic skills, knowledge and dispositions. There are two major, overlapping educational 'camps' in America today that are focused on social, emotional, ethical and civic teaching and learning: character education and social emotional learning.

Social justice refers to the idea that all people are entitled to full access to life's chances, human dignity, peace, and genuine security. Social justice exists when all members of a society lead lives committed to respectful treatment of all and nondiscrimination and non-repression of others.

Social norms are the behavioral expectations and cues within a society or group. These expectations and cues are the rules that a group uses for appropriate and inappropriate values, beliefs, attitudes and behaviors. These rules may be explicit or implicit.

Summative assessment is an assessment that is employed mainly to assess cumulative student learning at a particular point in time.

Twenty-first (21st) century learning refers to the essential skills, knowledge and dispositions that our students need to succeed as citizens and workers in the 21st century.

Reactance is an emotional reaction in direct contradiction to rules or regulations that threaten or eliminate specific behavioral freedoms. It can occur when someone is heavily pressured to accept a certain view or attitude. Reactance can cause the person to adopt or strengthen a view or attitude that is contrary to what was intended and also increases resistance to persuasion.

Reliable data refers to information that is accurate and dependable.

Vision and mission statements refers to K-12 school goal setting documents that – in theory – act as organizing anchors for all school improvement efforts. Different schools and districts define vision and mission statements in somewhat different ways. Generally, a *vision* statement is the school's clear, motivating description of the desired outcome of K-12 education. Vision statements also define the purpose of K-12 education. A mission statement delineates what the school will do to actualize the school's vision statement.

Program Changes: Transitioning, Closure, and New Beginnings

SCENARIO OPTIONS

SCENARIOS	PROGRAM COMPONENTS	CLIENTS SERVED (Who, How many)	BUDGET	FUNDING SOURCES	PARTNERS	STAFF	NOTES
Status quo							
Pared down							
Bare bones							
Dormant							
Shut down							

The Partnership Sustainability Process:
Seven Steps to Engage Partners in the Sustaining of Your Program
Judy Strother Taylor and Jerry Sherk

Step 1. Assessment

Look at our program and likely revisions that might have to be made.

- Identify the elements of the program that would remain in place if you were to keep the program operating much like it was currently function (staffing, facilities, materials, equipment, etc.).

  _____
  _____
  _____
  _____

- Identify what components would still need to be in place to operate a more frugal version of the same program (less staff, cut back on space, limited supplies, etc.).

  _____
  _____
  _____
  _____

- Look at what elements *have* to remain in order for the program to continue and which could be dropped (Basic staff compliment, screening costs).

  _____
  _____
  _____
  _____

Step 2. Budget Development

Develop three budgets:

- The first budget would list what it would take to continue your program as is, and it should later be shared with partners during one on one meetings.

- The second budget would be a cut back version of your program, and it should be shared with partners during a joint meeting.

- A drastically reduced budget, the minimum it would take to keep the doors open.

Step 3. Status Assessment

Indentify which elements are being performed/covered by the program and which are being carried out by the program's partners with no cash exchanged (in-kind). (E.g. space was being provided by the school, recreational facilities were being provided by the local recreation centers, counseling support for mentors was being provided by a local faith based organization.)

_____
_____
_____
_____
_____
_____

Step 4. Prospectus

Create the prospectus covering the history and current status of the program and the challenges it will face as federal funding ends. List the elements that are advantageous to your partners (i.e. they were using this service for their youth; it positioned them to raise funds, etc.)

Step 5. One on One Meetings with Partners

Schedule an individual meeting with each primary partner to discuss the situation and see if they have an interest in continuing the program, what functions they could absorb and what role(s) they would like in the governance of the program.

Step 6. Revise Prospectus

Revise the prospectus to incorporate each partner's new contributions and identify which functions still need to be covered.

Step 7. Full Partnership Meeting- Go - No Go Decision

Schedule and conduct a group meeting with all of the partners and key board members to review the existing options and to decide whether or not to continue the program; and, if you are going to continue, how to best structure and govern the program. The agenda should cover the program history, program accomplishments, partners' accomplishments, challenges, and the proposed structure for a continued program. Additional agenda items should include benefits of the continued program to the participants, as well as to the partners and identification of the issues still to be covered (i.e. structure of the new board, group that will host the project coordinator, etc.)

Unit 7 Section 7.3: Determining Which Efforts to Continue

Before deciding what programs, interventions or activities to continue or discontinue, it is important to have a clear picture of the work your partnership is currently engaged in as well as any future commitments and obligations.

Your partnership may want to establish criteria for deciding whether or not to continue an activity. It is important that your partnership comes up with criteria that partners agree are important and relevant. When designing and using the criteria, the following tips may be helpful:

- Do not select more than 3-5 criteria or the process may be too cumbersome.
- Choose response options that are as simple as possible while still giving meaningful information (e.g. yes/no/unknown; 1-5).
- Recognize that data may need to be gathered to inform the analysis.
- Recognize that this may be a very difficult process. The partnership may not want to admit that something hasn't "worked" or that discontinuing an activity may have negative repercussions (e.g., staff layoffs).
- Recognize that there are many factors that may influence a final decision. However, using a set of criteria to analyze your options will ensure a more informed and transparent decision.

If the partnership decides to continue an activity, it will be beneficial to consider the following questions about the justification for continuing it:

- What results have we achieved that justify continuing this effort?
- To whom is this effort important and do we have their commitment to finding resources for this effort?
- What cost effectiveness (or other financial justification) can we document for this effort?
- What resources are needed to continue this effort? What are possible sources of resources? What are strategies for future resource stability?

If the partnership determines that some or all activities will not be continued, it may be worth looking into other ways to continue them outside of the partnership. For example, by:

- Transferring the Effort to Others: The partnership might find an organization outside of the partnership to continue the activity. The disadvantage of transferring the effort this way is that it may not allow for capacity building of and ownership by the partners themselves.
- Institutionalize the Effort into a Partner Organization: The partnership supports or plans so that the activity is incorporated into existing community partner organizations or programs.
- Changing policies: Activities may be sustained through changes in rules, regulations, and laws.

If none of the potential strategies above pan out, is important to not just abandon the activity abruptly. Complete the necessary steps to close out the activity. This may include documenting what was done, completing the evaluation, writing the final report, and helping any staff or "clients" transition to other positions. Refer to read more about things to consider if the partnership itself decides not to continue.

Example 7.3.1: Potential Criteria for Determining Which Efforts to Continue

Impact

- Has evaluation found this activity to be successful?
- Has there been an improvement in the way partners work together as a result of this effort?
- Has there been, or will there soon be, a measurable improvement in community health?
- Are there other ways these improvements can be achieved?
- Does this effort helps prevent problems in the community?
- Has this activity resulted in improvements in health-promoting policy?
- Is there evidence of increased community capacity to deal with the issues involved with this activity?
- Do the potential benefits (short term and long term) justify the cost of doing the work?
- What are the potential effects of not sustaining this activity?

Resources needed

- Is this activity filling a niche that is not being filled by another group within the community?
- Are there any other efforts in the community that complement or duplicate these activities?
- Has the partnership been able to leverage additional resources (money, services, donations, etc.) through this effort?
- Is it likely that we will be able to secure additional funding or resources to support this activity?
- Is this partnership the best group to continue doing this work?
- Do we have the capacity to continue this work?
- Are there individuals in this partnership willing to carry out the work?

Broad community support

- Does the community support the effort?
- Do key decision-makers support the effort?
- Are individuals within the community able to identify specific accomplishments/ activities that we have conducted?
- What will the community reaction be to having something "taken away"?

Still a need

- Does this effort helps meet a long-term community goal?
- Is the issue(s) addressed by this effort still a community need?
- Will discontinuing this activity have a negative impact on the community and/or population served?
- Is this issue/problem worth devoting our resources to, relative to other issues/problems in the community?

Strengthening Partnerships and Collaborations

CARS

Safe & Drug-Free Schools & Communities
Technical Assistance Project
California's Governor's Program

California's
Safe and Drug-Free
Schools and Communities
Technical Assistance & Training Project
Governor's Program

Assessing and Strengthening Your Partnerships

Breakout Session With

Dustianne North MSW, Jerry Sherk, MA

SDFSC Learning Community
August 3 and 4, Sacramento, California

Stages of Collaboration

Competition .... School staff view prevention program as another pressure to their day

Initiating

Networking/ Cooperation .... Prevention program presented in classroom by prevention staff with school staff observation or assistance

Nurturing

Cooperation/ Coordination .... School staff trained in prevention program School staff implements program Continuous dialogue and support between school and prevention staff

Coalition .... Alliance built between school and prevention Staff School begins to see prevention program as integral part of school

Sustaining

Collaboration/ Partnership .... Prevention services considered part of school's LEAP, mission, or strategy plan Staff informed, aware, and supportive of services School assists in securing funds for prevention services

ACTIVITY

- Mapping Your Partnership

Who are Your Partners?

Using the worksheet attached, please draw a diagram of your partnership

- Begin with your agency near the center of the drawing

- Now draw in the school you serve and any other central and formal partners

- With whom else do you collaborate in some formal or informal capacity? Draw these out toward the periphery of the diagram

- What external stakeholders have relations with your program?

- What about youth and their families or caregivers?

Partnership Map

External community stakeholders

Collaborators and supporters

Central and formal partners

Your agency
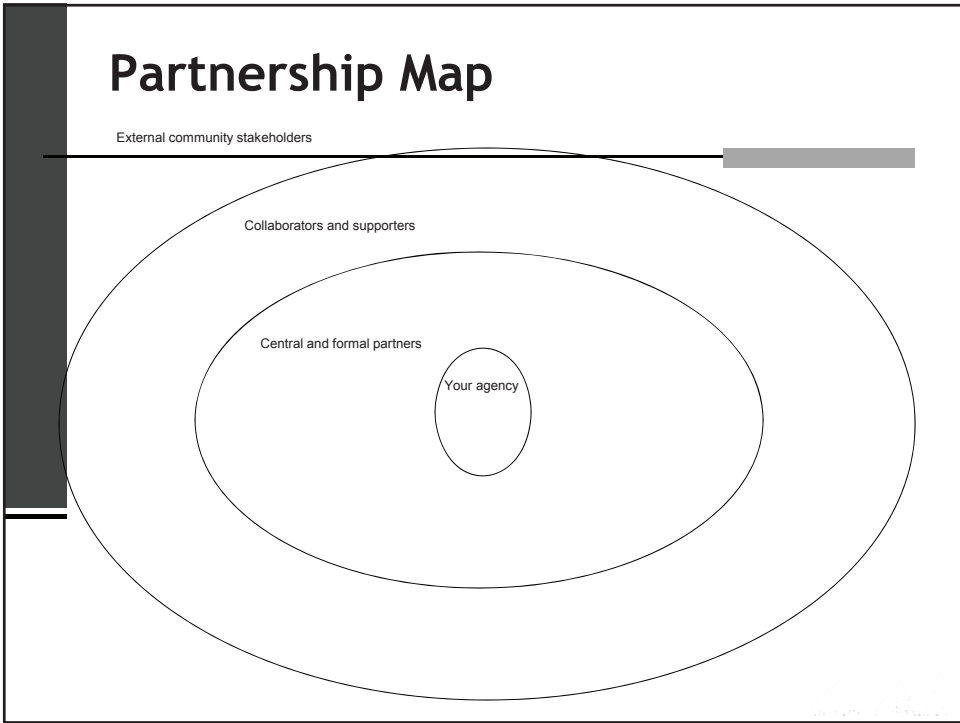
Status of Your Partnerships

Now evaluate:
the stage of evolution,
partnership strengths,
and areas for growth
for EACH of your current partnerships

CARS

SDFSC Learning Community 2010

Safe & Drug-Free
Schools & Communities
Technical Assistance Project
California's Governor's Program

Partnership Evaluation

Partner 1:
Stage of Partnership:

Strengths:

Needs Improving:

Partner 2:
Stage of Partnership:

Strengths:

Needs Improving:

Your Program

Partner 4:
Stage of Partnership:

Strengths:

Needs Improving:

Partner 3:
Stage of Partnership:

Strengths:

Needs Improving:

Partnership Evaluation

Partner 5:
Stage of Partnership:

Strengths:

Needs Improving:

Partner 6:
Stage of Partnership:

Strengths:

Needs Improving:

Your Program

Partner 8:
Stage of Partnership:

Strengths:

Needs Improving:

Partner 7:
Stage of Partnership:

Strengths:

Needs Improving:

Partnerships--
The Next 18-24 Months

Next consider your partnerships and how they might change as you transition off of the current funding.

Write down these projected changes beside each partnership in your map.

Strengthening Your Partnerships

Based on the mapping exercise, write down three things you might do to strengthen your partnerships.

1.

2.

3.

Action!

From the 3 possibilities on the previous page, write:
A) "1 Big Thing" you will do to strengthen your partnerships
B) The 1st step you will take
C) The date you will take this 1st step

A)

B)

C)

Partnerships for Youth Prevention:
References and Resources (July 26, 2010)

By Dustianne North and Siobhan Stofka

Curricula, Handouts, Handbooks

Curriculum

The Examining Community-Institutional Partnerships for Prevention Research Group. *Developing and Sustaining Community-Based Participatory Research Partnerships: A Skill-Building Curriculum.* 2006. www.cbprcurriculum.info

> **Excerpt** *As interest in community-based participatory research (CBPR) grows, there is a growing need and demand for educational resources that help build the knowledge and skills needed to develop and sustain effective CBPR partnerships. This evidence-based curriculum is intended as a tool for community-institutional partnerships that are using or planning to use a CBPR approach to improving health. It can be used by partnerships that are just forming as well as mature partnerships. For an overview of the curriculum, click here.* "

Handout

Learn and Serve America's National Service-Learning Clearinghouse. http://www.servicelearning.org/ {This website contains a volume of sources related to service learning partnerships.}

Webinar

Hough, Brenda; 2007. *Building Community Partnerships: Strengthening the library and your community by working together.* A webinar presented by Brenda Hough. Retrieved from http://www.webjunction.org/events/webinars/webinar-archives/articles/content/443167.

Handout

Rous, Hallam, Harbin, McCormick & Jung, 2006-2007. Building and Sustaining Community Partnerships To Support Transition Recommended Practices. Published in *Transition Conceptual Framework and Transition Outcomes*. Retrieved from http://www.hdi.uky.edu/Libraries/NECTC_Completed_Presentations/Building_and_Sustaining_Community_Partnerships_Handouts.sflb.ashx

Handout

Family Involvement Partnership for Learning, 1995. *How to Build Your Community Partnership for Learning*. America Goes Back to School: A Place for Families and the Community, Partners' Activity Guide. August 1995. http://www2.ed.gov/Family/BTS/pt2.html.

Toolkits

The Afterschool Alliance, 2010. Building Community Partnerships to Support Afterschool Programs. Many resources available at: http://www.afterschoolalliance.org/fundingPartnerWebToolKit.cfm:

> Arts Education Partnership, Learning Partnerships: Improving Learning in Schools with Arts Partners in the Community (PDF). Retrieved from http://www.aep-arts.org/files/partnership/LearningPartnerships.pdf
>> *This internet-based toolkit covers topic such as:*
>> - *Rationale for establishing partnerships.*
>> - *Characteristics of good partnerships.*
>> - *Resources (publications).*
>> - *Case studies of state and local partnerships, including some involving afterschool programs.*

> National Collaboration for Youth: National Youth Development Information Center, Partnerships for After-School Success: Community-Based Organization and Local Education Agency/State Education Agency Toolkits. http://www.nydic.org/nydic/toolkits/index.htm
>> *This is a two-part toolkit for establishing and sustaining collaborative partnerships. The Community-Based Organization toolkit includes research on benefits of community based organization-run afterschool, promising practices and sample forms and checklists. The Local Education Agency/State Education Agency Toolkit covers similar areas, with a special focus on how LEAs and SEAs can recruit community-based organizations to be afterschool providers.*

> Youth Policy Institute, School/Community Partnership Toolkit. http://www.ypiusa.org/Toolkit/Content/index.html.
>> *Provides a framework and tools to guide community-based organizations and schools in developing partnerships.*

The Annie E. Casey Foundation Family to Family (F2F) Initiative. *Building Community Partnerships*, Sacramento County Child Protective Services and California Permanency for Youth Project, 2006. http://www.f2f.ca.gov/Partnerships.htm

> *Establishing relationships with a wide range of community organizations in neighborhoods where referral rates to the child welfare system are high and collaborating to create an environment that supports families involved in the child welfare system.*

Institute for Educational Leadership, *Building Effective Community Partnerships*. {PDF}. Retrieved from http://www.ccitoolsforfeds.org/doc/Building_Effective_Community_Partnerships.pdf.

W.K. Kellogg Foundation, Community Partnership Toolkit. http://ww2.wkkf.org/Pubs/CustomPubs/CPtoolkit/CPToolkit/default.htm.

This is a Tool Kit for building and maintaining partnerships to strengthen communities. It starts with people getting involved and using better information. Each of the tools drives home a critical message learned about partnerships. Success takes time and commitment—picking the right tools, sharpening them with experience and eventually learning how to master the tools.

The Diabetes Initiative of the Robert Wood Johnson Foundation, *Clinic-Community Partnerships: A Strategy for Building Community Supports for Diabetes Care*. {PDF} Retrieved from http://www.diabetesinitiative.org/documents/Partnership_1-17-07.pdf.

Organization Websites
(Some have publications embedded)

Center for Collaborative Solutions, http://www.ccscenter.org/afterschool

CCS is passionately committed to helping afterschool programs achieve their goals by creating powerful visions, developing capable leaders and high performing teams, constructing authentic partnerships and implementing approaches and solutions that build the capacity of programs to help children and young people succeed in all areas of their lives.

Interagency Working Group on Youth Programs (IWGYP), Building and Sustaining Partnerships. http://www.findyouthinfo.gov/collaboration.shtml

No one person or organization can provide for all the needs of a community's young people. Supporting them fully requires collaboration among schools, youth-serving organizations, faith-based institutions, businesses, and government agencies.

Strong partnerships with relevant organizations and agencies in your community are critical because working together will help you deliver consistent messages and reach youth through a variety of channels. It also presents valuable opportunities to share resources, develop joint goals and objectives, and learn from each other.

SEDL, Family and Community. http://www.sedl.org/expertise/family_community.html. {Many resources available, including the following:}

http://www.sedl.org/pubs/fam01/planning.pdf
http://www.sedl.org/afterschool/toolkits/partnership_research.html
http://www.sedl.org/pubs/fam95/247.html
http://www.sedl.org/pubs/fam95/306.html
http://www.sedl.org/change/issues/issues32/2.html
http://www.sedl.org/expertise/historical/prep.html
http://www.sedl.org/connections/resources/citations/357.html

Articles from the Field

Vogel, Carl (2006). Building a Strong Community Partnership. Available from:
http://www.districtadministration.com/viewarticle.aspx?articleid=209

Learn and Serve America's National Service-Learning Clearinghouse, (2003). School/Community Partnerships Selected Resources. Available at:
http://www.servicelearning.org/lsa/lsa_page/school_cmty.php

Research Reports

Billett, Stephen; Clemans, Allie; Seddon, Terri. {2005). Forming, developing and sustaining social partnerships. Retrieved from http://tls.vu.edu.au/vucollege/LiWC/resources/Forming social partnerships.pdf

> *Principles required to sustain social partnerships*
> Similar principles are required to sustain effective partnership work over time and through changing circumstances.
> - *Maintaining shared purposes and goals* involves the partners actively reflecting upon, reviewing and revising goals, identifying achievements, and renewing commitment.
> - *Maintaining relations with partners* involves endorsing and consolidating existing relationships, recognising partners' contributions, and facilitating new and strategic relationships.
> - *Maintaining capacity for partnership work* involves securing and maintaining partners who engage effectively with both community and external sponsors, and managing the infrastructure required to support staff and partners.
> - *Maintaining governance and leadership* involves developing and supporting close relations and communication between partners, and effective leadership.
> - *Maintaining trust and trustworthiness* involves focusing on partners' needs and expectations, and ensuring that differing needs are recognised and addressed.

