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Author(s): Caterina Gouvis Roman ; Susan Jenkins ; Ashley Wolff

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Understanding Community Justice Partnerships: Testing a Conceptual Framework and Foundations for Measurement

Abstract

Community justice partnerships are complex and fluid entities that vary across a wide range of aspects, such as partnership function and activities, agency and organizational involvement, community mobilization, and overall community context. The complexity of and variation across partnerships hampers systematic assessment and rigorous evaluation. This study seeks to explore and develop methods to better understand the functioning of community justice partnerships, and in turn, facilitate measurement and evaluation. The study examines the factors that facilitate and strengthen the ability of community organizations to participate in community justice partnerships, and explores how these factors at the organizational level relate to the ability of partnerships to achieve their stated mission and objectives.

More specifically, the goals of the research were to: (1) collect data on effective partnerships across partnership types that can be used to develop a conceptual framework of partnership functioning and outcomes, (2) develop testable hypotheses to guide future investigations of community justice partnerships, and (3) convene a panel of experts to review the conceptual framework and hypotheses, and (4) identify performance measures and/or useful instruments for monitoring and evaluating partnership development, implementation, and outcomes.

This report summarizes the findings from the study, presents a detailed conceptual framework for assessing and evaluating partnerships, and discusses techniques and tools for measurement of framework components. The framework can be used to guide outcomes so that they are realistically based on the resources at hand and scope of objectives. The framework enables articulation of process (i.e., immediate), intermediate, and end outcomes, as well as articulation of outcomes at multiple levels of change (i.e., individual, systems/partnership, community). The conceptual framework could move us closer to answering "what works?" and more importantly, "under what conditions?"

Acknowledgments

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Understanding Community Justice Partnerships: Testing a Conceptual Framework and Foundations for Measurement

CHAPTER 1: Introduction

Within the last decade the concept of community justice has come to the forefront of crime prevention. Community justice is a participatory process in which stakeholders join in collective problem solving with the goals of improving community safety, promoting community capacity for collective action, and healing the harms imposed by crime. These collective initiatives commonly take the form of partnerships. Community justice partnerships across the nation have proliferated as new and innovative models aimed at community crime prevention have been developed.

Expectations for community justice partnerships are high. Crime prevention collaborations with the community have received widespread support by numerous foundations, the federal government, and local governments seeking ways in which to reduce crime and violence while improving the quality of life in neighborhoods. Recent research has shown that these partnerships can have very significant impacts on communities. Successes from a small handful of partnerships and programs across the country demonstrate that these partnerships are worthy of serious study:

- In a wide-scale, multi-community evaluation of Chicago's Alternative Policing Strategy (CAPS), Skogan and colleagues found that Chicago's policing partnership significantly reduced major crimes, gang and drug crime, and physical decay when compared to nonexperimental areas in Chicago (Skogan, et al. 1999).
- In a multi-city evaluation of the federally-funded Comprehensive Communities Program (CCP), researchers found reductions in violent crime in several of the targeted neighborhoods, as well as strong evidence demonstrating increases in quality of life for neighborhood residents (Bureau of Justice Assistance 2001). Roth

and Kelling (2004: 58) report that, in Baltimore's CCP site, "beyond question, Baltimore's CCP has succeeded in expanding and improving the mechanisms through which residents of high-crime neighborhoods can mobilize resources to improve their quality of life. It has succeeded in developing those neighborhoods' capacities to organize themselves and to direct those resources wisely. On the basis of informal observation during site visits, the program succeeded in reducing signs of social disorder and physical decay in some very stressed neighborhoods. It has succeeded, to the extent that one could reasonably expect at this time, in institutionalizing itself both financially and organizationally into Baltimore life."

▪ During the period between 1996 and 2000, thirty-six Maryland neighborhoods participating in the Maryland HotSpots Communities Initiative demonstrated violent crime reductions 22 percent greater than the rest of Maryland (Woods, Sherman, and Roth 2002). The initiative, a state-funded program, targeted high crime communities to develop comprehensive crime reduction activities that included community agencies, residents, and a wide range of criminal justice agencies.

▪ A 48-community study of the U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration (SAMHSA)'s Center for Substance Abuse Prevention's Community Partnership Program, found statistically significant reductions in regular substance use by males in a randomly selected group of 24 drug use prevention partnerships. For the partnership communities, male substance use rates were lower at follow-up, relative to the comparison communities—usually by about 3 percent—on five out of the six outcome measures of regular use (i.e., reported alcohol and illicit drug use during the past month). The partnership program, authorized under the Anti-Drug Abuse Act of 1988 (P.L. 1900-690), funded 251 community partnerships from 1990-1996. The main purpose of the program was to decrease substance abuse by improving conditions in the community environment (Yin, Kaftarian, Yu, and Jansen 1997).

▪ An Evaluation of the Office of Juvenile Justice and Delinquency Prevention (OJJDP)-funded Comprehensive Gang Model programs in five sites (Bloomington-Normal, Illinois; San Antonio, Texas; Mesa, Arizona; Tucson, Arizona; and Riverside, California) found positive results for two of the sites—Riverside and Mesa.[1] The Comprehensive Gang Model, also known as the "Spergel Model" after the program's designer—Dr. Irving Spergel, is a five-pronged (suppression, social intervention, opportunities, community mobilization, and organizational change) partnership initiative targeted to prevent gang activity and associated violence. In Riverside and Mesa, program youth had a greater reduction in arrests and self-reported offenses than comparison youth, demonstrated through statistical models that controlled for differences between the program and comparison groups (Spergel, Wa, and Sosa 2002; Spergel, Wa, and Sosa 2003). These patterns held true for program youth regardless of whether or not they were involved with gangs,

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[1] The program in Mesa, Arizona is one of the "successful" partnerships selected for study as part of this report. More information on the partnership can be found throughout the report.

suggesting that the program was effective for delinquent youth in general, and not only gang-involved youth. In Mesa, the total incidence of youth-associated crimes (violence, property crimes, drug crime, and status offenses) declined 10 percent more in the program area than in the average of three comparison areas. Local leaders and agency staff in Riverside perceived significant reductions in gang violence and progress in providing social opportunities for youth in the program area, although they reported less progress in reducing the gang drug problem (Spergel et al. 2002 2003). The programs in Tucson, Bloomington, and San Antonio, on the other hand, saw no statistically significant differences between program and comparison youth in arrests or self-reported offenses.