Bray, Mark; Comparative Education Research Centre, The University of Hong Kong, (2000). Community partnerships in education: Dimensions, variations and implications. Retrieved from http://www.paddle.usp.ac.fj/collect/paddle/index/assoc/misc002.dir/doc.pdf

Scholarly Articles

Partnerships for Youth Prevention:

Bogenschneider, Karen, (1996). An Ecological Risk/Protective Theory for Building Prevention Programs, Policies, and Community Capacity to Support Youth. *Family Relations*, Vol. 45, No. 2 (Apr., 1996), pp. 127-138. Published by: National Council on Family Relations. http://www.jstor.org/stable/585283.

Abstract *Although scientific knowledge of youth development has grown dramatically over the last 2 decades, theoretical frameworks for translating research into more supportive environments for youth have lagged. This article proposes a risk/protective theoretical perspective grounded in ecological and developmental contextualist theories. Principles extrapolated from the theory are illustrated with the success of Wisconsin Youth Futures, a campus/community partnership that has built 18 community coalitions to promote positive youth development and prevent problem behaviors.*

Galano, Joseph; Credle, Walter; Perry, Douglas; Berg, S. Willia; Huntington, Lee; & Stief, Elizabeth. (2001). Report from the Field: Developing and Sustaining a Successful Community Prevention Initiative: The Hampton Healthy Families Partnership . The Journal of Primary Prevention, Vol. 21, No. 4 (June 2001), pp. 495-509. Published by: Springer Netherlands. Retrieved from http://www.springerlink.com/content/g76352nh38147875/.

Abstract *This article documents the processes behind a community-based prevention initiative. It describes how city leaders used a crisis created by increasing demand for services and decreasing resources to shift to an investment in prevention. Support for better parenting was identified as the strategic investment most likely to ensure school success and later workforce participation, and a new partnership and organizational structure was developed to implement the initiative. Key components of the organization are described and critical elements of the program model and evaluation results are presented. Specific attention is paid to the community's plan for taking the initiative to scale through system conversion—a comprehensive reorganization of city services. To provide useful information for others interested in developing sustainable community-based prevention initiatives, lessons learned that transcend this specific model are described.*

School-Community-Family Partnerships:

Epstein, J. L. & Sanders, M. G. (2006). Prospects for Change: Preparing Educators for School, Family, and Community Partnerships. *Peabody Journal of Education*, *81*(2), 81-120. doi:10.1207/S15327930pje8102_5.

Abstract *This study explores the preparation of future teachers and administrators to conduct school, family, and community partnerships. Based on a sample of 161 schools, colleges, and departments of education (SCDE) in the United States, the survey examined not only the courses and content presently offered to prospective educators, but also leaders' perspectives and projections for the future. The results extend previous studies by identifying structural, organizational, and attitudinal factors associated with differences in SCDEs' coverage of*

partnership topics, preparedness of graduates to conduct family and community involvement activities, and prospects for change. Specifically, SCDE leaders' beliefs that partnership skills were important, required by accreditation organizations, and preferred by school districts hiring new teachers and administrators were significantly associated with more content covered on partnerships, better preparation of graduates, and future plans to require courses on partnerships for undergraduate and graduate students. SCDE leaders pointed to factors that may limit program change including faculty attitudes, university procedures, and state restrictions on additions to graduation requirements. The data suggest that SCDE leaders must be active change agents and team builders to guide their institutions to prepare future educators to conduct effective family and community involvement programs and practices.

Bauch, Patricia A., (2001). School-Community Partnerships in Rural Schools: Leadership, Renewal, and a Sense of Place. Peabody Journal of Education, Vol. 76, Issue 2, April 2001 , pages 204 – 221. DOI: 10.1207/S15327930pje7602_9

Epstein, Joyce L. School/family/community Partnerships: Caring for the Children We Share. *Phi Delta Kappan*, Vol. 76, 1995. Available at: http://www.questia.com/googleScholar.qst?docId=5000295700

> **Excerpt:** *"...There are many reasons for developing school, family, and community partnerships. They can improve school programs and school climate, provide family services and support, increase parents' skills and leadership, connect families with others in the school and in the community, and help teachers with their work. However, the main reason to create such partnerships is to help all youngsters succeed in school and in later life. When parents, teachers, students, and others view one another as partners in education, a caring community forms around students and begins its work...."*

Davies, Don. Schools Reaching out: Family, School, and Community Partnerships for Student Success. *The Phi Delta Kappan*, Vol. 72, No. 5 (Jan., 1991), pp. 376-380, 382. Published by: Phi Delta Kappa International. http://www.jstor.org/stable/20404409

Abstract The Kentucky Education Reform Act of 1990 established a system of statewide coordination of child-serving agencies through a school-linked collaborative arrangement. Kentucky family resource centers (FRCs) are designed to assist families and improve ...

Chrispeels, J. (1996). Effective Schools and Home-School-Community Partnership Roles: A Framework for Parent Involvement. *School Effectiveness and School Improvement: An International Journal of Research, Policy and Practice*, 7(4), 297-323. doi:10.1080/0924345960070402

Abstract *The increased interest in parent involvement as a strategy for school reform stems from two bodies of parent involvement research. One set of studies examined family learning environments; the other investigated the impact on student learning of school-initiated parent involvement programs. This article reviews these two bodies of research, which have influenced current discussions about home-school partnerships, shows the relationship between practices of successful home-learning environments and effective schools research, and uses this relationship to propose a typology of home-school-community partnership roles and activities. When the research on effective family practices is combined with effective schools research and*

placed within a typology of partnership roles, schools have a framework for examining current parent involvement practices and exploring strategies that will enhance student learning both at home and at school.

Epstein, J. L. & Hollifield, J. H. (1996). Title I and School--Family--Community Partnerships: Using Research to Realize the Potential. *Journal of Education for Students Placed at Risk (JESPAR)*, *1*(3), 263-278. doi:10.1207/s15327671espr0103_6.

Abstract Title I's requirements for parent and community involvement in both schoolwide programs and targeted assistance schools, along with requirements for funding such involvement, challenge Title I schools to think seriously about and to plan for involvement that will help make a difference in children's learning. In this article, we (a) review the requirements and how they may be interpreted (especially the requirement for school-parent contracts); (b) briefly summarize recent research on the effects of school-family partnerships on students, teachers, and parents; and (c) discuss two major research-based comprehensive programs for building school-family-community partnerships that provide a foundation upon which Title I schools could develop, in conjunction with parents, their own comprehensive and effective programs.

Brown, E. Glyn; Amwake, Carolynn; Speth, Tim; & Scott-Little, Catherine (2002). The Continuity Framework: A Tool for Building Home, School, and Community Partnerships. {PDF}. Published by ECRP {Early Childhood Research & Practice}. Fall 2002, Vol. 4, No. 2. Retrieved from http://www.peelearlyyears.com/pdf/The Continuity Framework.pdf

Abstract In the face of today's challenging social and family issues, many new efforts are underway to help children and families. One solution that many communities have adopted is the establishment of a collaborative partnership that involves all the relevant partners--home, school, and community--in the planning and monitoring of services for children. Unfortunately, achieving a strong partnership with meaningful participation can often be difficult and time-consuming. This article focuses on a set of training materials that has been developed to assist community partnerships in their efforts. These materials highlight eight elements of continuity and successful partnerships: (1) families as partners, (2) shared leadership, (3) comprehensive/responsive services, (4) culture and home language, (5) communication, (6) knowledge and skill development, (7) appropriate care and education, and (8) evaluation of partnership success. Results from a field study that included more than 200 reviewers and 8 pilot sites are summarized. Results indicate that a majority of reviewers found the training materials easy to understand, relevant to their work, and up-to-date. In addition, data gathered from the pilot sites indicate that the partnerships found the materials practical and useful for addressing a variety of issues, including time constraints, communication gaps, differences in professional training, and funding limitations.

Burkhauser, M.A., Mary; Bronte-Tinkew, Ph.D. Jacinta; & Kennedy, B.A., Elena. Building Community Partnerships: Tips for Out-of-school Programs. Published by Child Trends, #2008-13 March 2008. Retrieved from http://www.childtrends.org/Files/Child_Trends-2008_03_12_PI_CommunityPartner.pdf.

Partnership Sustainability:

For health:
Alexander JA, Weiner BJ, Metzger ME, Shortell SM, Bazzoli GJ, Hasnain-Wynia R, Sofaer S, Conrad DA, {2003). Sustainability of collaborative capacity in community health partnerships. Med Care Res Rev. 2003 Dec;60(4 Suppl):130S-160S.

Abstract Sustainability is a key requirement for partnership success and a major challenge for such organizations. Despite the critical importance of sustainability to the success of community health partnerships and the many threats to sustainability, there is little evidence that would provide partnerships with clear guidance on long-term viability. This article attempts to (1) develop a conceptual model of sustainability in community health partnerships and (2) identify potential determinants of sustainability using comparative qualitative data from four partnerships from the Community Care Network (CCN) Demonstration Program. Based on a grounded theory examination of qualitative data from the CCN evaluation, the authors hypothesize that there are five primary attributes/ activities of partnerships leading to consequential value and eventually to sustainability of collaborative capacity. They include outcomes-based advocacy, vision-focus balance, systems orientation, infrastructure development, and community linkages. The context in which the partnership operates provides the conditions for determining the appropriateness and relative impact of each of the factors related to creating consequential value in the partnership.

For child welfare:
Bremond, Deborrah; Milder, Teddy; Burger, Janis, (2006). Sustaining Community Partnerships on Behalf of Young Children and Families. Published by *Zero to Three*, v27 n2 p5-10 Nov 2006. Retrieved from: http://www.eric.ed.gov/ERICWebPortal/recordDetail?accno=EJ840023.

Abstract Another Road to Safety (ARS) is a prevention and early intervention program of family support services for children who are at high risk for abuse and neglect in Alameda County, California, funded by Proposition 10 of the Children and Families Act of 1998. ARS is a collaboration between First 5 Alameda County's program Every Child Counts, the Alameda County Social Services Agency, and two community-based organizations. This article describes how these entities worked collaboratively to facilitate systems change in six areas: (1) strengthening prevention as part of a continuum of care; (2) improving service quality through reflective supervision; (3) improving provider capacity to deliver quality services; (4) increasing coordination and communication between agencies; (5) developing infrastructure to support high-quality coordinated services; and (6) leveraging resources for sustainability. The collaborating agencies discovered that sustaining a community-based model of prevention required a thorough understanding of the risk levels of families, the ability to fully engage families in the program, and the ability to triage families to the appropriate levels of care.

University-community partnerships and research utilization in partnership:

Provan, Keith G.; Veazie, Mark A.; Staten, Lisa K.; & Teufel-Shone, Nicolette I. (2005). The Use of Network Analysis to Strengthen Community Partnerships. Public Administration Review, Vol. 65, No. 5, pp. 603-613, 2005. http://dx.doi.org/10.1111/j.1540-6210.2005.00487.x

Abstract *Community partnerships or networks of collaborating public and nonprofit organizations are an important way of addressing a wide range of problems and needs that communities face. In the academic literature, network analysis has been used to analyze and understand the structure of the relationships that make up multiorganizational partnerships. But this tool is not well-known outside the small group of researchers who study networks, and it is seldom used as a method of assisting communities. This article briefly discusses network analysis and how community leaders can use the results generated by this tool to strengthen relationships among public and nonprofit organizations, thereby building the community's capacity to address critical needs in areas such as health, human services, social problems, and economic development.*

Spoth R, Greenberg M, Bierman K, Redmond C., (2004). PROSPER community-university partnership model for public education systems: capacity-building for evidence-based, competence-building prevention. Prev Sci. 2004 Mar;5(1):31-9. 10.1023/B:PREV.0000013979.52796.8b

Abstract This paper presents a model to guide capacity-building in state public education systems for delivery of evidence-based family and youth interventions-interventions that are designed to bolster youth competencies, learning, and positive development overall. Central to this effort is a linking capacity agents framework that builds upon longstanding state public education infrastructures, and a partnership model called PROSPER or PROmoting School-community-university Partnerships to Enhance Resilience. The paper presents an overview of the evolving partnership model and summarizes positive results of its implementation over a 12-year period in an ongoing project.

Minkler, (2005). Community-based research partnerships: Challenges and opportunities. *Journal of Urban Health*, 2005, Volume 82, Supplement 2 / June, 2005, pp. ii3-ii12. Published by Springer, New York. DOI 10.1093/jurban/jti034.

Abstract *The complexity of many urban health problems often makes them ill suited to traditional research approaches and interventions. The resultant frustration, together with community calls for genuine partnership in the research process, has highlighted the importance of an alternative paradigm. Community-based participatory research (CBPR) is presented as a promising collaborative approach that combines systematic inquiry, participation, and action to address urban health problems. Following a brief review of its basic tenets and historical roots, key ways in which CBPR adds value to urban health research are introduced and illustrated. Case study examples from diverse international settings are used to illustrate some of the difficult ethical challenges that may arise in the course of CBPR partnership approaches. The concepts of partnership synergy and cultural humility, together with protocols such as Green et al.'s guidelines for appraising CBPR projects, are highlighted as useful tools for urban health researchers seeking to apply this collaborative approach and to deal effectively with the difficult ethical challenges it can present.*

Community Coalition-Building:

Foster-Fishman, Pennie G. ; Berkowitz, Shelby L.; Lounsbury, David W.; Jacobson, Stephanie; & Allen, Nicole A., (2004). Building Collaborative Capacity in Community Coalitions: A Review and Integrative Framework. *American Journal of Community Psychology,* Volume 29, Number 2 / April, 2001, pp. 241-261. Published by Springer Netherlands. DOI 10.1023/A:1010378613583.

Abstract This article presents the results of a qualitative analysis of 80 articles, chapters, and practitioners' guides focused on collaboration and coalition functioning. The purpose of this review was to develop an integrative framework that captures the core competencies and processes needed within collaborative bodies to facilitate their success. The resulting framework for building collaborative capacity is presented. Four critical levels of collaborative capacity—member capacity, relational capacity, organizational capacity, and programmatic capacity—are described and strategies for building each type are provided. The implications of this model for practitioners and scholars are discussed.

Chavis, David M., (2001). The Paradoxes and Promise of Community Coalitions. *American Journal of Community Psychology*. 10.1023/A:1010343100379.

Abstract Community coalitions, as they are currently applied, are unique organizations whose ability to promote community change is different from other types of community organizations. This article explores those differences and elaborates how community coalitions can use those differences to transform conflict into greater capacity, equity, and justice. Concerns are also raised in this article about how community coalitions can intentionally and unintentionally protect the status quo and contain the empowerment of grassroots leadership and those of marginalized groups. There is a need for more theory, research, and discourse on how community coalitions can transform conflict into social change and how they can increase the power of grassroots and other citizen-lead organizations.

Zakocs, Ronda C.; Edwards, Erika M., (2006). What Explains Community Coalition Effectiveness? A Review of the Literature. *American Journal of Preventive Medicine* - April 2006, Vol. 30, Issue 4, Pages 351-361, DOI: 10.1016/j.amepre.2005.12.004.

Abstract Community coalitions have become popular vehicles for promoting health. Which factors make coalitions effective, however, is unclear. The study's aim was to identify coalition-building factors related to indicators of coalition effectiveness through a review of the empirical literature.

Published articles from 1980 to 2004 that empirically examined the relationships among coalition-building factors and indicators of coalition effectiveness were reviewed. Two indicators of coalition effectiveness were examined: coalition functioning and community-wide changes. A two-phase strategy was employed to identify articles by reviewing citations from previous literature reviews and then searching electronic reference databases. A total of 1168 non-mutually exclusive citations were identified, their abstracts reviewed, and 145 unique full articles were retrieved. The review yielded 26 studies that met the selection criteria. Collectively, these studies assessed 26 indicators of coalition effectiveness, with 19 indicators

(73%) measuring coalition functioning, and only two indicators (7%) measuring changes in rates of community-wide health behaviors. The 26 studies identified 55 coalition-building factors that were associated with indicators of coalition effectiveness. Six coalition-building factors were found to be associated with indicators of effectiveness in five or more studies: formalization of rules/procedures, leadership style, member participation, membership diversity, agency collaboration, and group cohesion. However, caution is warranted when drawing conclusions about these associations due to the wide variations in indicators of coalition effectiveness and coalition-building factors examined across relatively few studies, discrepancies in how these variables were measured, and the studies' reliance on cross-sectional designs.

Emancipatory Partnerships:

Nelson, Geoffrey ; Prilleltensky, Isaac; & MacGillivary, Heather, (2004). Building Value-Based Partnerships: Toward Solidarity With Oppressed Groups. *American Journal of Community Psychology*, Vol. 29, No. 5 / October, 2001, pp. 649-677. Published by Springer Netherlands. DOI: 10.1023/A:1010406400101.

Abstract We propose a value-based conceptualization of partnership, defining partnership as relationships between community psychologists, oppressed groups, and other stakeholders, which strive to achieve key community psychology values (caring, compassion, community, health, self-determination, participation, power-sharing, human diversity, and social justice). These values guide partnership work related to the development of services or supports, coalitions and social action, and community research and program evaluation. We prescribe guidelines for building such partnerships and conclude by considering some of the challenges in implementing value-based partnerships.

Community Development Partnerships and Campaigns

Cavaye J.M. (2000) The Role of Government in Community Capacity Building. Department of Primary Industries and Fisheries Information Series, Queensland Government, 2000.

Rudd, R. E., Goldberg, J. & Dietz, W. (1999). A Five-Stage Model for Sustaining a Community Campaign. *Journal of Health Communication: International Perspectives*, 4(1), 37-48. doi:10.1080/108107399127084.

Abstract The Sisters Together, Move More Eat Better pilot communication program focuses on young Black women in three inner-city communities to encourage improved nutrition and increased physical activity. The design for Sisters Together is based on an expansion of a public health campaign that combines social marketing with community building efforts. The pilot program design comprises five phases: design, promotion, demonstration, transfer, and sustained activity. The proposed five-stage model holds potential for increasing the life span of a campaign and contributing to community building. Partnerships and coalition development promise to maintain the campaign beyond the limited budget period. This descriptive article illustrates the elements of a hybrid model for the design of a communication program with examples from Sisters Together, Move More Eat Better, a pilot program currently in the last year of implementation.

Books and Book Chapters

Epstein, Joyce L.; Sanders, Mavis G.; Sheldon, Steven B.; Simon, Beth S.; Clark Salinas, Karen; Rodriguez Jansorn, Natalie; Van Voorhis, Frances L.; Martin, Cecelia S.; Thomas, Brenda G.; Greenfeld, Marsha D. ; Hutchins, Darcy J.; & Williams, Kenyatta J. (2008). School, Family, and Community Partnerships: Your Handbook for Action, Third Edition. Corwin Press.

> **Abstract** *This user-friendly handbook guides school, district, and state leaders to organize and implement positive and permanent programs of school, family, and community partnerships. The Third Edition includes research summaries and useful tools for developing and evaluating programs of family and community involvement.*
>
> *A CD comes with the Third Edition. It provides a PowerPoint presentation to conduct the NNPS One-Day Team Training Workshop, copies of workshop handouts, activities, planning and evaluation forms, and selected Spanish translations of workshop materials.*
>
> *The handbook focuses on schools because that is where the children are. It is designed to guide the work of Action Teams for Partnerships (ATPs) consisting of teachers, parents, administrators, and others. The information, forms, and activities in the handbook also enable district and state leaders support, facilitate, and reward the work of their schools.*

Auerbach, Elsa (Ed.) (2002). Community Partnerships. *TESOL*, Pp. vii + 186.

> **Abstract** Community Partnerships *is an interesting collection of twelve case study chapters and overview chapter edited by Elsa Auerbach. The articles tell about successful collaborations between schools and universities, community groups, and government departments in five countries. This book is part of TESOL's Case Studies in TESOL Practice Series. This series describes twenty teaching contexts, the contexts' issues and demands, and practical suggestions for addressing these situations.*

Booth, Alan; Dunn, Judith F. (Eds), 1996. Family-School Links: How Do They Affect Educational Outcomes? (Penn State University Family Issues Symposia Series). Routledge.

> **Description** *Based on the presentations and discussions from a national symposium on family-school links held at the Pennsylvania State University, this volume brings together psychologists, sociologists, educators, and policymakers studying the bidirectional effects between schools and families. This topic -- the links between families and schools, and how these affect children's educational achievement -- encompasses a host of questions, each of key social and educational significance.*
>
> - *How far does parental involvement in schools affect children's experiences and achievement at school?*
> - *What explains the great differences between schools, families, and communities in the extent of such involvement?*
> - *Are these differences a matter of school practices, or do they reflect much broader social and cultural divisions?*

- *What is the nature of the impact schools have on children and their families?
  How can family-school-partnerships be fostered in a way that helps children?*

Epstein, Joyce; & Sanders, Mavis G. (2002). Family, School and Community Partnerships, (Chapter 16.) In Bornstein, Marc H. (Ed), *Handbook of Parenting: Practical Issues in Parenting, Volume 5.* Psychology Press.

> ***Description*** *Completely revised and expanded from four to five volumes, this new edition of the Handbook of Parenting appears at a time that is momentous in the history of parenting. Parenting and the family are today in a greater state of flux, question, and redefinition than perhaps ever before. We are witnessing the emergence of striking permutations on the theme of parenting: blended families, lesbian and gay parents, and teen versus fifties first-time moms and dads. One cannot but be awed on the biological front by technology that now not only renders postmenopausal women capable of childbearing, but also presents us with the possibility of designing babies. Similarly on the sociological front, single parenthood is a modern day fact of life, adult child dependency is on the rise, and parents are ever less certain of their own roles, even in the face of rising environmental and institutional demands that they take increasing responsibility for their offspring.*
>
> *The Handbook of Parenting concerns itself with:*
> ***different types of parents**--mothers and fathers, single, adolescent, and adoptive parents;*
> ***basic characteristics of parenting**--behaviors, knowledge, beliefs, and expectations about parenting;*
> ***forces that shape parenting**--evolution, genetics, biology, employment, social class, culture, environment, and history;*
> ***problems faced by parents**--handicap, marital difficulties, drug addiction; and*
> ***practical concerns of parenting**--how to promote children's health, foster social adjustment and cognitive competence, and interact with school, legal, and public officials.*

Sanders, Mavis G.; Epstein, Joyce L, (2000). Building School-Family-Community Partnerships in Middle and High Schools, (Chapter 15.) In Sanders, Mavis G.; and Jordan, Will J. *Schooling Students Placed at Risk: Research, Policy, and Practice in the Education of Poor and Minority Adolescents.* Routledge.

> ***Description*** *This book examines historical approaches and current research and practice related to the education of adolescents placed at risk of school failure as a result of social and economic conditions. One major goal is to expand the intellectual exchange among researchers, policymakers, practitioners, and concerned citizens on factors influencing the achievement of poor and minority youth, specifically students in middle and high schools. Another is to encourage increased dialogue about policies and practices that can make a difference in educational opportunities and outcomes for these students. Although the chapters in this volume are not exhaustive, they represent an array of theoretical and methodological approaches that provide readers with new and diverse ways to think about issues of educational equality and opportunity in the United States. A premise that runs through each chapter is that school success is possible for poor and minority adolescents if adequate support from the school, family, and community is available.*

The conceptual approach (Section I) places the research and practice on students placed at risk in a historical context and sets the stage for an important reframing of current definitions, research, policies, and practices aimed at this population.

Multiple research methodologies (Sections II and III) allow for comparisons across racial and ethnic groups as well as within groups, and contribute to different and complementary insights. Section III, "Focus on African-American Students," specifically addresses gender and social class differences among African-American adolescents.

Current reform strategies presently being implemented in schools throughout the United States are presented and discussed (Part IV). These strategies or programs highlight how schools, families, and communities can apply research findings like the ones this book presents, thus bridging the often wide gap between social science research and educational practice.

Brice Heath, Shirley; McLaughlin, Milbrey W., (1996). The Best of Both Worlds: Connecting Schools and Community Youth Organizations for All-Day, All-Year Learning (Chapter 4). In Cibulka, James G., Kritek, William J.; Linden Duke, Daniel. *Coordination Among Schools, Families, and Communities: Prospects for Educational Reform*. State University of New York Press.

Description *Improving the connection among schools, families, and communities has emerged as a recent focus of the education reform movement posing many challenges for educators, social service professionals, community activists, and parents. This book provides information on the diverse goals of the coordinated services movement and the problems of reconciling competing goals within the movement. The political environment surrounding coordinated services reforms is discussed, including efforts to scale-back the scope of "the welfare state." Different models of coordination are presented, such as Kentucky's Family Resource Centers, the Nation of Tomorrow project in Chicago, a community-school coalition in Philadelphia, community youth organizations, and programs for the homeless as well as organizational and management issues surrounding coordination drawn from programs throughout the United States and Canada.*

Sustainable Budgeting

Financial Scenario Worksheet Instructions

✦ **Create Scenarios**

Until estimates for revenue sources can be confirmed, an organization should look at "best" and "worst" case scenarios. The Financial Scenario Worksheet (FSW) includes three separate scenarios.

✦ **Ensure All Costs are Included**

Modifying budgets presents an opportunity to reconsider the original budget assumptions. Therefore, make sure all costs of the program are included in the modified budget and at the correct rates. For example, if an overhead expense was not charged in the original budget, the modified budget can correct that oversight. Many times staffing is a major cost of a program. Do not assume the current budget is correct with regards to staffing considerations.

✦ **Identify Variable and Fixed Costs**

Variable costs can be decreased due to reductions in revenues. Normally, fixed costs cannot be decreased, regardless of the change in revenues.

✦ **How the FSW Works**

In Scenario I a decrease in contributed income impacts both expenses and program service fees. Scenario I includes the following assumptions:

- Contributed income decreases by 13%
- Outputs, or number of people served, will decrease at the same percentage as the decrease in staffing costs
- Program service fees will remain constant at $60 per client served
- All costs, other than occupancy and the evaluator, are variable costs

In this case, because of fixed costs, a greater decrease in the variable expenses was necessary thereby further decreasing the number of clients served. In turn, this reduction in clients decreased the program's revenues from service fees necessitating a further reduction in the variable costs.

The result was a 13% decrease in contributed revenue required a 15% reduction in variable costs and a 15% decrease in the number of clients served. The cost per client served also rose from $1,468 to $1,495. While these numbers are small, if further reductions are necessary, it may be more important to be aware of the impact on clients served.

In Scenario III, a 51% decrease in contributed income has more of a noticeable impact on variable costs and outputs. Because of the fixed costs, the percentage of variable costs is decreased by more than 51%. In turn, the decrease in clients served reduces the program service fees resulting in a further decrease in the variable costs. The end result was a 51% decrease in contributed income caused a 59% decrease in variable costs and clients served. Also, the cost per client served rose from $1,468 to $1,743.

✦ **Cash Flow**
If there is a major loss of income or a change in the income streams, make sure the organization has the necessary funds to cover any cash flow issues. The following are items to consider when analyzing cash flow:

- Create a cash flow analysis using a worst case scenario. For instance, if your funder normally reimburses you between 30 and 60-days after receiving your invoice, use the 60-day time period when constructing your cash flow analysis
- Determine if your organization's reserves will be available to cover any cash flow issues
- Negotiate an advance from your funder(s)
- Ensure your organization has a line of credit

✦ **Expenses**
Again, be aware of the types of costs, variable or fixed, in your budget. Always try to renegotiate expenses, especially fixed costs such as occupancy and subcontractors. Naturally, creating partnerships and sharing costs can also reduce expenses. If your program outputs are reduced, determine if you can utilize any idle assets for other programs or for revenue generation. For example, if the current space for a program will only be used half-time due to budget reductions, you may determine if it is feasible to rent a portion of the space to generate additional income. Expenses can also be reduced with in-kind contributions.

✦ **Assumptions**
Be sure to document all assumptions you are using to modify your budget. Assumptions can change and it's important to realize how they can impact the program's budget.

✦ **Financial Model**
Create a financial model in excel that can be used as assumptions change. Once you have this model, it becomes very easy to modify your financial projections. Be aware that financial modeling requires a high-level of cost accounting and computer skills. Always check the reasonableness of your budget.

✦ **Overall Financial Impact on the Organization**
A reduction in one program can impact the overall finances of the organization, even if the modified program has a balanced budget. For instance, a decrease in the overhead expenses charged to a program does not necessarily translate to a decrease in the organization's supporting services that are funded by the program. Another example is when cash flow becomes a problem and the organization must utilize a line of credit. In this case there will be an increase in interest expense.

Scenario Planning Worksheet

		Next Year Projections		
		Percentage Decrease in Contributed Income		
	Current	**Scenario I**	**Scenario II**	**Scenario III**
Revenues:		**13%**	**31%**	**51%**
Contributed Income				
Individual Contributions	$7,000	$7,000	$7,000	$7,000
SDFSC Grant	100,000	-	-	-
XYZ Foundation Grant	33,780	30,000	25,000	25,000
ABC Foundation		70,000	50,000	22,000
Special Event		15,000	15,000	15,000
Subtotal	140,780	122,000	97,000	69,000
Program Service Fees				
Subtotal	6,000	5,100	3,840	2,460
Total Revenues	**146,780**	**127,100**	**100,840**	**71,460**
Expenses:				
Salaries				
Program Director (.5 FTE)	$35,000	29,614	22,425	14,385
Program Ass't (1.0 FTE)	35,000	29,614	22,425	14,385
Administrative (.75 FTE)	15,000	12,692	9,611	6,165
Benefits & Payroll Taxes				
Benefits (15% of Salaries)	12,750	10,788	8,169	5,240
Taxes (12.5% of Salaries)	10,625	8,990	6,808	4,367
Operating Expenses				
Occupancy	10,000	10,000	10,000	10,000
Supplies	5,032	4,258	3,224	2,068
Printing	5,000	4,231	3,204	2,055
Evaluator	7,500	7,500	7,500	7,500
Overhead Expenses (8%)	10,873	9,413	7,474	5,295
Total Expense	**$146,780**	**$127,100**	**$100,840**	**$71,460**
Income Less Expenses (This line must be zero)	**$0**	**$0**	**$0**	**$0**
Number of people served	**100**	**85**	**64**	**41**
Cost per person served	**$1,468**	**$1,495**	**$1,576**	**$1,743**

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Telling Your Story: How to Effectively Market Your Program

PUBLIC RELATIONS CAMPAIGN PLANNING

WORKSHEET

Effective public relations begins with a plan. Components of a plan include defining the objective, target audience, message, strategy, tactics and channels, implementation and evaluation. This worksheet serves as a tool to facilitate the planning process.

OBJECTIVE:
What do we want to achieve? Why should we do a PR campaign? (Specify desired outcomes, e.g. influence public policy, raise money, increase use of services)

TARGET AUDIENCE:
Who do we want to influence? Who do we want to take action? (Be specific.)

MESSAGE:
What is our message? (Keep it simple.)

STRATEGY:
- How do we frame our message to move our audience to act? If we have more than one target audience, how do we frame the message for the different audiences? (Frames simplify complex issues and help people make sense of their environment.)

    o Do we need a campaign slogan or branding tag-line?

- How do we tell our story? E.g. through client testimonials, people with direct experience with the problem, satisfied customers

    o Who are influential people who could help us? Bring credibility to our cause?

- Who will be our spokesperson(s)? Do we need different spokespeople for different audiences?

TACTICS & CHANNELS:

How do we reach our audience? Identify what communication methods to use based on the demographics and media use of the target audience, and our budget.

- **Traditional Media:**
  - Media relations, press releases, pitching stories, editorial board meetings, letters to the editor & op eds, special events, radio talk shows
  - Presentations before community, civic and other organizations
  - Testifying before government decision making bodies

- **New Media:**
  - Dynamic websites, online newsroom (post press releases on our website), blogs, YouTube videos, social media, e-newsletters

- **Informational Materials for digital or print distribution**
  - Fact sheets
  - Brochures
  - Reports & Guides
  - White papers
  - Newsletter

IMPLEMENTATION:

Who on our team will do what and by when? Create a timeline and budget.

EVALUATION & MEASUREMENT:

How will we know we achieved our objective? Understand outputs versus outcomes. Outputs are the media placements the message appeared. Comments on blogs and Facebook walls are also types of outputs. Outcomes tell us if we achieved our objective. E.g. how many new members joined our organization, did the ordinance pass, if not, why not?

How to Be Newsworthy

> *"Publicity is worth a lot to you. If you get a story about yourself in the same media in which you placed an ad of the same size, I estimate the story will be five to 10 times more effective in getting you business."*
>
> Rick Crandall, Ph.D.
> *Marketing Your Services*

You Can Get Publicity

There's rarely a product, service, or organization that can't at some time be worthy of positive publicity. There are fundamental ideas journalists share to evaluate what is newsworthy.

Timing Is Everything

A newsworthy item is timely, has new or previously unreleased information, and meets one or more of the news media's objectives to inform, educate or entertain. Before pursuing a story, journalists consider why their readers, viewers or listeners would be interested in this now? Who cares? Is it news?

What's Your Angle?

Journalists consider the news hook, or the "angle" of a story to determine if it's worth reporting. A compelling angle presented at the right time is what makes a story newsworthy.

> *"...publicity is a wonderful thing. And any marketing plan that fails to include some effort at public relations is a marketing plan that isn't going all out."*
>
> Jay Conrad Levinson
> *Guerrilla Marketing*

A Checklist to Identify Your News Angle

To help you figure out a news angle, ask yourself the following questions:

✓ Is it timely?

✓ Is it innovative? A new or fresh approach to meeting a need.

✓ Is it unusual or different? If there are similar products or services, what is unique about yours?

✓ Will it instigate a change that will affect your customers or many people in your community?

✓ Could it impact the public's health and safety?

✓ Could it impact your area's economy? The relocation or expansion of a small business could be big news in some communities.

✓ Is it something that has never been done before, or has never been done before in your community?

✓ If it has been done before, how is it being done differently this time and why?

✓ Does it tie in with a current item in the news?

✓ Does it tie in with a trend?

✓ Does it tie in with a particular season or holiday?

✓ Is it information that previously did not exist? Such as results of a survey or study.

✓ Does it have emotional appeal? Is it a moving, amusing or inspiring story?

✓ Is it information that can help people make an important decision or avoid a serious mistake? E.g., how to spot mail fraud, avoid an IRS audit, select an HMO, hire child care.

How to Present Your Story to the Media

The best way to give information to the news media is in a news release. You can also pitch story ideas to specific journalists who cover your issue, service or industry.

> *"News generation requires skill in developing a story or concept, researching it, and writing a press release. Each effort must be executed in a way that makes it of interest to the media's audience. It must be news to make the cut."*
>
> Tim Berry
> Doug Wilson
> *On Target:*
> *The Book on Marketing Plans*

About Cuclis PR

We help organizations achieve their goals by communicating the right message to the right people. You'll see results through intelligent strategies that don't require a huge budget. We facilitate communications planning, design and manage PR campaigns, write materials, coach spokespersons and provide PR counsel.

How to Write a Press Release
By Gina Cuclis

A press release, also called a news release, is a written document primarily for the purpose of announcing news to the media. The contents should demonstrate why your organization is worthy of news media coverage.

1. **Determine If Your Information Is News** – (See "How to Be Newsworthy" tip sheet.) E.g. is it timely, useful, a new trend, has impact on the community? What's the news hook?

2. **Date** – at the top of the page or in the dateline

3. **Release Information** – Type FOR IMMEDIATE RELEASE in all caps at the top, left margin. This means the information can be used now. This practice is fading out, but is still considered a standard.

4. **Contact Name, Phone Number and E-mail** – Should be someone accessible so reporters can easily contact him or her for more information. Use two contact people if accessibility is an issue.

5. **Format** – Left justified, ragged right margin, including the headline.

6. **Headline** – Should have a news angle and grab the reader's attention.

7. **Dateline** – The city from where the news generated. This is placed in parenthesis at the beginning of the first paragraph and is followed by a dash. Datelines are not necessary if the information is not location sensitive.

8. **Lead** – The first paragraph of the news release. Contains the most important information, indicates the news hook, and briefly details what the news release is about. It is usually only one sentence, and should be concise and compelling.

9. **Use the Inverted Pyramid Style of Writing** – The most important information in the beginning (the lead) with the least important at the end.

10. **Who, What, Where, When, Why and How** – The information that answers these questions should be provided in the news release.

11. **Use a Quote** – To elaborate on the basic facts. A quote adds human interest and brings a story to life. Person quoted should bring credibility and say something meaningful. Quote should appear by the middle of the press release.

12. **Use Keywords for Search Engine Optimization** – These are the words people would use to search Google that would lead them to find your press release online. Use the keywords in the headline, lead, and two or three locations in the body. Two to four keywords is enough.

13. **One to Two Printed Pages in Length** – If possible, keep the press release to one page. Never write a release that is more than two pages.

14. **If Printed, Type the Word More at the End of Page One and Type a Header on Page 2** – On the bottom center of page one type -more-. This tells the reader there is another page in case the sheets are separated. A header on the top left corner of page 2 should contain the page number and two or three words describing the press release.

15. **Type ### at the End** – Centered below the last paragraph of the news release type ### to indicate the end of the release. You can also use the number –30-.

16. **Print on Organization Letterhead** – A PDF that will be uploaded to your website should also be on letterhead.

ADDITIONAL WRITING TIPS

Don't sound like a commercial. Be objective. A news release is not an ad, so don't use hyperbole and language that you can't substantiate. This includes what it said in the quote.

Proofread carefully.

Localize your release for the different community media. Write different versions of your news release for the different community newspapers.

E-MAILING PRESS RELEASES

Send Embedded Press Releases – Do not send as an attachment.

Subject Line – Should be compelling, informative. Don't write Press Release. Use title case.

Length – Text should fit on one computer screen. The reader should not need to scroll to find the 5Ws and H information.

Links to Related Material – Provide online access to additional information by including links to related web sites, reports, studies, bios, etc.