- The U.S. Department of Justice (DOJ)-funded Strategic Approaches to Community Safety Initiative (SACSI) witnessed successes in a number of sites. Nine of ten SACSI sites targeted homicide and other violent crimes, with an emphasis on those involving firearms. The national evaluation found that when the SACSI approach was implemented strongly, it is associated with reductions in targeted violent crime in the community, sometimes as much as 50 percent (Roehl et al. 2005). In St. Louis, for instance, the SACSI program demonstrated substantial declines in homicides and gun assaults in the targeted neighborhood compared to overall city wide levels, as well as compared to contiguous and control neighborhoods (Decker et al. 2005).

Although there have been successes, many partnerships fail to achieve the goals set for themselves. These goals are wide, ranging from reductions in crime and increases in quality of life, to increases in community capacity such as the ability to sustain long-term crime prevention partnerships. To date, we know little about why a host of community justice initiatives have failed—and we only have a nascent understanding of what works. Evaluations of community justice partnerships are few, but the literature on "best practices" for programming grows daily.

Within recent years, research on the Strategic Approaches to Community Safety Initiatives (SACSI) has emerged to stress the importance of documenting the quality the partnership efforts (Coldren et al. 2002; Decker et al. 2005; Hartstone and Richetelli 2003; Roehl et al. 2005). The national evaluation team made assessing partnership quality and functioning a key element of their evaluation. The research findings derived from the evaluation demonstrate the importance of understanding why and how partner members come together and function as a partnership. Research findings indicated that where SACSI was implemented with fidelity to the

partnership model, substantial reductions in violent crime were found (Roehl et al. 2005). Furthermore, variations in subcomponents of partnership functioning, such as leadership and collaboration, influenced the levels of success found in the community.

Without the backdrop of rigorous evaluation, and continued research akin to the body of work developed on the SACSI partnerships, best practices can only go so far in shaping new initiatives. The few rigorous evaluations that do exist do not focus on understanding the capacity of communities to be strong partners in crime reduction and the related partnership dimensions that enable success. But community partners and the related aspects of community capacity building are, by definition, key components of community justice partnerships.

Community justice partnerships are complex and fluid entities that vary across a wide range of aspects, such as partnership function and activities, agency and organizational involvement, community mobilization, and overall community context. Undoubtedly, the complexity of and variation across partnerships hampers systematic assessment and rigorous evaluation. Yet, with the nation's growing interest in initiatives that give more voice to citizen concerns and promote community health alongside public safety goals, it becomes critical that we seek systematic procedures for understanding, developing, and assessing these partnerships, in addition to evaluating their overall success. We must first take a step back to determine the factors that contribute to the generation, maintenance, and sustainability of community justice partnerships. This report attempts to take that step by developing conceptual and practical methods to examine, assess, and evaluate these partnerships.

During the last three years, the Urban Institute (UI), in collaboration with Caliber Associates, has been developing and refining a conceptual framework designed to assist the field in assessing the nature, role, and impact of community capacity as it relates to community-based

community justice partnerships. The project, sponsored by the National Institute of Justice, was organized into two phases. Phase I, completed in May 2002, synthesized the current knowledge regarding the capacity of community organizations to engage as effective partners in strategies to prevent crime. The goal was to review what is known about the role of community organizations in partnerships and the myriad of contextual issues that challenge or foster their ability to effect positive change within partnership initiatives. The research team was operating under the belief that partnerships represent a unique opportunity to improve community outcomes with regard to crime prevention. Partnerships can articulate community concerns and therefore create appropriate priorities for action. Partnerships, formal or informal, also can mobilize degrees of collective power that single organizations cannot (Coldren, Costello, Forde, Roehl, and Rosenbaum 2002; Weisel, Gouvis, and Harrell 1994; Turk 1973, 1977). And partnership efforts can increase the likelihood of change across multiple levels—the individual, community, organizational, and systems levels. Findings from evaluations of block watch and Crime Prevention Through Environmental Design (CPTED) programs, policing programs, and studies of community-driven neighborhood initiatives suggest that informal social control efforts can have larger and more durable effects when community organizations partner with government agencies (Briggs, Mueller and Sullivan, 1996; Feins, 1983; Kennedy, 1994; Keyes, 1992; Moore, 1999; Stevens, 2002; Weisel, Gouvis, and Harrell, 1994).

In synthesizing the literature, we recognized that the track record for community justice partnerships has not been without its failures. As stated above, partnerships, regardless of size, are complex entities which must meld into an arrangement that successfully reduces crime and increases quality of life. To make some sense out of the literature, the Phase I research review was guided by two basic questions: (1) what are the factors that facilitate and strengthen the

ability of community organizations to participate in community justice partnerships? And (2) how do these factors at the organizational level relate to the ability of partnerships to achieve their stated mission and objectives? After reviewing the literature in an effort to address these questions, the research team developed a conceptual framework to synthesize the key domains of community justice partnerships.

Phase I culminated in a report titled, "*Understanding Community Justice Partnerships: Assessing the Capacity to Partner* (Roman, Moore, Jenkins and Small, 2002).[2] In addition to a discussion of the conceptual framework, the report provides a brief summary of the main types of partnerships as defined by the primary justice or other noncommunity partner. The examples demonstrated the wide range of partnership types, partners, goals, activities, and targeted outcomes. Each and every partnership, at a minimum, holds the goal of increasing public safety. The partnership examples illustrate the potential of partnerships as vehicles to achieve community empowerment and betterment. Each partnership is unique—even those following similar prevention or intervention models. The conceptual framework provides a strong foundation for understanding and systematically evaluating partnership processes. However, a framework is only a partial foundation in the development of a systematic method to quantify processes and outcomes. The research team, in partnership with NIJ, wanted to refine the framework by testing its application to real-world partnerships. A second phase of the research was developed to seek detailed information that could assist in the identification of key patterns across successful partnerships. These patterns could move us closer to answering "what works?" and more importantly, "under what conditions?"

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[2] The full text of the report can be downloaded at http://www.ncjrs.org/pdffiles1/nij/grants/196552.pdf.

Hence, the goals of the Phase II research were to: (1) collect data on effective partnerships across partnership types that can be used to test and refine the framework, (2) develop testable hypotheses to guide future investigations of community justice partnerships, and (3) convene a panel of experts to review the revised framework and hypotheses, and (4) identify performance measures and/or useful instruments for monitoring and evaluating partnership development, implementation, and outcomes.

This report summarizes the findings from the Phase II study, presents a refined framework, and discusses techniques and tools for measurement of framework components. Below, we briefly describe the utility of the framework, then, in chapter 2, we discuss conceptual definitions that help set the foundation for understanding the framework. Chapter 3 introduces the study methodology for the current Phase II research, and chapter 4 presents the refined framework in detail. Chapter 5 provides a cross-site summary of the case study partnerships from which primary and secondary data were collected during the Phase II research. The chapter also includes examples of the how the revised conceptual framework can be applied to current-day partnerships. Chapter 6 discusses a number of measurement tools and techniques that can be used to support the development, maintenance and evaluation of partnership initiatives. Chapter 7 concludes the report with a number of suggested hypotheses for further study.

THE CONCEPTUAL FRAMEWORK

The conceptual framework developed during Phase I was the result of an extensive literature review and consultation with experts about factors that may affect a community's ability to organize, mobilize, and build capacity to serve as an active partner with criminal justice agencies. The synthesis helped elucidate the key dimensions and characteristics that embody partnership capacity and in turn, contribute to community and systemic change. The conceptual

framework can be viewed as a tool that can be used to improve understanding of community justice partnership processes—to provide an underlying explanation of how partnerships contribute to change. The original framework as developed in Phase I is presented in Figure 1-1. After the completion of Phase II, the framework was revised to better capture the dynamic and fluid nature of partnerships, and distinguish among various types of outcomes. The new conceptual framework, discussed in more detail throughout the report, is presented in Figure 1-2.

The framework can be used to guide outcomes so that they are realistically based on the resources at hand and scope of objectives. The framework enables articulation of process (i.e., immediate), intermediate, and end outcomes, as well as articulation of outcomes at multiple levels of change (i.e., individual, systems/partnership, community).

The conceptual framework can be viewed as a few steps removed from a causal model that describes ways in which organizations work together to increase public safety and community well-being. A causal model would need to be ultra-multidimensional to articulate potential linkages. It would, for example, need to include hypotheses about the ways in which:

- Individuals are embedded within multiple community and organizational contexts;
- Community organizations and government agencies are embedded within multiple community contexts;
- The characteristics of all partner agencies are relevant;
- Residents interact with the community organization;
- Community organizations interact with other partners; and
- Strategies interact with partners to produce various outcomes.

All of these relationships, most of them dynamic, work together to guide and explain efforts to improve communities and reduce crime. The task of producing a testable model is further complicated by the fact that: (1) some frequently mentioned concepts, such as empowerment or philosophical orientation, are inherently vague and therefore difficult to

characterize, model or measure; and (2) the interplay of the levels, or the dynamic features of a partnership, make capturing the complete picture a huge challenge.
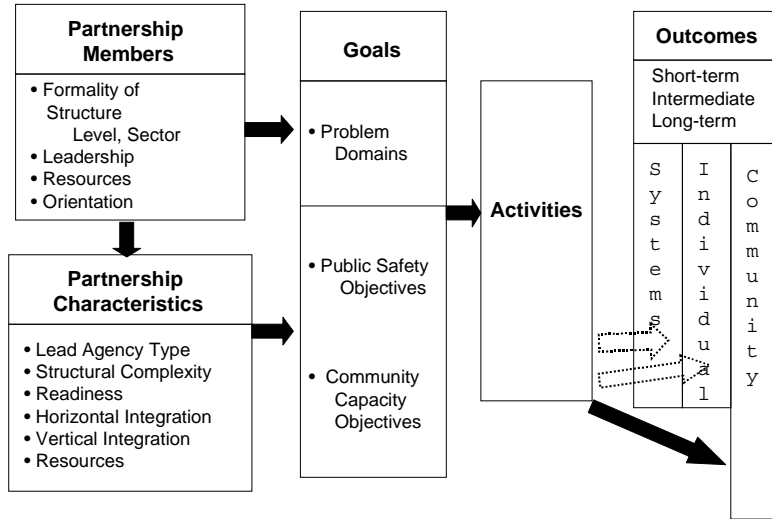
Figure 1-1. Original Conceptual Framework for Assessing
Community Justice Partnerships
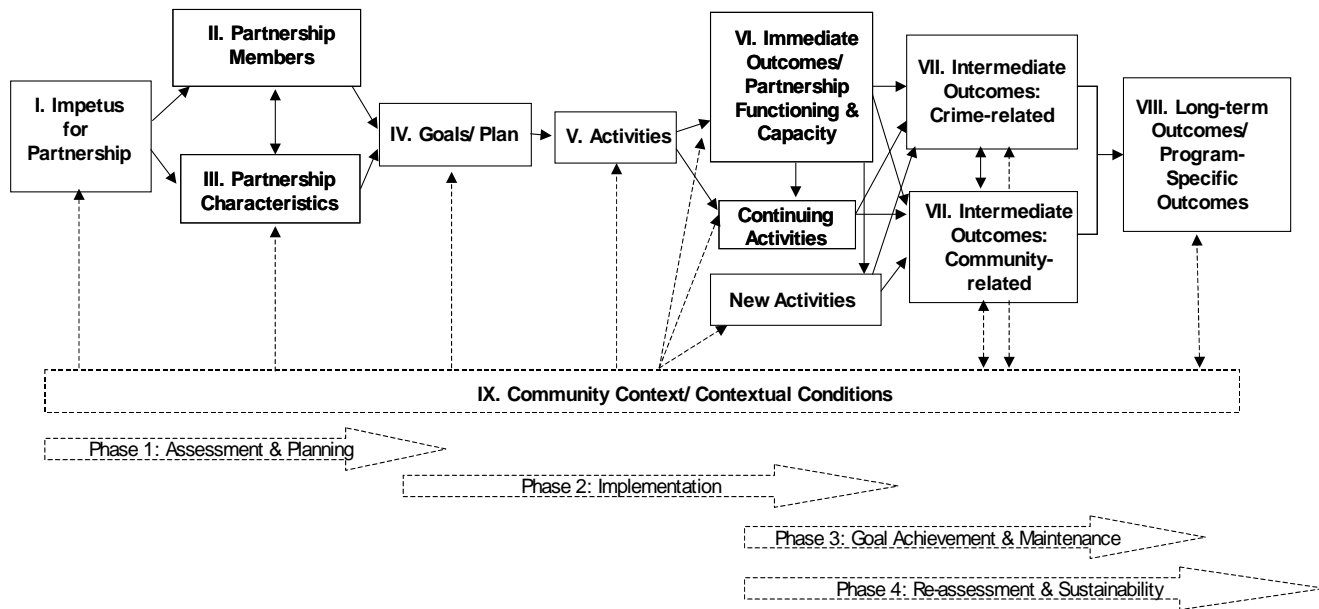
Figure 1-2. Revised Conceptual Framework for Assessing
Community Justice Partnerships