Audience Inventory:

Audience	Non Critical Audience	Know Story Well	Know Story Somewhat	Don't Know Story As Well As They Should	Don't Know Story At All
FUNDERS					
Active Individual Donors					
Corporate Donors					
Government Grantmakers					
Potential Individual Donors					
Private Foundations					
OTHER AUDIENCES					
Agency Staff (In-House)					
Board Members					
Clients					
Community Members					
Constituents					
Faith-Based Community					
Friends & Family Members					
Government Officials					
Media					
Partner Agencies					
Related Sector					
Similar Agencies in Other Regions					
Stakeholders					
Other _____ _____					

Notes: _____

_____

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_____

Identification of Key Values:

x	Acceptance of Differences		x	Justice	
x	Collaboration, Cooperation		x	Leadership	
x	Community and/or Political Involvement		x	Personal Power	
x	Confront Difficulty		x	Respect for Nature	
x	Continuous Learning		x	Safety, Protection	
x	Creative Expression		x	Service to Others, Volunteering	
x	Equality		x	♦	
x	Family		x	♦	
x	Healthy Living		x	♦	
x	Individual Freedom		x	♦	

- Identify the top five values held by your organization – do your best to number them from 1-5 (1 being the most central value)

- How would someone outside of your organization be aware of your organization's commitment to these values?
  - o
  - o
  - o

- To what degree do staff across your organize know these values, reinforce them with one another and articulate them to stakeholders, clients, community members, donors and partners?

Example of internal integration:
  - o
  - o

Need for improved integration:
  - o
  - o

Notes: _____

_____

_____

_____

_____

Components of a Story Told Well

Quality	Components	Pitfalls
Marketing Executive	• Story is clean and tight • Story sizzles, may be "sexy" • Formatted well, no typos • Concise	• Used Car Salesman -- "Have I got the car for you..." • Polish in place of substance • Trying to sell something that is not necessarily what your customer wants
Artist	• Organization's values demonstrated • Qualitative value of project conveyed • Connection made between teller and audience • Emotions are conveyed or touched upon	• Overly flowery or touch-feely • Lack of substance • Over-dependence on qualitative description without substantiation
Scientist	• Details in place • Quantitative data including statistics & measurements • Concrete objectives, outcomes and milestones	• Jargon • Complicated and/or undecipherable • No experience of a human connection • Lack of excitement or aliveness
Storyteller (Integrating above qualities)	• Clear beginning, middle and end • Includes qualities of Marketing Executive, Artist & Scientist • Covers the bases of a traditional storyline: - We set out to do _____ - We have accomplished _____ - We experienced the challenge of _____ - We are currently doing _____ - We plan to do _____	• Rambling without form • Focus on going forward without connection to past or what preceded • Pieces of story don't fit together or are out of order

Menu of Story Venues

1. ☐ Annual Report
2. ☐ Grant Proposals/Reports
3. ☐ Press Release
4. ☐ Email
5. ☐ Newsletters
6. ☐ Website
7. ☐ Brochures/Marketing Materials
8. ☐ Outside Articles/Interviews
9. ☐ Photos/DVDs
10. ☐ Board Meetings
11. ☐ Partner/Collaborative Meetings
12. ☐ Workshops/Conferences
13. ☐ Meetings with Donors
14. ☐ Fund Raising Events
15. ☐ Thank You Letters
16. ☐

Notes: _____

Executive Summary Template

Directions: For each question, generate at least three answers. Your answers may fall into any or all of the three "voices" columns (certain questions lend themselves more to certain voices). When each question has been answered, double-check empty boxes to be sure there is nothing of value to add from that voice.

Core Questions	Marketing Executive	Artist	Scientist
0. GUIDING VALUES **What are your program's distinctive Core Values?** (This query is for tone setting, not necessarily content – use as a compass to check if your document is heading in the right direction.)	• • •	• • •	• • •
1. PROBLEM TO BE ADDRESSED **What problem did you set out to address?** **How does that problem affect people?** **What indicators notify your staff or community of the problem's existence or severity?**	• • •	• • •	• • •
2. TARGET AUDIENCE & ROLES **Who was the targeted "audience" or service recipient for your project?** **What role did service recipients play in determining how to address their needs?** **What demographic groups, individuals, agencies or community members were intended to play a role in your project?**	• • •	• • •	• • •
3. GOALS & STRATEGIES **What were your project's goals?** **What strategies were initially applied to achieve these goals?** **How were your strategies adapted along the way to fit your community or to be most effective?**	• • •	• • •	• • •

4. ACHIEVEMENTS **What** have been the results of your program? **What** outcomes were achieved? **In** what ways is your program unique, innovative or outstanding?	• • •	• • •
5. INSIGHTS **What** wisdom have you gained along the way? **What** unexpected circumstances or actions contributed to the success of your program? **What** would you do differently if you could?	• • •	• • •
6. NEXT STEPS **Where** do you hope to go next? **How** is your organization uniquely prepared now for something that it couldn't have done (or wouldn't have done) 4-5 years ago?	• • •	• • •

GRANTEES IN ACTION

Showcase your SDFSC Program

Did this document catch your eye? Let CARS help you profile your program's unique qualities and successes. Share your programs contribution to community well being and emphasize the importance of substance abuse prevention in the lives of youth. We can help translate your project's efforts using a similar catchy format coupled with smart language that showcases the best your program has to offer.

Promoting your program within your community, reaching funders and other supporters, making an appeal to your local education agency/school board? Let CARS guide your efforts and strengthen your approach. As with all TA and training services for SDFSC Grantees, these services are offered at no-cost .

Featured Consultants

CARS can assist you in marketing your program, profiling your evaluation findings, or creating a case statement for your organization. Here are a few consultants that are particularly versed and would be excellent choices, depending on your needs.

Gina Cuclis, Cuclis PR – Gina's public relations expertise can help grantees design a strategic communications plan, increase media exposure and improve relations with key stakeholders. Gina can advise on communication materials and websites and also show you how to expand your message through social media. www.cuclispr.com

Nan Brenzel – Nan's expertise lies in data assessment and presentation. Coupled with her experience in sales and marketing, she can help grantees highlight their evaluation findings and program accomplishments. She has excellent examples of her work to inspire grantees.

Diane Brown – Diane has years of experience helping organizations plan strategically, build their coalitions and/or boards of directors and develop viable funding plans. She is skilled at helping prepare strong case statements that capture the work and character of an organization or coalition. Diane works with the Non Profit Assistance Group at www.nonprofitassistance.com

EVIDENCE BASED PROGRAMS
DEMONSTRATED SUCCESS

Here's what grantees are doing:

Project SUCCESS

Strengthening Families Program

Reconnecting Youth

Coping and Support Training

Mentoring

Search Institute's Developmental Assets

Friday Night Live

The Seven Challenges

Kinship Matters

Striving Together to Achieve Rewarding Tomorrows
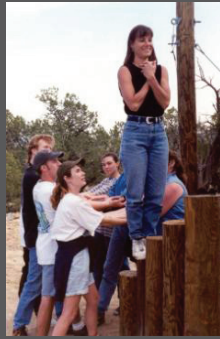
Sembrando Salud

Impact Mentoring

Project Alert

Brief Intervention

Student Assistance Programs

Aggression Replacement Training (ART)

Peer Mentoring

Sample Core Outcome Measures

- *ATOD use*: Lifetime use, 30 day use, age of first use, binge drinking;

- *Individual and Peer*: Self Esteem, Attitudes toward use, Perception of Harm/Risk, Life Skills, Leadership and Mentoring;

- *School*: Grades and records, School Bonding;

- *Community*: Social Disorganization and Youth Participation.

A Variety of Strategies

- In-class education

- Out-of-class groups

- Mentoring

- Parent programs

- Screening (with tools and interview)

- Referral and follow-up

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Focus Areas

Underage drinking youth

Children of substance abusers

Youth in Foster Care

CARS

Any Organization Can Win High Visibility and Build a Strong Brand by Using Smart but Inexpensive Public Relations Tactics!

April 2010

Even if you don't have a big marketing or public relations budget, you can still raise your organization's profile and build a strong brand among customers, members, potential members, the news media, and other opinion leaders if you use a few proven—and inexpensive—PR tactics to raise your visibility.

Reporters are always looking for compelling stories. You can help them and, at the same time, win press coverage for your organization, your issue, your products, and services. Also, with new online tools, *you* can be the media and build your own audiences. Here are tactics that will help you build your visibility at little or no cost.

- **Messages.** Before you send out any communication, get your organization "on message." Write out a half dozen compelling statements that address the *specific* benefits of your organization and the issues or services you represent. Get your team using those messages for *all* formal and informal communication (the Web site, press releases, sales and marketing materials, media interviews, presentations, proposals, elevator speeches, and even the way in which the receptionist answers the phone). Unified and focused messages are powerful tools.

- **Pitching the press.** The most important skill in getting press attention is the ability to "pitch" a story. Anyone can do it. Here's the process: 1) Identify something newsworthy in your organization or a trend in your industry that would make a good story. 2) Get the names of "experts" you can provide as sources. 3) Select the publication(s) that will help you target your audience. 4) Identify reporters who cover your topic.

Now put together a "package" for each reporter that includes 1) the story idea, 2) a short description of each expert, and 3) a reason why the story idea is timely (link it to something in today's news?). Be confident that you have something of value to offer them, and be persistent. Reporters say they don't want phone calls, but if you have a really good story to pitch, give it a try. Otherwise, e-mails work best.

- **Take note of a "First in a Series" article.** If you and your organization would fit into the series as good sources, contact the reporter immediately with reasons you might be included in the next article in the series.

- **Spotlight newsworthy people** in your organization. For example, if a staffer is a noted writer, musician, civic volunteer, or athlete, pitch the story to the appropriate editors of the newspaper. That way you'll have a chance of getting your organization mentioned in the Arts, Sports, Local, or Business sections depending on the nature of the story.

- **Use social media** if you are ready (and you have useful information to share). Don't be daunted by blogging, Facebook, and Twitter. They are just tools. Learn about them even if they might not be right for you today. Using social media helps increase visitation to your Web site by creating fresh content that search engines will latch onto (if you send out a blog, for example, be sure to provide a link back to your Web site). To see how blogging works, go to Technorati.com and read others' blogs. Find those that interest you and leave comments. That will give you the "feel" of the medium before you start your own blog.

- **Be the media.** For now, sending a short, monthly e-newsletter with useful information might be all the social media you need and a good way to make sure contacts remember you. Google "email marketing" to find inexpensive, template-based, e-newsletter tools (e.g., constantcontact.com) or hire a designer to create a template for you. Important: provide useful information, not just a "commercial" for your organization, products, or services.

- **Article marketing.** This is one of social media's best-kept secrets. There are thousands of legitimate Web sites that want content from people with your expertise. Write a short byline article, post it on one of those sites (start with ezinearticles.com, which has hundreds of topics). Be sure to include a link to your organization's Web site. Other Web sites will spread that article around the Internet, and it will boost your presence on Google searches. Don't have time to write an article? Somewhere in your organization is a white paper or speech that you can cut to 800 words and submit. Also send those articles to newspapers as Op-Eds or to trade publications or local business journals as "expert" columns. Buy reprints and add them to your marketing materials.

- **Network strategically.** Once you have attended a few organizations' networking events, choose a group or two and join. Being part of the "family" gives you great exposure, especially if you are on a committee. Get key members of your team to do the same with other organizations. If you are attending a large event, find out if press is attending and be sure to meet them. Come prepared with a story pitch! If you are a member, event organizers often will give you the attendee and press lists in advance.

- **Press releases.** Rumors about the death of the press release are very premature. A press release is only a format, not a medium, and still a good way to structure news. They do work if concise, newsworthy, and timely. And thanks to the Web, releases can go out to many more audiences than just traditional press. A regular "drumbeat" of releases (one or two a month) keeps your visibility high and helps keep you current when reporters do Internet searches to look for information. Try posting your releases for free on topic-specific Web sites (see "Article marketing" above) and send them directly to your contacts and to bloggers in your industry. You can create your own press lists, buy lists, or use release distribution services such as Business Wire or PR Newswire. Some Web-based services are free but coverage is spotty. Try www.free-press-release.com as an example. Keep releases under 400 words, and make sure they are newsworthy (focus on benefits, not features). Regular distribution of good releases will build your online presence and credibility in addition to winning media coverage.

- **Commission a study or survey,** the results of which need to appeal to news outlets you most want to reach. Co-sponsor the survey with a well-known industry organization to boost visibility. Online companies (e.g., surveymonkey.com) let you process surveys via the Web at very small cost.

- **Determine ROI.** How do you know if your PR is working? A stack of newspaper clips is not always the best indicator of good press coverage. Go for quality over quantity. Look through your clips. Are your most important 5-6 messages (see "Messages," above) found in that stack of articles, TV/radio interviews, product reviews, testimonials, industry survey results, blogs? A media article that includes a couple of your key messages is golden. It tells the reader exactly why he or she should contact your organization and how you can help them.

- How useful did you find this article? Give us your feedback

Robert Deigh, RDC Communication/PR, LLC
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Robert Deigh is a communications professional with more than 25 years of experience in public relations, public affairs, and journalism. He helps organizations—from startups to Fortune 500 companies—increase their visibility and build brands by creating strong and positive relationships with the press and other audiences. Before starting his own PR firm, RDC Communication/PR, LLC , Deigh was communications director of two divisions of America Online and the PBS television network; he was also PBS's chief national media spokesperson for seven years. He is the author of How Come No One Knows About Us? *which won three national awards in 2009.*

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Telling Tales in Tight Spaces

June 2010

Reprinted from *Contributions Magazine*

A few years ago, Dr. Jane Goodall came to Los Angeles to meet with film, television, and commercial producers who were using chimpanzees as actors. Dr. Goodall had assembled indisputable evidence that these chimpanzees were being cruelly beaten by trainers to make them "more compliant" performers. She had come to Hollywood to plead with the producers to help end the abuse.

Nearly 200 members of the creative community attended Dr. Goodall's briefing, and each received a 25-page report documenting the abuses. Given the notoriously short attention span of Hollywood types, Dr. Goodall didn't expect her audience to read every word, but she was hopeful they'd open the booklet and at least read the introduction on the inside cover. It was deliberately brief—less than 250 words—but it still packed an emotional punch:

In the late 1960s, Washoe, a female chimpanzee, was taught American Sign Language under the care of Drs. Allen and Beatrix Gardner. The Gardners hired a young researcher named Roger Fouts to work closely with Washoe, and Fouts would later write about his remarkable experience in the book, *Next of Kin: What Chimpanzees Have Taught Me About Who We Are.*

In the following excerpt, Fouts describes an incident involving Washoe and a volunteer researcher named Kat. Capitalized words and phrases are used to indicate the signs exchanged by Washoe and her human friends.

"In the summer of 1982, Kat was newly pregnant, and Washoe doted over her belly, asking about her BABY. Unfortunately, Kat had a miscarriage, and she didn't come in to the lab for several days. When she finally came back, Washoe greeted her warmly but then moved away and let Kat know she was upset that she'd been gone. Knowing that Washoe had lost two of her own children, Kat decided to tell the truth. MY BABY DIED Kat signed to her. Washoe looked down to the ground. Then she looked into Kat's eyes and signed CRY, touching her cheek just below her eye. When Kat had to leave that day, Washoe wouldn't let her go. PLEASE PERSON HUG she signed."

This report is dedicated to Washoe and all great apes who, for better or worse, are now reliant on their human cousins for protection and survival.

The third paragraph of the introduction is an excellent example of a "connecting narrative moment," a term coined by Frank Dickerson (a fundraising expert). In just a few sentences, you are pulled into a scene featuring two characters. You witness an exchange revealing the humanity in the character you wouldn't have identified as human, and when Washoe signs, PLEASE PERSON HUG, you simply have to feel something.

The paragraph is not a full-fledged story, but it has enough of a narrative thread to engage us, and it stands as a reminder that even when we think there isn't enough room, we can still tap into the power of storytelling.

On the Web, everyone reads content like a Hollywood executive, so if you're going to tell a story, keep it brief. The United Ways of California demonstrate this nicely on its site with the mini-story of the Lopez family, one of thousands in America struggling to survive without health insurance.

The Lopez family story runs just 200 words, but it has a beginning, middle, and end, and a sympathetic protagonist in Sylvia Lopez. The story is accompanied by a picture of Sylvia and her kids, which helps establish an emotional connection with the reader. And once the connection is made, motivated readers can easily link to another page to learn more about the United Way's efforts to cover more children with health insurance.

"In a complex environment," writes Annette Simmons in *The Story Factor,* "people listen to whomever makes the most sense—whomever tells the best story." Our environment is getting more complex every day, and the time we have to listen (or read) seems to be getting shorter by the minute. So take advantage of every opportunity you have by telling a story, or as much of a story as you can. More often than not, even a little narrative is better than none.

- How useful did you find this article? Give us your feedback

Andy Goodman is a nationally recognized author, speaker, and consultant in the field of public interest communications. Along with Storytelling as Best Practice, *he is author of* Why Bad Ads Happen to Good Causes *and* Why Bad Presentations Happen to Good Causes. *He also publishes a monthly journal,* free-range thinking, *to share best practices in the field.*

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Safe & Drug-Free
Schools & Communities
Technical Assistance Project
California's Governor's Program

Tips for Entering Your Nonprofit into the Social Media Environment

March 2009

Do you Tweet? What's your Facebook page got? Ever think of how to promote your nonprofit on YouTube? Follow any bloggers? What's an "influencer," and should you be, well, influenced? More important, are your target audiences socializing in cyberspace, not just for fun but for the purpose of deciding how and where to invest their time or financial resources?

Make no mistake, social media is changing the way we—from the individual to the corporation— are communicating. And the environment is rich with opportunities for nonprofit organizations to get noticed. The following tips will help you understand a bit more about this new medium and how it may benefit you and your goals.

- **Realize that social media is not just a fad or something young kids play around with.**
  Social media is here to stay. A [survey by Deloitte](#) reported that 43 percent of Internet users over the age of 61 spent time sharing photographs with people. Some 36 percent watched and read personal content created by others. And surprise: the average blogger is a white, 37-year-old male with an average annual income of nearly $56,000. For a nonprofit, that profile is prime for targeting as a potential donor.

- **Social media is a cost-effective means to promote and market your messages.**
  Downward economy? Shrinking budget? No worries with social media marketing. It requires very little—if any—financial investment. And it is effective. The one "cost" to account for, however, is time. When done correctly, social media requires a great deal of staff time and resources. That said, MarketingSherpa reports that social media is the one area for which companies are [increasing budgets](#).

- **Realize that not knowing is no excuse.**
  In court, not knowing the law is no excuse. When it comes to social media, many people choose to stay in the dark because they fear the unknown or believe that so many others already know so much more than they do and are leaps and bounds ahead of them.

  Truth is, social media is still in its infancy and ever-evolving. The best thing to do is jump right in and participate, even as an individual. For example, setting up your own Facebook page is easy and fun and quickly gets you up to speed on who is out there, what groups might be right for you or your organization, what tools are freely available, and more.

  [Learn some new lingo](#): Keyword cloud. Mash up. RSS. Influencer. Tagging. UGC. Evangelist. Social media comes with a whole new set of rules and its own dictionary. On-line, there's a wealth of resources to help you start

speaking like a pro. And remember: those who don't engage and join the party may very well be silenced and left out in the cold.

- **Social media is incredibly viral, which is both good and bad for nonprofits.**
  Winston Churchill (or Mark Twain, to whom this quote also has been attributed) once said, "A lie can make it half way around the world before the truth has time to put its boots on." And that was long before the Internet was even born. So just imagine now how quickly some bit of information—good or bad—can travel through the cybersphere, reaching millions upon millions globally.