Instead we developed a conceptual framework that will assist in laying out the key

components and relevant sub-dimensions within the key components that should be considered

in examining community justice partnerships. The articulated components and dimensions can be

used in performance measurement, outcome assessment, or impact evaluation. The framework is

intended as a diagnostic tool for examining the role of community organizations in capacity-

building collaborative crime prevention or reduction initiatives. It can also guide government

agencies, private foundations and other funders seeking to fund strong community programs or

create new ones. In addition, a framework will enable evaluators to utilize a common approach

to understanding how community organizations function within community justice partnership

initiatives. We recognize that the limited impact evaluation literature tempers our ability to say

with confidence that particular components are "necessary" or "key" to successful partnership

endeavors. This framework is thus not a causal model, but a basis for specifying and testing

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hypotheses about important components and dimensions of partnerships. More details on the framework components can be found in chapter 5.

Given the dynamic and complex nature of partnerships, a framework can help practitioners and researchers adopt what has been referred to as a "theory of change approach" to evaluation as advocated by a number of researchers (Connell, Aber and Walker, 1995; Connell and Kubish 2001; Rogers et al. 2000; Weiss 1972, 1995). The theory of change approach—delineating how and why the program will work—is a method to articulate expected causal relationships. For instance, an initiative with a central goal of decreasing youth crime might focus their efforts on increasing recreational activities for youth because program funders and community practitioners adhere to opportunity theories that link unsupervised youth time to increased opportunities for crime.[3] A theory of change approach is a not a sufficient method alone to test causal relationships (Rosenbaum, 2002). Essentially, we view the conceptual framework as a tool that can assist in establishing the linkages between partnership processes and the resulting outcomes and impacts. We also intend that the framework can help guide developing partnerships through the dynamic stages of partnership development from planning to implementation, maintenance, and sustainability. The conceptual framework will assist the creation of logic or activity models, enabling practitioners, community participants, funders and evaluators to identify and capture dimensions of partnerships that can influence outcomes.

Over time, a useful framework will provide a vehicle for information sharing to the criminal justice community on the kinds of program processes and characteristics that appear more or less successful under various conditions (e.g., community, organizational, and

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[3] For a summary of theories that underlie crime prevention strategies see Harrell and Gouvis (1994*). Community Decay and Crime: Issues for Policy Research*. Report to the National Institute of Justice, Washington, D.C.: The Urban Institute. Grant NIJ-IJ-CX-K016

participant characteristics). It may also provide social services, treatment, and other community organizations information on the design of promising community justice initiatives.

In summary, we believe the framework will provide a strong foundation from which future assessments and evaluations, whether internal or external to the partnerships, can proceed in order to develop a more systematic method for examining community justice partnerships. In addition, the lessons learned from systematic study will enable careful growth and transferability of successful models across a variety of partnership types and environments. Indeed, examining the effectiveness of partnerships provides progress and direction for the future. The key areas where the conceptual framework can be useful include:

1. To provide formative feedback to partnerships and partnership members with regard to partnership functioning and progress;
2. To collect evidence of the effectiveness and impact of the overall partnership with regard to long-term impacts such as crime reduction;
3. To ensure accountability of the partnership to the community and external funding sources;
4. To inform others/transfer knowledge of what works and what doesn't within particular types of partnership;
5. To systematically compare across partnership sites that utilize similar strategies or models (i.e., multi-site evaluation of particular model);
6. To systematically compare across partnerships that utilize different strategies or models, and that operate under different community contexts, to begin to build a more general knowledge base regarding successful partnership practices, or movement toward a larger theoretical model of partnership functioning and overall partnership success.

CHAPTER 2:
Defining the Key Concepts of Community Justice Partnerships

Before we describe the conceptual framework in detail, we first provide definitions for important concepts that form the foundation for our research. We define the terms: *community justice*, *community justice partnerships*, *community*, *community organizations*, and *stakeholders*.