  Nonprofits who want to speak directly to consumers can, indeed, do so easily ... as can foes who are ready to unveil any bit of founded or unfounded scandal. Entering into the social media arena when times are good and participating fully as an active member helps enormously should any bad news befall you or your company.

- **Your social media approach needs to start out with traditional tactics: make sure you set your baseline and determine your goals.**
  The more things differ, the more they are the same. Just as you would with traditional communication efforts, you need to set a baseline and determine goals for your social media strategies. Educating your organization's leaders is key to setting appropriate goals and being successful in the social media arena. Finding your organization's social media ranking (Google "social media ranking" to find free tools for this purpose) helps show where you are now and just how far you need to go to get to where you want to be.

- **Make sure you do your research.**
  There's so much on-line chatter, how do you know what's worth listening to? Which are the relevant communities for your nonprofit, and who are the influencers in your field? Who are your evangelists? What is everybody talking about, and how does your organization fit into that topic?

- **Pick your poison.**
  So many rich multimedia elements, so many more to choose from. Which tools do you choose? Press releases? Social news sites? Social networks? Blogger relations? Podcasts? Video? On-line media relations? What specific mix will best suit your organization's culture and goals? The answers to these questions are key to putting your plan in motion.

- **Recognize the big "R" in ROI.**
  Some traditional communicators ignore social media, maintaining it is impossible to measure. Truth be told, social media is very measurable, and not with "eyeballs" and impressions but by counting blog posts and comments and evaluating the tone of those comments. Results are very achievable and can be extremely cost-effective.

- **Underscore the "social" in social media.** At the end of the day, all of the new technologies and modes of communication mean nothing without the people. And not just the people who use the space but also the people on your team who need to do the work required to promote your nonprofit to on-line

communities. A Social Media Press Release does simplify the work by incorporating multimedia elements and distributing your release through non-traditional channels. But remember: although a Social Media Press release may be the perfect vehicle for reaching consumers, non-traditional media, and on-line communities, you still need people to create and follow up on the release.

Paolina Milana, Marketwire
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Paolina Milana is vice president of marketing for Marketwire, a leading newswire and communications work-flow provider. She brings nearly 20 years of experience as a former journalist and a seasoned PR and marketing professional with several years at a major nonprofit.

Cutting Costs, Keeping Quality:

Financing Strategies for Youth-Serving Organizations in a Difficult Economy

March 2010

Cutting Costs, Keeping Quality:

Financing Strategies for Youth-Serving Organizations in a Difficult Economy

Eric Keller

March 2010

The **FINANCE**
PROJECT

Overview

Youth-serving organizations are likely to face many challenges in 2010. Notwithstanding signs the economy is improving, continued cuts in state budgets and foundation giving will translate to less funding for many youth programs, most of which already experienced reductions in 2008 and 2009. The strain of the recession also means the vulnerable populations that many youth programs support will need services now more than ever. To maintain high-quality services with limited resources, youth-serving organizations need to embrace a strategic and proactive approach to their financial management.

This research brief highlights three effective financing strategies that successful youth-serving organizations are using to maintain quality services despite difficult economic times (see Summary of Key Financing Strategies). The brief provides examples of how organizations have implemented these strategies and offers tips to help leaders consider how best to adapt these strategies to their unique context.

The brief begins by summarizing the effects of the recession on youth-serving organizations thus far. The first strategy, aggressively managing costs, highlights how organizations can focus on what they do best and cut costs in ways least likely to damage the quality of their services. The second strategy, creatively generating new revenues, examines how organizations can look beyond their traditional sources of support to generate new funding despite the troubled economy. The third strategy, forming partnerships, discusses how organizations can create partnerships and support networks to help mitigate the effects of funding cuts.

A key finding of this research is that many organizations began implementing these strategies well before times got tough. Aggressively managing costs, creatively generating revenues, and forming partnerships were integral aspects of their daily operations, rather than reactions to a weak economy. Leaders report that once the recession began, these strategies significantly improved their program's ability to continue delivering high-quality services to youth. In this sense, these strategies not only can help youth-serving organizations weather the storm, but also help ensure they are better prepared to manage any financial shocks in the future.

This research was informed by interviews with leaders of 17 youth programs and organizations from across the country that experts identify as using effective financial management strategies. These programs and organizations vary in their size and scope; some have budgets of less than $200,000 and serve youth in well-defined communities, while others serve youth nationwide and have budgets as large as $30 million. The programs and organizations serve both urban and rural areas. They also vary in their primary areas of service, including afterschool, mentoring, dropout prevention, gang prevention, and juvenile delinquency services, though most of them provide services in multiple areas. Finally, some of the organizations provide direct services to youth while others are intermediaries (i.e., they support the work of other youth programs). A list of the programs and organizations participating in the research interviews can be found in the appendix.

Leaders interviewed for this research recommend these key financing strategies to maintain services for youth in a difficult economy.

Aggressively Manage Costs	**Protect core services (p. 8)** ☑ Close or scale back programs not integral to the organization's mission. ☑ Understand how cost-cutting measures will affect all aspects of the organization. **Develop a contingency plan (p. 8)** ☑ Develop an outline of steps the organization will take to deal with financial difficulties. **Examine overhead costs (p. 10)** ☑ Renegotiate debt. ☑ Renegotiate contracts with vendors. ☑ Secure sufficient overhead rates.
Creatively Generate New Revenues and Support	**Engage the board or other leaders in generating revenue (p. 13)** ☑ Create a fundraising and development committee. ☑ Provide fundraising training. **Use data to communicate the organization's impact (p. 14)** ☑ Conduct parent surveys. ☑ Conduct program quality self-assessments. ☑ Engage external evaluators. ☑ Invest in data collection software. **Implement program fees and social enterprise activities (p. 16)** ☑ Develop sliding-scale fees. ☑ Engage in business-like activities that generate income to support the organization's mission.
Form Partnerships	**Access volunteers and in-kind support (p. 18)** ☑ Engage volunteers through connections with parents, universities, and national and local volunteer organizations. ☑ Create partnerships with community-based organizations and local businesses. **Share the costs of providing services (p. 20)** ☑ Establish referral systems to reduce duplication of services. ☑ Use support networks to jointly administer programs. **Share administrative costs (p. 21)** ☑ Outsource back-office services. ☑ Pool resources through a collaborative.

Effects of the Recession on Youth Programs

Like most nonprofit organizations, many youth-serving organizations have experienced budget reductions in recent years. These cuts are partially a result of severe budget challenges in state and local governments. Many states and localities have substantially reduced funding for youth programs to address revenue shortfalls. Consider these examples of how state-level budget cuts are directly affecting the funding received by youth programs.

- Connecticut, to manage a $386 million budget gap in fiscal year 2010, cut the budget for the department of children and families by $8.5 million. [1]

- Kentucky, faced with a 2010 budget shortfall of $161 million, eliminated a nationally recognized juvenile crime prevention program. [2]

- New Jersey, to close a fiscal year 2010 budget gap of $500 million, cut funding for afterschool programs. [3]

- New York, confronting a $3.2 billion budget shortfall for fiscal year 2009, cut spending midyear on most of its programs that serve youth. [4]

Youth programs also face continued reductions in private funding. Many of the private foundations on which youth-serving organizations rely have reduced their grant making because of large losses in their endowments. A Foundation Center survey estimates that foundation giving decreased by more than 10 percent in 2009, and foundation giving is expected to decline further in 2010. [5] Private fundraising and donations also have decreased. A study by Giving USA found that donations to charities in 2008 declined by 5.7 percent after inflation, the steepest decline since the organization began estimating donations in 1956. [6]

Naturally, reductions in nearly all sources of funding for youth-serving organizations have drastically affected their financial conditions. A November 2009 survey by The Bridgespan Group found that 80 percent of nonprofit organizations had experienced funding cuts, up from 52 percent in November 2008. [7] For many organizations, these funding cuts have been significant. Nearly half of the organizations surveyed had experienced cuts of between 10 percent and 20 percent of their total budget, and almost a quarter had funding cuts of more than 20 percent. Although the Bridgespan study

[1] National Association of Child Care Resource & Referral Agencies, "State Budget Cuts: America's Kids Pay the Price" (Arlington, Va.: National Association of Child Care Resource & Referral Agencies, January 2010).

[2] John Kelly, Benjamin Penn, and Matt Wagner, "Youth Services in States of Pain: A Survey of How Budget Cuts Threaten Youth Programs," *Youth Today* (March 1, 2009).

[3] National Association of Child Care Resource & Referral Agencies.

[4] Community Resource Exchange, *Budget Alert* (New York, N.Y.: Community Resource Exchange, November 2009).

[5] Steven Lawrence, *Foundations' Year-End Outlook for Giving and the Sector* (New York, N.Y.: The Foundation Center, November 2009).

[6] Giving USA Foundation, *Giving USA 2009: The Annual Report on Philanthropy for the Year 2008* (Glenview, Ill: Giving USA Foundation, 2009).

[7] Allen Tuck, Ann Goggins Gregory, and Sarah Sable, *A Year of Managing in Tough Times: November 2009 Survey Update of Nonprofit Leaders* (Boston, Mass.: The Bridgespan Group, November 2009).

focused on nonprofit organizations in general, these findings are consistent with the responses of youth program leaders interviewed for this brief. All interviewees reported some funding cuts from public or private sources, with many reporting cuts of between 10 percent and 20 percent of their total budget.

Nonprofit leaders have quickly implemented strategies to cope with these financial challenges. Typically, they have taken steps to develop contingency budgets, collaborate with other organizations to provide services, reduce staff, freeze salaries, engage more closely with their board, and use reserve funds (see Common Strategies That Nonprofits Are Using to Cope with the Recession).

Common Strategies That Nonprofits Are Using to Cope with the Recession

- Develop contingency budgets (65% of respondents)

- Engage more closely with board (59% of respondents)

- Freeze all hires and current salaries (48% of respondents)

- Use reserve funds (43% of respondents)

- Collaborate with another nonprofit organization to provide programs (42% of respondents)

- Reduce staff or salaries (41% of respondents)

- Reduce or eliminate programs (39% of respondents)

- Reduce or refinance occupancy costs (18% of respondents)

Source: Nonprofit Finance Fund, *Summary Report: Nonprofit Survey Results* (New York, N.Y.: Nonprofit Finance Fund, March 2009).

Many nonprofit organizations are especially vulnerable to funding cuts because they lack sufficient operating reserves. A recent survey by the Nonprofit Finance Fund found that 31 percent of nonprofit organizations did not have operating reserves sufficient to cover one month of expenses.[8] The survey found that 62 percent did not have enough reserves to cover three months of expenses, which is the standard benchmark for sufficient reserves. These statistics are especially troubling, because the same survey found that only 16 percent of nonprofit leaders expected to be able to cover their operating expenses in both 2009 and 2010. Many leaders interviewed for this research cite their organization's operating reserves as critical to their ability to manage the effects of the recession.

Budget cuts have been coupled with an increased demand for many of the services that youth programs provide. One survey found that 54 percent of social services organizations reported increased demand for their services in 2008.[9] Similarly, youth program leaders interviewed for this research report increased demand for their services. For example, many programs that traditionally provide support services to youth, such as mentoring or job training, are finding that the youth they serve also need help with meeting basic needs, such as food, shelter, and security.

This dynamic of budget cuts coupled with increased demand highlights an important tension that youth-serving organizations currently face. Responsible financial management may require reducing services to adjust to new budgetary constraints, but service reductions can have a real impact on the lives of youth. The serious consequences may explain why many youth-serving organizations hesitate to cut costs by reducing services. However, failure to adjust to economic realities may result in programs becoming financially unstable and, in some cases, having to cease operations.

The strategies presented in this brief can help youth-serving organizations continue to provide critical services to their communities. The first section presents strategies that leaders can use to carefully manage and reduce their costs, including focusing on core services, using contingency planning, and reducing overhead costs. The second section focuses on strategies to creatively generate new revenue and support, such as engaging the board and other leaders in generating revenue, using data to communicate the organization's impact to donors and funders, and implementing program fees and social enterprise activities. The third section discusses how youth-serving organizations can form partnerships to access volunteers and other in-kind support and share the costs of providing services.

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[8] Nonprofit Finance Fund, *Summary Report: Nonprofit Survey Results* (New York, N.Y.: Nonprofit Finance Fund, March 2009).

[9] Giving USA Foundation.
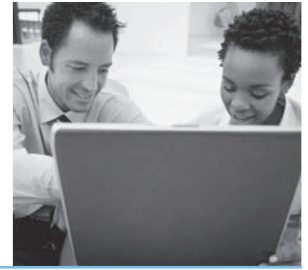
Strategy 1: Aggressively Manage Costs

As the economy began to worsen, most youth-serving organizations quickly employed basic belt-tightening strategies and reduced nonessential spending. However, as budget cuts have continued, many organizations have been forced to make tough decisions and find ways to significantly reduce their costs.

The challenge for most organizations is to reduce costs in a way that has the least effect on the quality and sustainability of their services. Many of the leaders interviewed raise the concern that cutting back in certain areas could lead to a loss in productivity that would outweigh any savings, thus weakening their organization. For example, cutting back on fundraising expenditures could further reduce the organization's revenue and create a vicious cycle of reduced funding.

Leaders identify several strategies for reducing costs while maintaining program quality, including protecting core services (i.e., the services most important to the organization and its constituency), developing contingency plans, and carefully examining overhead costs. Underlying each strategy is the principle that organizations should first clearly understand and protect what they do best. Rather than quickly making across-the-board budget cuts, leaders can cut specific costs that are less likely to negatively impact the organization. Identifying these costs requires thinking carefully about how cuts may affect an organization over time (see Considering the Effects of Cost-Cutting Measures).

Considering the Effects of Cost-Cutting Measures: Big Brothers Big Sisters of North Texas

Leaders at Big Brothers Big Sisters (BBBS) of North Texas knew they would have to reduce expenses by 11 percent because of cuts in government funding and private donations. Leaders determined that to achieve these reductions they could lower personnel costs by reducing the total number of staff or slightly reducing staff salaries. Reducing staff would have forced the organization to serve fewer children. This approach would have negatively affected revenues, because much of BBBS's government funding is based on reimbursements associated with the number of children it serves. Instead, leaders chose small salary reductions of between 3 percent and 5 percent for most staff members. While this scenario may not apply for every organization, the key is that BBBS leaders considered how cost-saving measures would affect other aspects of the organization and used that information to make an informed decision.

Protecting Core Services

Many leaders interviewed for this research have cut costs while intentionally protecting their core services. For some organizations, this has meant closing or scaling back a program not integral to their mission. For example, PACE Center for Girls, which provides delinquency prevention services for girls ages 12 to 18 throughout Florida, had previously developed early intervention outreach to younger girls in partnership with elementary schools. Facing severe budget cuts, the center chose to suspend these outreach programs to focus on core services that would have the greatest impact in helping girls improve their lives.

When closing or scaling back services, many leaders have strengthened partnerships with others in the community that provide similar services. For example, one organization that temporarily suspended substance abuse counseling because of budget cuts partnered with the local department of human services to ensure its youth could still receive counseling. This partnership included transporting the youth to counseling sites.

Using Contingency Planning

Contingency planning can help youth-serving organizations develop a clear plan for cutting costs in ways that are less likely to affect the quality of their services. A contingency plan is an outline of the steps an organization will take to deal with financial difficulties if they arise. For example, an afterschool program could decide that a budget reduction of 10 percent in a single year triggers a freeze of staff salaries and postponement of two field trips. A budget reduction of 20 percent could trigger additional actions, such as reducing some staff to part-time status.

In addition to budget cuts, contingency plans monitor other key trip wires. For example, organizations could take action if their cash reserves are depleted by X percent or they see a Y percent decrease in youth enrolled in their programs. Having a clear plan in place before budget cuts occur prevents reactionary, crisis planning and helps determine exactly what programs and services are most critical to the organization and the youth it serves.

Many of the leaders interviewed report that contingency planning helps them agree on their core values and recalibrate their long-term strategic plan in response to current economic conditions (see Responsibly Managing Growth in a Recession). While a recent survey found that 62 percent of nonprofit organizations had developed at least a basic contingency plan, only 38 percent had a well-defined contingency plan that identified the key trip wires that would trigger actions, clarified which programs were critical to the organization's mission, and detailed spending cuts should a large budget reduction occur. [10]

Responsibly Managing Growth in a Recession: City Year DC

Although contingency planning is often used to prepare for budget cuts, the process can also help leaders plan for growth in a difficult economy. City Year DC is one branch of a national service corps that engages youth in community service activities such as tutoring and mentoring in public schools. Leaders at City Year DC report they have a plan to expand their corps from approximately 100 volunteers to 350 volunteers during the next five years. This growth is being fueled by a desire to expand services to more schools and a growing number of youth interested in serving as volunteers. Recognizing that achieving this growth would not be easy in the current economy, leaders have specified milestones related to fundraising and program quality they need to achieve to continue with their growth plan.

Fundraising milestones require the organization to reach targets for the total number of donors, total fundraising revenue, total number of corporate sponsors, etc. Other milestones focus on program quality; for example, volunteers' ability to increase the test scores of the students they mentor. If City Year DC cannot meet these milestones, it plans to grow the service corps at a less aggressive rate.

[10] William Foster, Gail Perreault, and Sarah Sable, *Managing in Tough Times: May 2009 Nonprofit Leaders Survey Update* (Boston, Mass.: The Bridgespan Group, May 2009).

Examining Overhead Costs

Regardless of the economy, managing overhead costs poses a significant challenge for many youth-serving organizations. While organizations receive funding to provide direct services to youth, they also need funds dedicated to covering overhead costs, such as rent, equipment, and office supplies. Youth-serving organizations face pressure from various sources—most importantly, funders—to keep overhead spending as low as possible, but this type of spending is often essential to maintaining a healthy organization.

In response to the weak economy, many youth-serving organizations are seeking to reduce overhead costs by renegotiating the terms of rent or debt payments, renegotiating contracts with vendors, and reducing administrative staff (see Renegotiating Debt). However, recognizing that basic levels of overhead spending are essential to their organization's health, some are trying to increase the amount of funding available for overhead costs. These organizations are working with public and private funders to request funds with more flexibility, particularly funds that can be used to meet overhead needs. Program leaders interviewed stress the importance of carefully examining the overhead rate a program charges its funders and ensuring the rate is sufficient to cover overhead costs.

As public and private budget cuts continue into 2010, many youth-serving organizations will need to find new and creative ways to reduce their costs. Although this process may be painful and will require making difficult decisions, some organizations will grow stronger as they find new ways to create maximum impact with limited resources.

Renegotiating Debt: Communities In Schools

Communities In Schools (CIS) is a national dropout prevention organization that helps schools connect with community resources and services, such as local businesses and social service providers. Leaders at CIS reduced overhead costs by renegotiating loans they had used to finance some of their operations. They recommend these strategies for youth programs seeking to renegotiate debt.

- **Act quickly.** Once the program defaults on even one monthly payment, the bank may treat the loan differently and refinancing options may be limited.

- **Be prepared to show financial statements including current and future budgets.**

- **Consider asking for an extension of the terms on the loan.** Extending the loan can reduce the monthly payment.

- **Consider whether a "friendly funder" can help.** For CIS, a board member was willing to buy the program's debt from the bank and accept repayment at a more favorable interest rate.

Strategy 2: Creatively Generate New Revenues and Support

A tough fiscal outlook makes generating new sources of revenue hard. However, leaders interviewed reveal several creative strategies to generate new revenues despite the weak economy. Difficult times call for new tactics, and some youth-serving organizations have successfully generated new revenues by thinking beyond their traditional funding sources and fundraising strategies to engage their governing board in fundraising, use data to communicate the organization's impact, and implement parent fees and social enterprise activities.

Many of these organizations had begun to implement new funding strategies well before they felt the effects of the recession. These strategies often take time to pursue and may require initial investments of resources before they pay dividends, making them harder to implement when an organization is already losing funding. By taking a forward-looking approach, these organizations were better prepared for the recession.

Developing a Quality Funding Base

Many leaders report they approach revenue-generating activities with the goal of constantly improving the quality of their funding base. Several leaders indicate past efforts to develop a strong funding base were critical in helping absorb the shocks of the economic downturn. A quality funding base often means different things for different organizations, but leaders identify several key characteristics of a strong and reliable funding base.

- **Diversity**. Many program leaders cite accessing a diverse array of funding sources as being essential to their ability to maintain services during the recession (See the Risk of Over-Diversification).

- **Stability**. Youth-serving organizations that have secured some stable, multiyear funding commitments have relied on that revenue as other sources of funding have been reduced. For example, leaders at Big Brother Big Sisters of North Texas estimate that much of their operating capital in 2010 will come from prior multiyear commitments.

- **Flexibility**. Program leaders are increasingly seeking funds with fewer restrictions that can be used to fill budget gaps or cover overhead costs.

The Risk of Over-Diversification

Youth-serving organizations that access multiple funding sources are much more likely to maintain their services in a difficult economy. A study of nonprofit organizations recovering from the 2001 recession found that those relying on one government funding source were considerably more likely to experience deficits than those receiving even 10 percent of their funding from another source.* However, program leaders should be wary of over-diversification—developing new funding sources or lines of business that are unrelated to the organization's mission and goals. Organizations drifting into new territory may find the costs of providing unfamiliar services outweigh the amount of funding they receive and distract them from what they do best.

Note: *Nonprofit Finance Fund, *Nonprofit Trends: The 2001 Economic Slowdown and its Aftermath* (New York, N.Y.: Nonprofit Finance Fund, February 13, 2008).

Engaging the Board or Other Leaders in Generating Revenue

Many youth-serving organizations are turning to members of their governing board, or other influential community leaders who support their programs, for help in generating revenue. For example, leaders can create a committee on their board specifically dedicated to fundraising and development. Recognizing that some board members might be inexperienced in fundraising and unsure about how to help, program leaders can also consider offering fundraising training to board members (see Engaging the Board in Fundraising). This strategy can quickly generate some unrestricted income. For example, leaders at the Latin American Youth Center, a comprehensive youth development organization in Washington, D.C., note that after receiving fundraising training, one board member quickly generated $1,000 in donations simply by sending an e-mail encouraging friends, family, and other contacts to donate.

Engaging the Board in Fundraising: PACE Center for Girls

Partially in response to the challenging economy, the PACE Center for Girls, which provides delinquency prevention services for girls throughout Florida, carefully considered how best to engage board members to support the organization's goals. With 17 locations statewide, all overseen by local governing boards, PACE provided fundraising trainings to engage local board members in revenue-generating efforts. The trainings focused on how board members could engage the community in the core aspects of PACE's mission. They also helped board members understand the difference between developing "transactions" (i.e., one-time donations) and long-term investments. Program leaders report that support generated through board fundraising efforts has been critical to filling gaps caused by state budget cuts.

Using Data to Communicate the Organization's Impact to Donors and Funders

With competition for funding becoming increasingly fierce, youth-serving organizations need to use data to communicate the impact of their services to potential donors and funders (see Using Data to Communicate Impact). Donors and funders are increasingly supporting programs that can demonstrate they improve the lives of the children and families they serve. In addition to being critical for revenue-generating efforts, good data is essential to internally evaluate an organization's strengths and weaknesses and improve its services.

Using Data to Communicate Impact: Latin American Youth Center

The Latin American Youth Center (LAYC) is a comprehensive youth development organization in Washington, D.C. According to LAYC leaders, "Funders are deliberately choosing to fund organizations that have tangible results." In 2005, LAYC created an in-house learning and evaluation division to collect data and conduct evaluations of its programs. LAYC uses Efforts to Outcomes, an online data collection system, and it has trained its program staff to input data directly into the system. Although leaders at LAYC acknowledge that developing this system was costly and time intensive, they believe being able to articulate the results of their evaluations has been critical to their ability to use data to inform staff about the value of their work, make programmatic decisions, and generate funding in a difficult economy.

Youth-serving organizations can collect different kinds of data to examine their effectiveness. Program attendance and retention rates, client satisfaction rates, and academic performance data for the youth they serve are just a few examples. Programs should collect data on outcomes closely related to their mission; for example, a program focused on job readiness could collect data on the number of clients who find and retain employment.

Youth programs can collect outcome data in different ways, including administering parent and youth surveys, conducting program quality self-assessments, and engaging external evaluators (see Resources for Collecting Data on Youth Programs). Although leaders interviewed acknowledge that collecting outcome data can be expensive, many believe these efforts more than pay for themselves by improving the organization's capacity to attract funding.

Resources for Collecting Data on Youth Programs

Collecting data on program outcomes can be expensive and complex, but several resources are available that can support youth-serving organizations in these efforts.

Several assessment tools provide guidance on how to collect outcome data for youth programs. These tools provide ideas for structuring formal program assessments and conducting informal self-assessments. The Forum for Youth Investment has developed a guide that highlights 10 assessment tools for youth programs available at: http://forumfyi.org/content/measuring-youth-program-quality-guide-assessment-tools-2nd-edition.

Efforts to Outcomes is an online software that social and human services organizations can use to track and analyze data. Developed by Social Solutions, the software helps organizations collect and analyze data, track outcomes, and develop reports that can be used to improve program quality. For more information, visit http://www.socialsolutions.com.

Implementing Program Fees and Social Enterprise Activities

Difficult fiscal conditions are leading many youth-serving organizations to charge program fees or undertake social enterprise activities to generate new revenues and fill budget gaps.

Many youth-serving organizations are charging program fees to engage parents in covering service costs (see Generating Support Through Program Fees). Implementing program fees can be difficult, because many families also are struggling financially. In addition, some funding sources prohibit charging program fees for activities supported by that source, or stipulate that program fees cannot prevent any family or youth from participating in a program for financial reasons. Most organizations using this approach develop sliding-scale fees that generate some payments from families based on what they can contribute.

Program leaders also report that sliding-scale fees have nonmonetary benefits, such as improving program attendance rates. Charging a small fee can positively change the behavior of parents and youth supported by a program. For example, some leaders note that parents who contribute even a small fee often become more committed to the program and ensure their children attend regularly. Charging a small transportation fee can also encourage families to find alternate forms of transportation if they are available.

Generating Support Through Program Fees: Connecticut After School Network

The Connecticut After School Network is a statewide advocacy and support organization that provides training, resources, and technical assistance to afterschool programs. Increasingly, leaders at the network are using fee-for-service activities to offset funding cuts. They report that charging even small fees, such as fees for lunches provided at trainings, has offset costs and helped decrease the number of no-shows at these events.

Moreover, afterschool programs within the network have effectively used program fees to control their costs and generate new revenues. Program leaders give the example of one rural afterschool program that was struggling to meet high transportation costs. Implementing a small sliding-scale transportation fee enabled the program to collect additional revenue, but it also encouraged some parents to carpool. This reduced the number of children the program had to transport.

Youth-serving organizations are also undertaking social enterprise activities to supplement their revenues. Social enterprise activities are business-like endeavors that generate income, which is then targeted for reinvestment to support an organization's core social mission.

For example, the United Teen Equality Center (UTEC), a comprehensive youth outreach and development program in Lowell, Massachusetts, generates significant revenues through social enterprise activities connected with its programming. The first floor of its building is a café where youth work as part of UTEC's workforce training initiative. The second floor of its building is an arts center that UTEC rents out when not in use by the program. UTEC also operates several youth-run businesses, such as a catering company and a small farm, that generate revenues to support programming. The primary goal of UTEC's social enterprise activities is to provide opportunities for youth, not to make money. Leaders at UTEC estimate that sales cover between 30 percent and 40 percent of the costs of the social enterprise activities, with the remainder supported through grants and fundraising. However, leaders note that these funds have helped diversify their revenue sources and mitigate the effects of budget cuts.

Program leaders interviewed for this research took a strategic and creative approach to cultivating varied sources of funding well before times got tough. This approach has not saved them from funding cuts. Many programs are seeing reductions in all sources of funding, no matter how broad their funding base. However, this strategy has enabled programs to lessen the impact of funding cuts and continue to provide their most critical services when youth need them most.
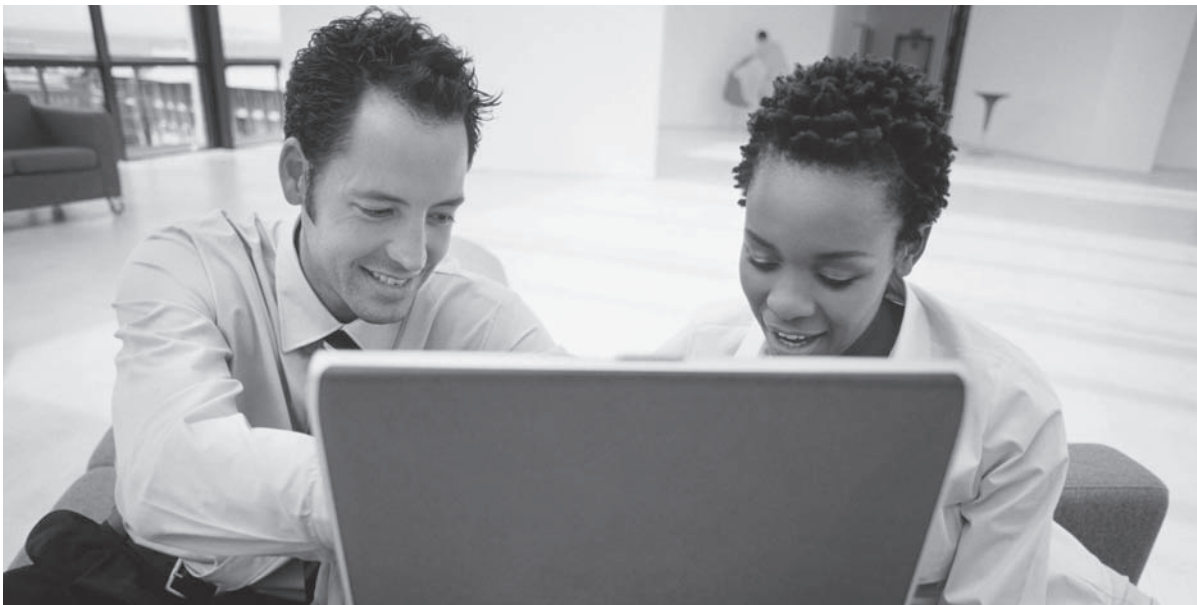
Strategy 3: Forming Partnerships

Forming partnerships is one of the most powerful strategies that leaders of youth-serving organizations can use to control their costs and generate new revenue. Strategic partnerships can result in access to volunteers and in-kind resources, increase eligibility for funding sources, reduce administrative costs, and promote more coordinated services for youth. Youth-serving organizations can form partnerships with many organizations, including schools, hospitals, businesses (see Creating Partnerships with Local Businesses), museums, institutions of higher education, and faith-based organizations.

Forming and maintaining partnerships is not without its challenges. Developing strong partnerships takes time. In addition, it often requires compromise, because organizations with different missions must agree on certain goals and values. However, successful partnerships can be very effective in helping organizations achieve goals they could not have accomplished alone.

Creating Partnerships with Local Businesses: Self Enhancement, Inc.

Effective partnerships bring benefits to all parties involved. Self Enhancement, Inc. (SEI), a comprehensive youth development organization in Portland, Oregon, has formed partnerships with local businesses wanting to increase the diversity of their workforce. SEI partners with local organizations such as Nike, US Bank, Key Bank, the Portland Trail Blazers, and Legacy Emanuel Hospital to support a new internship program. Each organization provides $50,000 to support the program and designates internship opportunities for SEI youth. Leaders at SEI comment that organizations have been anxious to join this partnership. Most of SEI's youth are African American, so employers see this partnership as an effective way to engage qualified African American youth and increase the diversity of their current and future workforces.

Accessing Volunteers and Other In-kind Support

Many youth-serving organizations are cultivating partnerships that produce in-kind resources, such as volunteers and donated space or materials, to offset funding cuts (see Engaging Youth Volunteers). In a difficult economy, requesting local businesses or other partners to donate office supplies or commit volunteers may be more successful than asking for monetary contributions.

Federal programs, such as AmeriCorps, can provide a great source of volunteers for youth programs. For example, leaders at the Youth Empowerment Project, a comprehensive youth development program in New Orleans, Louisiana, partnered with a local AmeriCorps grantee and established itself

as one of the grantee's volunteering sites. Leaders report that their access to volunteers has been critical to the program's success, but engaging volunteers does involve costs. Program leaders should consider the investment required to train and supervise new volunteers, as well as the reporting requirements for programs such as AmeriCorps, and weigh those costs against the benefits of engaging volunteers.

Engaging Youth Volunteers: Pentecost Baptist Church Educational and Outreach Program

The Educational and Outreach Program of the Pentecost Baptist Church runs afterschool and summer programs for youth in New Orleans, Louisiana. The program engages volunteers from several sources.

- A partnership with Dillard University engages college students who tutor youth and support the program's daily operations.

- The Mayor's Summer Youth Employment Program contributes volunteers.

- All parents of students in the program serve as volunteers at some point.

- Partnerships with national volunteer organizations, such as City Year and Volunteer Match, provide an additional source of volunteers.

Program leaders report that engaging volunteers has been essential to controlling personnel costs.

Leaders interviewed for this research have these tips for youth-serving organizations seeking to engage volunteers:

- make volunteering easy;

- ensure volunteers clearly understand the impact of their time and effort;

- provide opportunities for people who are unemployed to maintain their job skills and network with others;

- offer different volunteer opportunities and flexible schedules;

- survey parents of youth in the program and use that information to engage them as volunteers; and

- think carefully about what the program will use volunteers for; many activities that involve close interaction with youth may be handled better with permanent staff.

Sharing the Costs of Providing Services

Many youth-serving organizations are collaborating in service provision to reduce their costs and improve the coordination of services for youth in their communities. This collaboration often involves establishing systems of referral. For example, when budget cuts forced one organization to suspend substance abuse counseling services, leaders connected youth to other public agencies that provided these services. In addition to reducing program costs, the strategy can also help reduce the duplication of services in a community.

In a difficult economy, youth serving-organizations have turned to more complex forms of collaboration, including jointly administered programs and services. A small afterschool program, for example, may not have the resources to operate a full-day program during the summer, but it can pool staff and resources with other afterschool programs to do so. Youth programs have increasingly turned to intermediary and support organizations to help foster these collaborations (see Collaborating Through Support Networks).

Collaborating Through Support Networks

The Hampshire Education Collaborative is a nonprofit education service agency in Massachusetts dedicated to fostering educational excellence, opportunity, and growth for all learners. Leaders report a recent increase in collaboration among many of the youth programs and school districts the collaborative supports. For example, many of the small school districts supported by the collaborative lack the resources to apply for and manage federal grants. By pooling their resources through the collaborative, these school districts are able to jointly apply for and manage the reporting and professional development requirements of federal grants.

The Providence After School Alliance is an intermediary organization that supports afterschool programs in Providence, Rhode Island. Leaders say collaborative strategies have been integral to growing a system of support for afterschool providers that have faced a difficult funding environment for years. The alliance helps programs pool their resources and jointly provide services, such as full-day summer programs, that no one program could provide on its own. The alliance also helps programs collaborate on seeking grants and is able to jointly leverage additional resources, such as access to school district buses.

Sharing Administrative Costs

Another common purpose of partnerships for youth-serving organizations is to achieve economies of scale in carrying out back-office services and managing grant applications. Many youth-serving organizations lack the resources to pay a full-time chief financial officer or to apply for and manage a federal grant. However, through partnerships or consortiums, they can pool their resources and share the costs of these activities. Leaders at Family & Children's Service, which provides mental health and other community services to families in greater Minneapolis, Minnesota, identify partnerships in which they merged their back-office services with those of several other nonprofit organizations as integral to their organization's continued success (see Sharing Back-Office Costs).

Sharing Back-Office Costs: Family & Children's Service

In 2007, Family & Children's Service merged its administrative staff, including finance, human resources, and information technology staff, with staff from four other area human services organizations to form MACC CommonWealth. Since then, MACC CommonWealth has been providing back-office services to a growing number of area nonprofit organizations at a reduced cost. For example, MACC CommonWealth's joint purchasing power helped member organizations negotiate a common set of ancillary benefits that represented a 30 percent savings over what would have been achieved separately.*

Leaders at Family & Children's Service cite several other benefits of participating in MACC CommonWealth, including increased flexibility. The administrative services they receive—and, therefore, the price they pay—can easily grow or shrink according to the organization's needs. For example, program leaders note that with recent budget cuts they would not have been able to pay a full-time chief financial officer, as they had before the recession. MACC CommonWealth affords them access to a chief financial officer and other administrative staff on a part-time basis.

Note: *Nichole Wallace, "Joining Forces in the 'Back Office,'" *Chronicle of Philanthropy* (March 26, 2009).

Conclusion: Looking Back, Looking Forward

Although many project that the U.S. economy will continue to recover in 2010, if history is a guide, it will take several years for youth-serving organizations to completely recover from the effects of the downturn. Nonprofit organizations recovering from the 2001 recession continued to experience deficits well after the recession ended.[11] It was not until three years later, in 2004, that the percentage of nonprofit organizations experiencing deficits fell back to prerecession levels.

The strategies presented in this brief can help leaders of youth-serving organizations consider how best to finance and sustain their services in these difficult times. Organizations can proactively control their costs by identifying and protecting their core services and planning for contingencies. They can improve their capacity to generate revenues by engaging board members, using data to communicate the impact of their work, and considering program fees and social enterprise activities. Finally, forming and strengthening partnerships can help youth-serving organizations reduce their costs and access both monetary and in-kind resources critical for getting through tough periods.

The organizations highlighted in this brief addressed the challenges of a weak economy by acting proactively and strategically. Organizations acted proactively by planning or implementing new funding strategies and cost-cutting measures well before they felt the effects of funding cuts. They acted strategically by implementing measures that were aligned with their organization's goals and helped them maintain the quality of their services.

As youth-serving organizations continue to face new challenges, they may discover new strategies and opportunities. As this research shows, the necessity of responding to an economic downturn has spurred some youth-serving organizations to implement new strategies that will improve their ability to effectively deliver services to youth as the economy recovers.

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[11] Nonprofit Finance Fund, *Nonprofit Trends: The 2001 Economic Slowdown and its Aftermath* (New York, N.Y.: Nonprofit Finance Fund, February 13, 2008).

Appendix: Research Interview Participants

Audrey E. Warren, Executive Director, Jefferson Youth Foundation, Inc.

Cynthia Blue Davis, Director of Education and Youth Programming, Pentecost Baptist Church

Debbie Moellendorf, 4-H Youth Development Educator/Department Head, University of Wisconsin-Extension

Gregg Croteau, Executive Director, United Teen Equality Center

Gregory Rideout, Deputy Program Officer for Youth and Workforce Development, Henry Street Settlement

Hillary Salmons, Executive Director, Providence After School Alliance

Janice Bigelow, Chief Financial and Administrative Officer, Communities In Schools

Jason Ray, Vice President of Operations and Strategic Initiatives, Big Brothers Big Sisters of North Texas

Jeff Franco, Executive Director, City Year DC

Joan E. Schuman, Executive Director, Hampshire Educational Collaborative

Lori Kaplan, Executive Director, Latin American Youth Center

Mary Marx, Interim President and Chief Executive Officer, PACE Center for Girls, Inc.