WHAT IS COMMUNITY JUSTICE?

In recent years a number of definitions have been proffered to explain community justice. Reviewing these definitions, we believe there are four key features of community justice (Bazemore 2000; Karp and Clear 2000):

- A view of the community as an active agent in the partnership;
- Public safety through problem solving;
- Capacity building/focus on improving community well-being; and
- The analysis of outcomes at the community level.

Community as an Active Partner

In community justice, the community is viewed as an active partner within a democratic paradigm. Citizens and residents help build a broader constituency for the performance measurement process, clarify a community's priorities, and encourage public accountability for program performance (Wray and Hauer 1977). Generally, community justice initiatives aim to articulate the voice of the community and improve quality of life for everyone—across a wide range of stakeholders. The community voice is generated through a process of public deliberation about the common good (Thacher 2001), or dialog in the community (Pranis 1998), as opposed to declarations of self-interest. Through public deliberation, new information is

generated about social problems and the capabilities of government and the community to solve them.

Traditionally, crime prevention partnerships most often were run by government agencies, and although many involved problem-solving, these partnerships did not always involve integration of community organizations into the decision-making structure of the partnership. True community justice partnerships involve some level of equality or power sharing among partner entities.

Problem Solving

Under community justice, solutions to crime and disorder are sought through proactive problem solving. Problem solving can include indirectly or directly addressing quality of life issues as part of a longer-term crime prevention strategy. Community justice partnerships provide the means for a vast range of community stakeholders to exchange information, discuss and debate problems, and arrive at agreed upon strategies for collective action. A partnership, by nature, brings together different organizational entities to develop a common agenda or mission. The development of this common agenda or mission is the first step in problem-solving.

Capacity Building

Some community justice partnerships may explicitly articulate building community capacity to combat crime as an immediate, intermediate, or long-term goal and undertake specific activities that help build formal and informal social control and capacity for joint action to solve problems. The term *community capacity* refers to the ability to mobilize collective action toward defined community goals. Community goals, by definition, are more than a collection of individual self-interested goals, and collective action entails individuals acting together with a concern for a particular problem.

The capacity of organizations and partnerships to pursue community justice is an example of community capacity directed at the joint goals of enhancing social control and improving quality of the community life or community health (Karp and Clear 2000). It is defined by the ability to bring stakeholders together to exchange ideas, jointly plan, and collaborate in actions intended to increase safety and strengthen the community directly or indirectly.

When community capacity is defined as the ability to trust one another, work together to solve problems, resolve conflicts, and network with others to achieve agreed-upon goals, it is synonymous with collective efficacy (Sampson 1999; Sampson, Morenoff, and Earls 1999; Sampson, Raudenbush, and Earls 1997) and entails the activation of social ties to achieve common community goals. It has been hypothesized that capacity can be *developed* through the cultivation of the informal community and the relationships to formal organizations and institutions. It also may be developed through community education to inform, galvanize commitment, develop skills, and mobilize resources such as financial, human, and technological resources. In this active sense, capacity is fluid; it can be developed and can deteriorate. When it shifts, community well-being may also ebb and flow.

Community justice efforts to improve community well-being can take a wide variety of forms including, for example, local initiatives to provide social services, increase the institutional base, increase economic opportunities, increase neighborhood public health, and improve the physical environment of the neighborhood.

Community-Level Outcomes

Community justice goals are evaluated in terms of community outcomes, both intermediate and long-term. Community outcomes can be measured in terms of capacity-related qualities, such as increases in: social capital (Coleman 1988, 1990), civic engagement (Putnam 1993, 2000),

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participation in voluntary organizations, the willingness of community members to intervene and enforce the local norms (collective efficacy) (Sampson, Raudenbush, and Earls 1997), place attachment, and community confidence (Perkins et al. 1990, 2001). Increases in various types of capacity, at the individual and community level, affect end outcomes (i.e., long-term) such as increased public safety, decreased fear, decreased crime and disorder, as well as in a more physical sense through improved housing stock, commercial development, and neighborhood infrastructure.

Although some community justice partnerships may not explicitly articulate capacity building as an immediate objective or goal, these partnerships will nonetheless seek change at the community level—whether it be aggregate reductions in crime or fear of crime, or improved quality of life.

WHAT IS A COMMUNITY JUSTICE PARTNERSHIP?

Our definition of community justice partnerships includes any partnership between criminal justice (and other government) agencies and the community that has a community focus and *indirectly or directly* enables crime prevention or crime control at the neighborhood or community level as specified by community stakeholders. Furthermore, we view community justice partnerships, through their collaborative problem-solving nature, as having a distinct goal of increasing *partnership capacity*. As stated above, we recognize that partnerships may not articulate increasing partnership capacity as an outcome of the partnership, but some degree of an increase in partnership capacity is inherent to the partnership and can be viewed as an *immediate* outcome. Partnership capacity is similar to our broad definition of community capacity—the ability to mobilize collective action toward defined community goals. In turn, the development of partnership capacity influences the achievement of intermediate and long-term

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goals related to crime reduction and improvements in community well-being. Our conceptual

framework explicitly depicts *partnership capacity* as an immediate outcome of community

justice partnerships. Partnership capacity has also been referred to as "collaborative capacity "

(Foster-Fishman et al. 2001; Goodman et al. 1998).

Viewing partnerships as having the immediate goal of developing and enhancing

partnership capacity leads to the designation of two major evaluation questions that will help

partnerships gather evaluative information to modify and improve partnership functioning: (1)

what was the quality of the partnership itself? And, (2) what outcomes (both intermediate and

long-term) did the partnership produce? Partnership capacity—answering the question "What

was the quality of partnership?"—can be measured using various tools and techniques to assess

the key components of partnership capacity. The components of partnership capacity are

described in chapter 5, and potential measures of capacity are discussed in detail in chapter 6.

A "partnership" is a commitment or shared agenda between at least one criminal justice

agency and one community organization to invest resources to bring about mutually beneficial

community outcomes with regard to public safety and community health. The partnership

becomes a new entity that has its own social and political structure. As long as there is one

community organization and one government agency involved in the community justice strategy,

we use the term partnership interchangeably with the terms *initiative*, *alliance*,

collaboration/collaborative, and *coalition*.[4]

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[4] We recognize that there are varying degrees and types of linkages that develop between agencies that seek to collaborate in
some capacity, and that terms such as "alliance" and "partnership" are not always used interchangeably. Collaborative efforts will
naturally fall along a continuum of low to high integration (Gajda 2004). According to Gajda, the level of integration is
determined by the intensity of the alliance's process, structure, and purpose. Partnerships are considered to be of moderately high
integration because the primary purpose of the partnership is to achieve a mutually-articulated goal.

The relationships created among and between partner agencies and organizations can be explicitly stated and roles and responsibilities defined from the outset. In reality, however, partnerships are more fluid—changing over time, under different contexts and priorities. Partner organizations can have different levels of integration within the partnership, often dictated by the characteristics that each organization brings to the partnership mission.

WHAT IS COMMUNITY?

"Community" means different things to different people in different contexts, but is usually defined in part by some type of boundary. Using human networks as boundaries, community consists of those people and organizations that are members of an area or group and know its needs. Basically, these members are the stakeholders. These stakeholders or networks may or may not overlap with physical neighborhood boundaries. Using race, religion, or other divisional criteria such as unions, a community can consist of those people with similar beliefs, national traditions, history, or work. Using geography as boundaries, community is a small geographic area as part of a larger area, such as a city, where people live, and are bound by political, police, or cultural boundaries. For the purposes of this research, we define community using the *physical* boundaries of communities. Within community justice partnerships, physical boundaries: (1) delineate the *target area;* and (2) set the limits for *measuring outcomes*.

There are many different levels associated with physical boundary definitions, from the smaller or more micro area, the "face-block" level to the larger community such as a region of a county (e.g., West Contra Costa County). Janowitz (1951) used the term "community of limited liability" to delineate official, institutional boundaries such as political wards or police districts. A resident's identification with certain administrative boundaries, such as political wards, is limited and generally dependent on the issue being raised.

The purpose of the partnership may dictate the boundaries of the community. For example, a local open-air drug market initiative with a police-community-public service agency partnership may target one or two face blocks where the drug market thrives. Other partnerships, like the Maryland HotSpot Communities Initiative, may target sites using established community boundaries because the goal is to implement meaningful partnerships to create priorities for problem-solving with established neighborhoods.

WHAT IS A COMMUNITY ORGANIZATION?

We define community organizations as including any organization or agency that, at a minimum, has a stake in the neighborhood targeted (as defined by the physical boundaries) and meets or communicates regularly and has a name. We consider both the Main St. Block Association—that meets once a month, has 10 volunteers members from the block and a leader—and the bureaucratic East Side Youth Alliance—a 501(c)(3) with 100 active members, and a paid staff—*community* organizations. In addition, organizations can also be "virtual" organizations that meet via the Internet.

WHO ARE THE STAKEHOLDERS?

For community justice initiatives, the process begins with defining the immediate parties to criminal incidents and/or criminogenic situations (Karp and Clear 2000; Bazemore and Pranis 1997). The range of stakeholders who experience or are impacted by criminogenic situations is extremely broad. They can be offenders, victims, or supporters of victims or offenders. They are also residents, students and teachers, property owners, service providers, local government officials, criminal justice practitioners, civic leaders, business owners, and others who use or build community resources and are affected by the quality of life in the community. As community boundaries relate to the purpose of the partnership, so do the relevant stakeholders.

However, because community justice initiatives aim to articulate the voice of the community and improve quality of life for everyone that uses or provides resources to the community, the range of stakeholders will be very diverse.

CHAPTER 3: Research Methods Utilized For Phase II Study—Framework Revision

As mentioned earlier, an initial conceptual framework was developed in Phase I from a review of the literature and revised with suggestions from an expert panel of community practitioners and criminal justice researchers. At the conclusion of Phase I, the research team determined that additional work could be done to "ground truth" the framework. Ground truthing is an important step in the development of theory using qualitative methods. Seminal work by Glaser and Straus (1967) developed the term "grounded theory" to emphasize the importance of theory construction developed directly from field observations. Our process for refining the framework involves developing grounded theory that is guided by a framework (Miles and Huberman 1994). The research team stressed that many key concepts within community justice programs remain vague and ambiguous and reiterated that research should begin with an elaboration of key constructs with continued empirical research to assess different dimensions of the constructs and how they influence partnership outcomes.

Phase II of the study was developed to test and refine the framework through groundtruthing. Three priority areas of study were articulated by the National Institute of Justice: (1) the influence of community context (contextual factors that hinder or support partnership development, implementation and maintenance), (2) the influence of leadership, and (3) sustainability and institutionalization of the partnership.

We employed a six-step process to conduct Phase II. First, we developed criteria to select successful community justice partnerships for cases studies. The criteria included specifying a definition of "success." Second, after selecting the partnerships for study, we developed and pre-

tested a detailed interview protocol to focus on key partnership components and variables as prioritized by the National Institute of Justice.

Third, we conducted site visits to each of the five partnerships selected. Fourth, we developed summaries of success for each of the partnership and synthesized the summaries across partnerships to derive hypotheses about partnership success. Fifth, we conducted a vast literature search and consulted with experts to collect a full range of performance measures and instruments used in assessing partnerships and/or particular components or variables pertaining to partnerships. Lastly, we hosted a one-day forum convening a small panel of expert community practitioners and researchers to discuss our findings from the case studies and to refine the framework. The sections below describe the partnership selection process in more detail.