Michelle Doucette Cunningham, Executive Director, Connecticut After School Network

Melissa Sawyer, Executive Director, Youth Empowerment Project

Molly Greenman, President and Chief Executive Officer, Family & Children's Service

Sue Meehan, National Director of Finance and Operations, Year Up

Tony Hopson, President and Chief Executive Officer, Self Enhancement, Inc.

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Acknowledgements

About The Finance Project

Helping leaders finance and sustain initiatives that lead to better futures for children, families, and communities.

The Finance Project is an independent nonprofit research, training, consulting, and technical assistance firm for public- and private-sector leaders nationwide. It specializes in helping leaders plan and implement financing and sustainability strategies for initiatives that benefit children, families, and communities. Through a broad array of tools, products, and services, The Finance Project helps leaders make smart investment decisions, develop sound financing strategies, and build solid partnerships. To learn more, visit http://www.financeproject.org.

Thinking Broadly:
Financing Strategies for Youth Programs

January 2007

The **FINANCE**
PROJECT

Foreword

Growing up today, youth face challenges and opportunities very different from those of past generations. Supporting the healthy growth and development of youth, as well as providing them with the services and experiences they need to mature into productive adults, are growing concerns in many communities. Pressure to raise student achievement, the need for safe and enriching environments for youth during out-of-school time, a focus on building the skills and competencies of young people, and an emphasis on preventing risky behaviors are all fueling the demand for quality youth programs. In many communities, however, leaders are challenged to find and coordinate adequate funding for youth programs and to access resources for program capacity and quality enhancements.

For youth programs to succeed, policymakers, program leaders, and intermediary organizations need resources and strategies to support quality programs over time. *Thinking Broadly: Financing Strategies for Youth Programs* is an important addition to The Finance Project's research on financing and sustaining supports and services for children, youth, and families. This strategy brief presents a typology of approaches for financing youth programs. It suggests general principles to guide the selection of financing strategies based on the complexities and unique aspects of youth programs. It also provides considerations to help state and local leaders develop financing plans that closely align with their program goals, available resources, and the political and economic environments in which they work.

This publication is part of a new series of products from The Finance Project. The series focuses on tools, strategies, and resources to support and sustain effective youth programs and policies. Each product will present options for financing and sustaining, or for governing and managing, youth initiatives. Each will illustrate these options with examples of initiatives and highlight considerations to help leaders weigh the alternatives. This body of work also includes an online clearinghouse of information and other resources for supporting and sustaining youth programs and policies. Our hope is that these products and the clearinghouse, in adding to The Finance Project's extensive resources on financing and sustaining promising initiatives for children, youth, and families, will prove useful to policymakers, program and community leaders, and others concerned with supporting vital youth initiatives.

Cheryl D. Hayes
Executive Director

Summary of Five Key Financing Strategies and

	Strategy 1	Strategy 2
	Making Better Use of Existing Resources	*Maximizing Public Revenue*
PROGRAMS	■ Operating more efficiently by cutting costs. ■ Maximizing volunteer contributions and enhancing access to people, services, and in-kind support. ■ Improving internal management systems by collecting and using data to guide decisionmaking.	■ Responding to grant announcements from public agencies. ■ Leveraging public funds by providing resources to meet matching or challenge grants.
INTERMEDIARIES	■ Implementing systems that enable programs to cut costs, such as purchasing pools. ■ Providing administrative support for data collection and analysis. ■ Administering grants by acting as a fiscal agent or helping funders pass grants through to programs. ■ Providing technical assistance to improve program operations and quality.	■ Identifying and monitoring potential funding sources for programs. ■ Providing grant-writing support. ■ Brokering relationships among potential partners and between programs and public officials. ■ Providing technical assistance on grants management and data collection. ■ Identifying opportunities to leverage funds by using existing community resources.
POLICYMAKERS	■ Reviewing polices and procedures to streamline processes for preparing grant applications, reporting, and evaluating programs. ■ Supporting intermediary organizations that build program capacity on management and quality issues. ■ Funding technical assistance and evaluations for programs to improve quality and ensure accountability.	■ Leveraging public dollars by ensuring that required matching funds are available. ■ Educating peers and other policymakers about ways various funds can support particular youth or particular services.

Approaches for Youth Programs

Strategy 3	Strategy 4	Strategy 5
Building Partnerships	*Creating More Flexibility in Existing Funding*	*Developing New Revenue*
■ Joining forces with other local providers that share common interests or that provide complementary services for youth. ■ Building public will by supporting advocacy and public engagement activities.	■ Providing information and ideas to policymakers to modify rules and regulations in order to improve the funding climate. ■ Supporting advocacy efforts for youth by joining local advocacy groups or commissions.	■ Pursuing fundraising activities to raise money from community members and bolster support for youth programs. ■ Charging user fees to help cover program costs. ■ Generating business income through the sale of products related to the work of the program or organization or generating revenue through unrelated business practices.
■ Convening partners to create a shared vision for youth in the community. ■ Providing leadership to support effective collaborations. ■ Convening potential partners to support joint grant-writing efforts. ■ Linking partners with funders interested in youth programs. ■ Providing and coordinating technical assistance that meets community needs.	■ Providing policymakers with funding ideas and innovations from other states and communities. ■ Convening meetings of policymakers and community providers to develop solutions to financing challenges.	■ Working with policymakers to develop new proposals for public funding. ■ Working with program leaders to organize community-wide events that benefit many programs. ■ Supporting advocates to ensure youth voices are represented in discussions on new funding opportunities.
■ Encouraging partnerships in proposal requests and through legislation and regulations. ■ Creating state-local planning groups to improve the coordination of resources for youth programs. ■ Creating a youth budget and funding resource mapping and supply and demand analyses to show the need for investments in youth programs.	■ Including youth programs in new funding by ensuring youth programs are qualified recipients for funds. ■ Pooling resources from several agencies to create a unified funding stream that reduces reporting and paperwork burdens. ■ Aligning program requirements to support more integrated service delivery. ■ Amending regulatory practices to expand eligibility or rules governing the use of particular funds.	■ Creating new public revenues through legislation and executive branch initiatives. ■ Supporting new ballot initiatives to increase revenues for youth programs. ■ Implementing fees on particular goods or services to generate revenues that can be used for youth programming. ■ Using other revenue sources, such as lottery and gaming proceeds and income tax checkoffs, to support youth programs.

THE Challenge

A PUBLICATION OF THE OFFICE OF SAFE AND DRUG-FREE SCHOOLS

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> *"Work on relationships. They will be some of the biggest deposits you make into your bank of sustainability."*
>
> —Terri Villa-McDowell,
> Program Coordinator,
> ABC Unified School District,
> Cerritos, Calif.

Contents

Program Sustainability in Challenging Economic Times

Program administrators and educators returning for the 2009–10 school year did so during one of the harshest fiscal climates in almost 30 years. Budget cuts to K–12 education were announced across the country last summer, forcing difficult decisions impacting everything from class size to bus routes. Public schools in the United States are indeed operating in changing and challenging times.

Though economic recovery may take several years, violence prevention and other safety intervention programs continue to play a vital role in our schools. Support for this work still exists. Each year, the Office of Safe and Drug-Free Schools (OSDFS) awards millions of dollars in financial assistance to education agencies and other organizations to implement programs and activities that promote student safety, health, and well-being. This funding is provided through grant programs with the expectation that grantees will develop and implement strategies to sustain their efforts when the federal funding period ends.

Some grant-funded projects have relied solely on these and other federal dollars to implement their programs. Too frequently, when the federal funding ends, the activities funded under the grant or project end also. In an economic recession and challenging state and local fiscal climates, sustaining project activities becomes even more difficult than usual.

The tried and true approach of "seeking other sources of funding"—from foundations and corporations—presents its own set of challenges. Because they also face shrinking investment earnings and revenue, competition for their funding has become tough. One bright spot, however, is that despite an almost 30 percent decline in foundation endowments, foundations are continuing to provide financial assistance for education and other community service initiatives according to the Council on Foundations' 2009 report *Foundations Respond to the Needs of Families Even as Their Assets Have Declined.*

In these challenging times comes the need for new approaches to sustaining effective activities once federal funding has ended. This may mean eliminating activities that are no longer relevant, communicating in a different way, and seeking resources from sources never before tapped.

This issue of *The Challenge* will focus on "sustainability," the ability to develop and execute a strategic plan for securing the support needed to continue the realization of project goals and objectives. We will discuss lessons learned and best practices as suggested by OSDFS grantees who are making great strides in sustainability despite the challenges of the current economic and funding climate. We will also share resources, research, and tips on sustainability.

Lessons in Communications For Tough Economic Times

- **Use data to make your point.**
- **Access your audience in multiple ways.**
- **Target the needs of your audience with the appropriate communications tool.**
- **Let your stakeholders experience the program.**
- **Find champions at all levels (school, district, parents, and community).**
- **Engage champions who can motivate others.**
- **Use ongoing communications strategies to keep stakeholders involved.**

—Nora Carr, Chief of Staff, Guilford County Schools, Greensboro, N.C.

OSDFS Grantees and Partners Share Insights on Sustainability

The Challenge recently interviewed several current and past directors of projects (listed on Page 8) that received funding under five different OSDFS grant programs. The goal was to glean lessons and ideas that help answer the question, "What can we do to keep our efforts going?" The programs represented in this article—and, in fact, throughout this issue—include:

• **Safe Schools/Healthy Students Initiative (SS/HS)**—A collaborative program funded not only by the Department of Education's OSDFS but also by the U.S. departments of Justice and Health and Human Services. SS/HS supports the development of community-wide approaches to creating safe and drug-free schools and promoting healthy childhood development through enhanced school and community-based services.

• **Readiness and Emergency Management for Schools (REMS) Program**—Supports local school districts in their efforts to create, strengthen, and improve emergency management plans at the district and school-building levels in the four phases of emergency management: prevention/mitigation, preparedness, response, and recovery.

• **Mentoring Programs**—Supports school-based mentoring programs and activities that serve children in grades 4 through 8 who live in rural areas, high-crime areas, or troubled-home environments, and/or who attend schools with violence problems.

• **Grants to Reduce Alcohol Abuse (GRAA)**—Assists local school districts in the development and implementation of innovative and effective alcohol abuse prevention programs for secondary school students.

• **Partnerships in Character Education**—Supports the design and implementation of character education programs that can be integrated into classroom instruction, are consistent with state academic content standards, and can be carried out in conjunction with other education reform efforts.

Those interviewed were asked to respond to questions about their original sustainability plans and how they evolved; to reflect on lessons learned about sustainability; to share what worked (and did not work); and to suggest what they might do differently. They were also asked to provide recommendations for new grantees.

Because of the differing nature and requirements of the five programs, some responses were specific to particular grant programs, while others were universal to planning, implementing, and sustaining projects. All of those interviewed emphasized the importance of collaboration and relationships between schools and key community organizations.

As acknowledged by several of the project directors, many schools, districts, and agencies that write and submit grant applications put the least amount of effort into the area of sustainability planning. Some described their initial plans as vague, nondescript, even nonexistent. Others described initial plans that were well developed and included:

• **identifying other potential funding sources,**

• **integrating model programming components into the existing school curriculum,**

• **seeking partners willing to include program costs in their budgets,**

• **reducing grant staff when needed, and/or**

• **charging a fee for services provided.**

While many projects began without sustainability plans or with plans that were inadequate, most learned through experience how to sustain high-quality and effective programs in challenging economic times. Below are examples of survival skills acquired by some of our most successful grantees.

• **Make sure the district's needs match the absolute priority of the goals of the grant. Do not adjust the district's needs to meet the requirements of the grant.** Determine how the funding being requested fits into the long-range vision of the school or community. Enlist help from stakeholders to determine whether the commitment, the willingness to work together, as well as the staffing and the resources can be put in place to implement the program.

• **Make the grant part of the bigger picture and plan.** Embed the project goals and objectives into the district's overall mission to create safe and drug-free schools, ensure the health and well-being of students, and/or promote the development of good character and citizenship. Use the grant funding to create a catalyst to ongoing effectiveness, rather

One District's Approach to Writing a Sustainability Plan

"Rather than utilize the traditional approach of designing a short-term intervention program to address a need and then doom the long-term impact of the program with a sustainability plan that includes the phrase 'seek additional funding through other federal, state, and local grant opportunities,' the school district seeks to make a system change."

—Adam Valencia, Project Director, Tulare County Office of Education, Tulare, Calif.

The district developed its Push In, Phase Out© model for sustainability (with assistance from its external evaluator), using its initial three-year funding to create this catalyst to an ongoing impact, rather than striving for just a three-year impact while federal funding was present.

(Read more about the Push In, Phase Out© approach on the facing page.)

than just a three- or five-year impact while federal funding is available.

• **Begin working on sustainability on day one**. Make it a top priority of the project and weave it into every successful grant activity. Ask the question, "How will we do this next year and the year after that?" Imagine what the project will look like the day after the grant funding concludes and work to achieve that goal.

• **Cultivate a strong leadership style that encourages input from the beginning**. Listen to staff and to the community. Talk with them about the problems students are facing and prioritize the goals they want to work toward. Be committed and consistent in inviting their input.

• **Recognize the importance of evaluation tools that provide ongoing qualitative and quantitative data**. Establish ongoing assessment of the program and provide feedback to the school district and its partners on how well the project is meeting its goals and objectives and improving outcomes for children and youths. Learn how to look at what is most important—for those being served, those providing services, the school district, and the community—and

evaluate accordingly. Create a system of data collection, record-keeping, and reporting for those indicators important to each of the partnering agencies and organizations.

• **Employ effective communication strategies**. Draw on public relations and marketing research in planning how to get the message out and thereby build a strong base of key stakeholders. Use data that provides evidence the program works and use a person who can motivate others to share this message in multiple ways. Written communication, mass media, and one-on-one meetings—all play a part in a strategic communication plan.

• **Build capacity through developing relationships**. Include the faith-based community, business sector, education institutions, law enforcement agencies, and community-based organizations; align existing school and community goals. When organizations share a vision of serving children and youths, relationships endure and resources are maximized.

• **Be flexible and respect the different cultures and ways of doing business of the various institutions, organizations, and agencies involved**. Establish clear communication

protocols and procedures that meet the needs of partnering agencies. Identify clear roles and responsibilities among partnering individuals and agencies.

• **Invest in staff-training and in building internal capacity**. Be mindful of best practices and evolving school and community needs and be willing to modify procedures when needed in order to make use of new knowledge and respond to changing conditions.

• **Take an active role in policy planning**. Seek representation on relevant committees and boards of the district and other partnering agencies and learn to work within their administrative layers. You can thereby stimulate conversations about the value of your program in relation to policy development. For example, use events (such as weather emergencies that force school closures, school or community violence, or virus outbreaks) as opportunities to discuss how partnering agencies could strengthen current policies and procedures by incorporating aspects of your program.

• **Think strategically about what program components should be sustained**. Be flexible. Not all components of an initiative or program will continue—or should continue. Sustain only those components that are having a positive impact.

Gina Kahn, the risk prevention services coordinator of the Hampden-Wilbraham Regional School District in Massachusetts, summarized her views on sustainability as follows:

"Beginning with the end in mind means making sustainability the target instead of the by-product. Seek all opportunities to plant the key project elements securely into operational procedures. Use the momentum and energy of the grant project to generate meaningful changes in policy, as policy will drive expectations and behaviors when the grant funds are a dim memory. Sustainability is achieved [when] an element or priority becomes so deeply established that it is not only visible at the surface but contained within the core of the organization."

More Lessons Learned

In interviewing grantees about sustainability, *Challenge* staff also asked them to describe what they would do differently if they could start over. Here are a few of their responses:

• Start working on sustainability earlier.

• Request ongoing technical assistance (TA) if available through the grant program.

• Value the need for good data and evaluation from the beginning.

• Sign up for a class in basic business and financial management.

• Set up and maintain effective record-keeping systems.

• Establish problem-solving protocols early to facilitate the resolution of disagreements and conflicts that might arise among the partners.

Sustainability Recommendations for Grantees

Seek Advice

• Reach out. Talk to others who have conducted similar projects.

• Find a mentor. Ask questions.

• Ask for help from technical assistance (TA) providers, the program officer at the funding organization, and others.

• Communicate with the program officer at the funding organization. Respond quickly to inquiries and requests.

Monitor Progress Closely

• Keep sight of the original goals as stated in the grant proposal.

• Develop a sustainability plan at the beginning of the project and make it an action plan, not a vague statement. Report regularly on steps taken.

• Continually self-assess your progress toward sustainability.

Follow Good Business Practices

• Establish an ongoing training program to ensure the availability of trained staff at all times, even when some staff leave the project.

• Be aware of the ever-changing political and economic climate throughout the life of the funding. Be flexible and prepared to make adjustments as leaders and personalities change or as community and other statewide events take precedence. Maintain the integrity of the initiative while being responsive to changes in the needs and concerns of stakeholders.

• Hire cautiously and selectively. Consider employee skill sets required to make the project successful.

Connect With The Community

• Identify and maximize use of the community's resources.

• Always provide quality services.

• Network and collaborate using a five-pronged approach to partnerships, reaching out to the faith-based community, business sector, education institutions, law enforcement agencies, and community-based organizations.

Foster Open Communications

• Promote buy-in from educators and other stakeholders.

• Get a global picture by seeking to understand why specific partners are at the table and what information and outcomes are important to them.

• Establish clear communications procedures and protocols.

• Encourage input from those with diverse perspectives.

# Legacy Wheel–A Legacy for Sustainability

The National Center for Mental Health Promotion and Youth Violence Prevention offers a comprehensive overview of sustainability with its Legacy Wheel.

The Legacy Wheel provides a framework for developing a sustainability work plan. It is a tool that enables the user to explore six different strategies to maintain and enhance the positive components of a mental health promotion or youth violence prevention program, regardless of additional funding. Those strategies are:

- **Leadership for change,**
- **Partnership and collaboration,**
- **Implementation,**
- **Communications and marketing,**
- **Evaluation, and**
- **Financing.**

You can access the Legacy Wheel at http://sshs.promoteprevent.org/implementing/ sustainability/legacy-wheel. Go to the FLASH version and click within the wheel to find information about each of the six strategies and links to related resources. Click on the outer wheel to find answers to frequently asked questions about sustainability, definitions, tools and models to help create a sustainability plan, and guidance on self-assessment.