SITE SELECTION OF SUCCESSFUL COMMUNITY JUSTICE PARTNERSHIPS

We followed a four-prong selection process for nominating "successful" community justice partnerships for site visits. The site must: (1) have a true partnership (with regard to sharing of decision-making) between one justice agency and at least one community agency; (2) have incorporated community-level quality of life indicators or outcomes; (3) have been evaluated (internally or externally); and (4) be in the post-implementation phase. More detail on these criteria is provided below:

Criteria 1. A community justice partnership.

> A community justice partnership is a linkage between community organizations and government agencies formed for the purpose of reducing crime and improving the conditions of the community. A partnership is a commitment between at least one criminal justice agency and one community organization (formal or informal) to invest resources (financial or otherwise) to bring about mutually beneficial community outcomes with regard to public safety and community health. The partnership must include meaningful community participation such as an active board with community members, community members with responsibility for critical partnership activities, or community members with significant leadership roles.

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Within our criteria, the partnership can be one of the following types of partnerships (by lead agency): police, lawyering, court, and corrections, or it can be a mixture of more than one partnership type. Partnerships can also have varying structures, from simple to complex. Complex partnerships involve at least two criminal justice partners and at least three service or product sectors. These partnerships are often known as *comprehensive community partnerships*.

Criteria 2. Defined community-level indicators and/or outcomes.

By definition, community justice partnerships must have articulated process indicators that capture community-level processes. Very closely linked to understanding restoration and criminogenic problem solving is the need to recognize and measure community quality of life indicators such as community confidence, community satisfaction, or increased participation. The partnership must have articulated a course of action for achieving community-level processes with regard to capacity building. These processes or indicators can also be articulated as outcomes. Capacity building outcomes include, but are not limited to, increased resident confidence in the community, increased participation in community activities, increased social interaction and/or number/extent of network ties, increased collective efficacy, and/or civic engagement or reduction in fear of crime.

Criteria 3. Evaluation evidence of success.

The methodology for the "evaluation" criterion is borrowed from the seminal study conducted by University of Maryland researchers, "Preventing Crime: What Works, What Doesn't, What's Promising" (Sherman et al. 1997). To evaluate crime prevention programs, the authors designed a five-level scale to measure the scientific methods used in the studies. The "levels" are described below:

(1) Correlation between a crime prevention program and a measure of crime or crime risk factors.
(2) Temporal sequence between the program and the crime or risk outcome clearly observed, or a comparison group present without demonstrated comparability to the treatment group
(3) A comparison between two or more units of analysis, one with and one without the program.
(4) Comparison between multiple units with and without the program, controlling for other factors, or a nonequivalent comparison group has only minor differences evident.
(5) Random assignment and analysis of comparable units to program and comparison groups.

The University of Maryland researchers defined effective crime prevention programs as those that "have at least two Level 3 evaluations with statistical significance tests showing

effectiveness and the preponderance of all available evidence supporting the same conclusion" (Sherman et al. 1997, 2–19).

For the purpose of evaluating a relatively new innovative group of programs, we initially wanted to define success in community justice partnerships as those partnerships that have met the "Level 3" criteria by having at least *one formal impact* evaluation that has demonstrated effectiveness in reducing crime or the impact of crime as defined by the partnership. A "Level 3" evaluation is one where evaluation must be comprised of a comparison between two or more units of analysis (i.e., one with and one without the program/partnership) in order to determine program impact. However, because there are only a few partnerships that meet this criteria (have had an impact evaluation/used a comparison group), we designated two "tiers" of evaluation that were sufficient for case study nomination.

Tier 1 successful partnerships are those that had a formal evaluation that utilized a rigorous experimental or quasi-experimental design.

Tier 2 successful partnerships are those that have conducted an <u>outcome</u> evaluation that showed a significant reduction in crime, but did not conduct an impact evaluation (i.e., did not use a control or suitable comparison group, and hence, could not infer with certainty cause and effect). The overwhelming majority of community justice partnerships that have been evaluated have only had a pre- and post design, or compared targeted population results to results in a larger, and not strictly "comparison" area (e.g., target neighborhood compared to city as a whole).

Criteria 4. Post-implementation phase.

Generally, there are three basic stages of partnerships—formation, implementation, and maintenance. After partnerships form, member entities begin the planning process. Implementation follows, and then maintenance of the partnership as activities are implemented. We nominated sites that were in the post-implementation stage of the partnership; these are sites that have been through the planning phase and have implemented a partnership that has some stability (i.e., is being maintained and/or achieving outcomes).

Once the selection criteria were finalized, we conducted an in-depth search of the extant literature, searched Internet sites and asked colleagues to nominate successful community justice partnerships. Our search began with the detailed list of partnerships cataloged as part of Phase I. When the literature or consultation with experts revealed a strong partnership, we made contact with the partnership to ascertain whether an evaluation had been conducted. The majority of partnerships that were originally nominated were removed from final selection list due to the

limited existence of evaluation findings, or the presence of evaluation findings that indicated the partnership was not "successful" in reducing crime or increasing quality of life.

We originally intended to conduct only three case studies, but soon realized that we could leverage resources and collect more relevant information regarding community context if we were to examine more than one partnership in the same jurisdiction or geographic area. As a result, with the assistance of NIJ, we chose three cities to visit and collected information on five partnerships across the three cities. The five partnerships studied include:

1. The Mesa (Arizona) Gang Intervention Program (MGIP)
2. The Greater Coronado (Arizona) Neighborhood Association Probation Partnership
3. The Baltimore (Maryland) Reentry Partnership (REP)
4. Cherry Hill (Maryland) HotSpots Community Partnership
5. The Fort Myers (Florida) Public Housing Policing Initiative

These partnerships varied greatly across a number of basic partnership factors—size, structure, type of partnership, and type of lead government agency (probation, police, corrections, etc.). We purposely chose this variety to gather as much knowledge about partnership successes across different partnerships in order to synthesize the common dimensions of success. Three of the five partnerships—MGIP, REP and HotSpots—were comprehensive partnerships with complex structures that involved multiple government agencies and at least two community agencies. The remaining two partnerships were simple partnerships, only involving two or three core partners. The Coronado Neighborhood Association Probation partnership was comprised of probation and the community association, and the Fort Myers Public Housing Policing Initiative was mainly comprised of the Housing Authority, the residents' association, and police). Of the five partnerships, only two met the more stringent Tier 1 evaluation criteria (Cherry Hill HotSpots and the Mesa Gang Intervention Program).