In developing the Legacy Wheel, the center culled the experience and expertise of grantees nationwide who have been successful in their sustainability efforts.
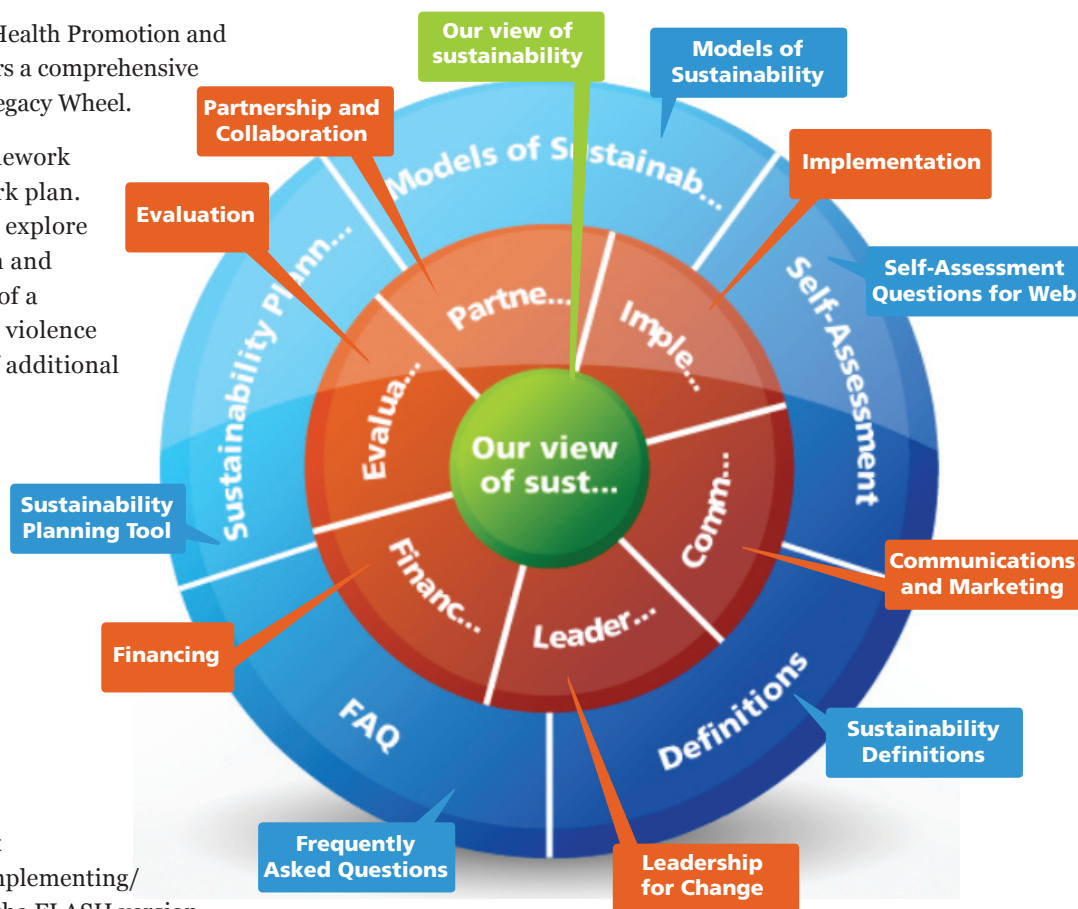
Reprinted with permission from the National Center for Mental Health Promotion and Youth Violence Prevention

The National Center for Mental Health Promotion and Youth Violence Prevention provides TA and training to the Safe Schools/Healthy Students Initiative, which is funded by the Substance Abuse and Mental Health Services Administration of the U.S. Department of Health and Human Services, the Office of Safe and Drug-Free Schools of the U.S. Department of Education, and the Office of Juvenile Justice and Delinquency Prevention of the U.S. Department of Justice.

News From OSDFS and the Field

Kevin Jennings Appointed Assistant Deputy Secretary for Safe and Drug-Free Schools

Kevin Jennings was recently appointed assistant deputy secretary to head OSDFS. He brings to this role over two decades of experience as a writer, teacher and leader in the field of K–12 education and civil rights. Jennings was a history teacher at Moses Brown School in Providence, R.I., from 1985 to 1987. He then served as History Department chair and a history teacher at Concord Academy in Concord, Mass., until 1995. Jennings is also the founder and former executive director of the Gay, Lesbian, and Straight Education Network, an organization that works to make schools safe for all students, regardless of sexual orientation or gender identity. He has authored six books including *Mama's Boy, Preacher's Son: A Memoir*, which was named a 2007 Book of Honor by the American Library Association, and *Telling Tales Out of School: Gays, Lesbians, and Bisexuals Revisit Their School Days*, which was the winner of the 1998 Lambda Literary Award. Jennings received a bachelor's degree in history from Harvard University in 1985, a master's degree in interdisciplinary studies in education from the Columbia University Teachers College in 1994, and an M.B.A. from New York University's Stern School of Business in 1999.

OSDFS Fiscal Year (FY) 2009 Discretionary Grant Awards

The OSDFS awarded grants in FY 2009 under the following initiatives and programs: Carol M. White Physical Education Program; Safe Schools/Healthy Students Initiative; Readiness and Emergency Management for Schools Grant Program; Emergency Management for Higher Education; Elementary and Secondary School Counseling Program; Grants to Reduce Alcohol Abuse; Grants to Prevent High-Risk Drinking and Violent Behavior Among College Students; Grants for the Integration of Schools and Mental Health Systems; Models of Exemplary, Effective and Promising Alcohol or Other Drug Prevention Programs on College Campuses; Foundations for Learning Grants; and Programs for Native Hawaiians. For more information on the grant programs and funded projects, go to http://www.ed.gov/osdfs.

OSDFS National Conference Held August 3-5, 2009

The Office of Safe and Drug-Free Schools (OSDFS) National Conference was held August 3-5, 2009, at the Gaylord National Resort and Convention Center in National Harbor, Md. Its theme was "The Power of Change: Healthy Students, Safe Schools, and Engaged Communities." The conference will be the focus of the next issue of *The Challenge* newsletter. Conference workshop and institute presentation materials are currently available online at http://www.osdfsnationalconference.com.

Redesigned Web Site From the Stop Bullying Now! Campaign

The recently updated Stop Bullying Now! Web site features a streamlined home page with information designed for both adults and children. The content for adults includes resources about bullying awareness, prevention, and intervention. The content for children is designed to help them learn about bullying and how to stop it. It includes tips, games, and engaging webisodes starring colorful animated characters whose exploits can be used to educate and initiate discussions about bullying. Visit the site at http://www.stopbullyingnow.hrsa.gov/kids.

Update on the H1N1 Influenza From the U.S. Department of Education

Since H1N1 emerged in the early spring, we have learned a lot about who is most at risk for serious complications, how the disease spreads, and how sick most people get. The Centers for Disease Control and Prevention have published guidance for education settings, from early childhood through higher education, which can be found at http://www.cdc.gov/h1n1flu/statelocal. Most of the recommendations for the current situation focus on common-sense measures we can all take each flu season: cover coughs and sneezes, wash hands frequently, and stay home if you are sick. The U.S. Department of Education has supplemented these recommendations with guidance on how to protect the health and safety of students while ensuring the continuity of education and learning. ED's guidance can be found at http://www.ed.gov/h1n1flu.

OSDFS Prevention News Bulletin

If you would like weekly e-mail updates on OSDFS programs, as well as other information related to school safety, substance abuse and violence prevention in schools, and the promotion of student health and well-being, you may be interested in subscribing to the OSDFS PREVENTION NEWS BULLETIN. Subscription information is at: http://www.ed.gov/news/newsletters/listserv/preventioned.html. ⋙⋙

Research Findings

"National New Communities Program Sustainability Study: Sustainability Factors and Partnerships"

Lydia Marek and Jay Mancini

Virginia Polytechnic Institute and State University, 2007

This ongoing research on sustainability began in 1996 using data from Cooperative Extension programs. Researchers originally looked at 92 community-based programs funded by the Cooperative State Research Education and Extension Services (CSREES) through the National Children, Youth and Families at Risk (CYFAR) Initiative. Using these data and informed by existing literature on sustainability and surveys of program professionals, the team developed a conceptual framework for sustainability, which was published in 2004.

This most recent study examined 13 of 14 state CSREES/USDA New Communities programs one and two years after funding ended to identify the presence of the framework factors within the program, especially that of partnership and collaboration.

Available at
http://ag.arizona.edu/sfcs/cyfernet/evaluation/NCP_2007_final.pdf.

"Predictors and Level of Sustainability of Community Prevention Coalitions"

Mark Feinberg, Daniel Bontempo, and Mark Greenberg
American Journal of Preventive Medicine 34, no. 6
(June 2008): 495-501

This article describes an analysis of data on the level of and predictors of sustainability in more than 100 Communities That Care (CTC) sites in Pennsylvania. The CTC model calls for a community-coalition approach, using best practices to achieve a positive impact on the problem behaviors of adolescents (e.g., violence, substance use, teen pregnancy). Local CTC board members attend intensive training, assess community risk factors, and choose and implement evidence-based programs to reduce risk and increase protective factors for adolescents.

Findings indicate that 90 percent of CTC coalitions in Pennsylvania continued operations after the initial three-year grant funding and about two thirds were still operating four years later. The authors discuss factors that predict sustainability, including coalition functioning and planning for sustainability.

Abstract available at http://www.ajpm-online.net/article/S0749-3797(08)00237-7/abstract.

Resources

Sustaining Your Prevention Initiative

Office of Safe and Drug-Free Schools, U.S. Department of Education

This five-day, facilitated online workshop is made available to provide drug prevention and school safety coordinators with in-depth information and materials for institutionalizing program activities. Upon completion, participants should be able to

- Define sustainability and the benefits of sustaining program activities over time;
- Identify and review key factors and strategies for sustaining prevention programs;
- Build the school and community support needed to sustain program activities;
- Use data to create a "snapshot" of current activities, evaluate program success, determine future directions, and secure future funding;
- Integrate drug prevention and other safety activities into school reform efforts to ensure program sustainability; and
- Locate funding sources.

Visit the site at http://www.ed.gov/admins/lead/safety/training/sustaining/index.html.

The Finance Project

This non-profit organization provides research, consulting, TA, and training for public and private sector leaders nationwide. Its services are designed to help leaders make smart investment decisions, develop sound financing strategies, and build solid partnerships that benefit children, families, and communities.

The resources include a guide to finding funding and a special section—the Sustainability Planning Information Resource Center—designed to enable initiatives engaged in sustainability planning to connect to helpful resources for completing each step of the process.

Check these materials at http://www.financeproject.org.

The Community Toolbox

Workgroup for Community Health and Development University of Kansas

This Web site promotes community health and development by connecting interested people to ideas and resources. It provides how-to information on generating, managing and sustaining financial resources, as well as marketing for long-term sustainability. It also includes a troubleshooting guide, examples of programs that have successfully achieved sustainability, and links to other valuable resources.

Visit the site at http://www.ctb.ku.edu/en.

Center for Mental Health in Schools–UCLA

Supported in part by the Office of Adolescent Health, Maternal and Child Health Bureau of the Health Resources and Services Administration, U.S. Department of Health and Human Services

The center's mission is to improve outcomes for young people by promoting resources for enhancing mental health in schools. Resources on sustainability include research articles, reports, training tutorials, and links to other relevant information available on the Internet. The center developed the *Sustaining School and Community Efforts to Enhance Outcomes for Children and Youth: A Guidebook and Tool Kit*, which is available free at http://smhp.psych.ucla.edu/pdfdocs/sustaining.pdf.

The center's Web site is: http://smhp.psych.ucla.edu.

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Acknowledgments

To ensure the articles in the newsletter meet your needs, the writing staff welcomes your feedback. Please take a few minutes to complete the survey found on *The Challenge* Web site— it's confidential and will help ensure that the most pertinent information is provided.

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Thank you for helping us keep our mailing list up-to-date. If you are receiving multiple or unwanted copies of *The Challenge* please contact us.

CLASSIFICATION	OPPORTUNITY DESCRIPTION	FUNDER-LINK	DUE DATE	ELIGIBILITY	FUNDING	SOURCE
After School and Summer Enrichment	The Children, Families, and Communities Program seeks to ensure opportunities for all children to reach their potential. Emphasis is placed on supporting programs that serve middle school students.	Packard Foundation http://www.packard.org/cat egoryDetails.aspx?RootCat ID=3&CategoryID=276	Open	Nonprofits, school-site or community space location; Also offer a funding program targeted to state funded after school programs in selected communities . See website.	Direct serv ices; Amount Varies	Website
After School Education & Mentoring	Bank of America supports K-12 education, after school, mentoring programs and family support programs, but each California county has different focus areas. There are generally no deadlines. Online application. The Bank also offers a matching gift program.	Bank of America Corporate Philanthropy http://www.bankofamerica. com/foundation/index.cfm?t emplate=overview	Open	Nonprofits in areas where they do business	Programs and services; amount varies	Website
After School Education and Safety Universal (ASES)	These programs are created through partnerships between schools and local community resources to provide literacy, academic enrichment and safe, constructive alternatives for students in K-9th grade. Funding designed to maintain existing before and after school programs .	CA Dept of Education	6/30/11	LEAs, Non-profits can apply, but LEA must act as fiscal agent	$112,500 for elem $150,000 for middle school	
Evaluation	Youth Program Evaluation Grants are designed to fund the evaluation of innovative youth programs or services with the purpose of identifying which programs and services are most effective.	Ruddie Memorial Youth Foundation http://www.rmyf.org/	7/28/10	San Francisco nonprofits w/budget less than $5 million	$5,000 to $25,000	Philanthropy News Digest-RFP (www.fndcenter.org/pnd/rfp)

1 | C.A.R.S.—*prepared by Blue Lotus Consulting & Training*

Category	Description	Organization / URL	Deadline	Eligibility	Amount	Website
Evaluation Govt. Grant-NIH	Reducing Risk Behaviors By Promoting Positive Youth Development (R03) PA-08-242 Research Project Small (R03) Grant applications from institutions/ organizations that propose to enhance our understanding of effective positive youth development programs and the mechanisms responsible for positive health and developmental outcomes. The R03 small grant mechanism is intended to support small scale research projects that can be carried out in two years or less with limited resources.	National Institutes of Health http://grants.nih.gov/grants/guide/pa-files/PA-08-242.html	9/7/11	Govt/School Districts/Higher Ed/501 c3/Other	Varies	www.grants.gov
Evaluation Govt. Grant-NIH	Reducing Risk Behaviors By Promoting Positive Youth Development (R03) PA-08-241 Research Project Grant (R01) applications from institutions/ organizations that propose to enhance our understanding of effective positive youth development programs and the mechanisms responsible for positive health and developmental outcomes	National Institutes of Health http://grants.nih.gov/grants/guide/pa-files/PA-08-241.html	9/7/11	Govt/School Districts/Higher Ed/501 c3/Other	Varies	www.grants.gov
Education	Online application process, use the Eligibility Quiz before applying. Also can apply for volunteers and non-cash resources.	Verizon Foundation http://foundation.verizon.com/grant/guidelines.shtml	Jan 1 thru Oct 31	Nonprofits, schools, churches	$5,000 to $10,000	www.fundsnetservices.com
Education, Social Services	Funding for the poor and disadvantaged as well as education, environment and arts. LOI first step. This is a fairly new foundation.	J.W. & H.M. Goodman Foundation http://www.goodmanfamilyfoundation.org/index.html	Jan and June Ddlines Check both	San Francisco Bay Area Nonprofits		www.fundsnetservices.com
Education, Health, Underserved	Primarily capital and equipment, supplies; operational support to some agencies. Prefer one time, limited need requests, begin with LOI	Ahmanson Foundation http://www.theahmansonfoundation.org/	Open	Los Angeles County Nonprofits		www.fundsnetservices.com
Education, Health, Underserved-children & youth	Large grants for core support, capital, capacity building and program. Small grant program for small, developing agencies. Financial documentation needed to apply. Check website for more information	Weingart Foundation http://www.weingartfnd.org/default.asp?PID=5	Open	Southern CA counties; 501 c3	Varies-one to two years	www.weingartfnd.org

Education, Health, Social Services	Funding for agencies increasing the quality of life for SF Bay Area children through education, health care & social enrichment programs.	The Harbor Point Charitable Foundation http://www.hpcharitablefoundation.org/grants.html	10/1/10	San Francisco Bay Area Nonprofits		www.fundsnetservices.com
Education, Health, Social Services	Funding for programs in low- and moderate-income communities serving at-risk kids (and families) in education, health services, mentoring, crisis, shelters. Submit LOI first stage, full proposal only on invitation	Cathay Bank Foundation http://www.cathaybank.org/Focus.asp	Open	California-where banks are located; nonprofits	$1,000-$10,000	www.grantstation.com
Children and youth; mental illness	Programs and projects directed to children and youth; goal is to change life situations of young people to help them grow into healthy, responsible adults. Prefer programs that provide preventive options, rather than enrichment experiences.	The June & Julian Foss Foundation http://www.fossfoundation.org/	Apply 11/1/10-1/14/11 only	SF Bay Area Nonprofits	3,000-$8,000	www.fundsnetservices.com
Children/Youth Health/Wellness	Funding organizations that support families, children, animals, and the environment, including the donation of thousands of stuffed animals to comfort children in need. Grant applications can be submitted through the Build-A-Bear Workshop Bear Hugs Foundation and the Build-A-Bear Workshop Foundation	Build-A-Bear Workshop, Inc http://www.buildabear.com/aboutus/community/grants/	Apply after March 2 and fund on a rolling basis	Nonprofits	$1,000 to $10,000; $1,500 avg; Operational costs, start-up, one-time purchases	Philanthropy News Digest: RFP (www.fndcenter.org/pnd/rfp)
Mentoring	Mentoring Children of Prisoners (MCP) program. This program supports the creation and maintenance of one-on-one mentoring relationships between children of incarcerated parents and caring, supportive adult volunteer mentors. Funding Oppty #: HHS-2010-ACF-ACYF-CV-0070	Administration on Children, Youth, & Families http://www.acf.hhs.gov/grants/open/foa/view/HHS-2010-ACF-ACYF-CV-0070/html	7/30/10	All	$270,000 avg up to $1 million	Dept. HHH Administration for Children, Youth and Families www.acf.hhs.gov

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(USE DEADLINE DATES AS POSSIBLE RE-APPLICATION PERIODS FOR NEXT FISCAL YEAR)

CLASSIFICATION	OPPORTUNITY DESCRIPTION	FUNDER-LINK	DUE DATE	ELIGIBILITY	FUNDING	SOURCE
Evaluation Girls Delinquency Programs	Funding to document and measure the effectiveness of delinquency prevention, intervention, and/or treatment programs in preventing and reducing girls' risk behavior and offending.	DOJ/OJP/OJJDP http://ojjdp.ncjrs.gov/grants/ solicitations/FY2010/EvalGi rlsDelinquency.pdf	7/8/10	Public/state/local govt./Nonprofit/ Private/Higher Educ		www.grants.gov
Children/Health/ Athletics/Fitness	Programs focusing on physical activity and nutrition education for the entire family in the states of California, New York, and Texas. (Applicants must insert the following invitation code on the login screen: AHL0610NA.)	Coca-Cola Foundation http://www.thecoca-colacompany.com/citizensh ip/application_guidelines.ht ml	7/15/10	Nonprofits in New York, California and Texas	$10,000 to $25,000 to expand or support existing programs	Philanthropy News Digest: RFP (www.fndcenter.org/pnd/rf p)
Health & Wellness	Support for Healthy Lifestyle Programs Targeting Youth: The Healthy Living Grant Program, an initiative of the AMA Foundation, supports grassroots public health projects that encourage healthy lifestyles in communities across the nation. Grants awarded in the following categories: Nutrition/Physical Fitness; Alcohol, Substance Abuse and Smoking Prevention; and Violence Prevention. Funded projects should target underserved and/or at-risk youth between the ages of 2-21.	AMA Foundation: Healthy Living Grant Program www.ama-assoc.org	7/15/10	Grassroot, nonprofits that have been in existence for at least one year; an annual operating budget of $500,000 or less are eligible to apply.	Up to $5,000	Grantstation Insider