PREPARATION AND CONDUCT OF SITE VISITS

Semi-structured interview protocols were then developed for use in in-person interviews and telephone interviews. The protocols were developed around the different framework components to enable detailed examination of variables within the framework components.

Original Framework

The framework as designed in Phase I (see Figure 3-1) had five main components (I) Partnership Members, (II) Partnership Characteristics, (III) Goals and Objectives, (IV) Activities, and (V) Outcomes. The research team gathered information structured around the key dimensions within all components, but mainly focused on Components I and II—Partnership Members and Partnership Characteristics. The key dimensions for the "Partner Members" component included (1) formality of structure, (2) leadership, (3) resources, and (4) orientation to traditional powerholders. Information was gathered on these aspects for each of the partner agencies. The dimensions of Component II—"Partnership Characteristics" included: (1) lead agency type, (2), structural complexity of partnership, (3) readiness to tackle issue at hand, (4) horizontal integration, (5) vertical integration, and (6) partnership resources.
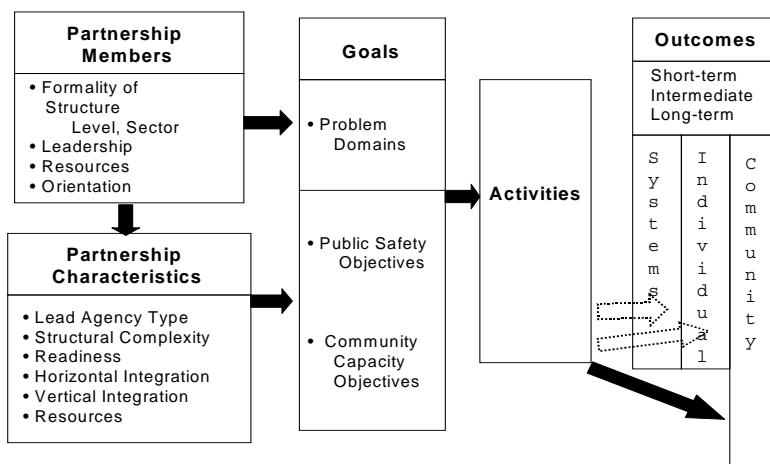
Figure 3-1. Original Conceptual Framework

The case studies were designed to obtain information from partnership entity leaders and line staff on their opinions on the factors that shape partnership outcomes. Within each partnership, we attempted to interview at least one key leader from each of the partner agencies. In many cases, if turnover occurred, we interviewed both current and past leaders. For the larger, more complex partnerships, research staff were on site and available to conduct interviews over a period of seven days. On average, each interview took one to two hours. When possible, monthly reports, newsletters, internal staff documentation notes, and promotional materials were collected from partner members and the lead agency.

Questions included both questions to find out what occurred and questions to solicit opinions on processes and best practices. We asked interviewees to provide their opinions and definitions regarding key variables such as leadership, collaboration, community participation and specification of which variables within the framework components are most relevant for strong partnerships, as well as under what contexts variables relate to successful partnerships. We asked partner members how they measured and tracked progress and assessed outcomes; how staffing issues, such as turnover, influenced outcomes; how different racial and cultural contexts affected trust and community buy-in and, in turn, outcomes; and how start up processes and duration influenced partnership dynamics. In general, protocols were streamlined to focus on the three core priority areas as specified by NIJ: (1) leadership (leadership of partner member agencies and within partnership), (2) community context, and (3) sustainability. The interview protocol is provided in Appendix A.

It is important to note that the original framework did not contain a dimension to measure community context. During Phase I, the research team and expert panel struggled to devise an appropriate place within the framework to capture the importance of community context. We

define community context as forces external to the partnership that serve to create a foundation for the partnership as well as continually exert influence on the partnership throughout its duration. Basically, community context includes the political, economic, social and cultural influences that help shape the partnership. Discussions of community context are included in the case studies, which can be found in Appendix B.

CHAPTER 4: The Revised Conceptual Framework

After synthesizing the data gathered from the site visits to the five partnerships and holding a one-day panel meeting with experts to review and modify the framework, the research team developed a revised framework. This chapter presents the revised framework through a discussion of the nine key components of the framework and the sub-dimensions related to each component. A brief discussion of measurement is provided for those sub-dimensions where measurement or assessment is appropriate. Suggested measurement tools or techniques are discussed in detail in chapter 6.

The revised conceptual framework on community justice partnership capacity is a dynamic framework that is based on the premise that partnerships are fluid, evolving in stages as they move toward designated goals and outcomes. The framework is also designed to capture the uniqueness of partnerships in their ability to create immediate outcomes by virtue of bringing diverse entities to the table in the nature of collaboration. Hence, a key feature of the revised conceptual framework is the inclusion of immediate outcomes related to partnership functioning and capacity.

The revised framework is illustrated in Figure 4-1. The framework is comprised of four phases and nine main components. The phases, for the most part, determine the appropriate components. The four "block arrows" in the lower half of Figure 4-1 depict the relationship between the components and the phases. In reality, movement among phases is circular, and Figure 4-2 provides a more accurate fluid model of the phases. It is commonly recognized, but not often articulated in evaluation models, that a partnership is an emergent and ever-changing process (Coldren, et al. 2002). For many partnerships, after some goals are achieved, the partnership may determine that modifications to partnership goals, objectives, and/or activities is
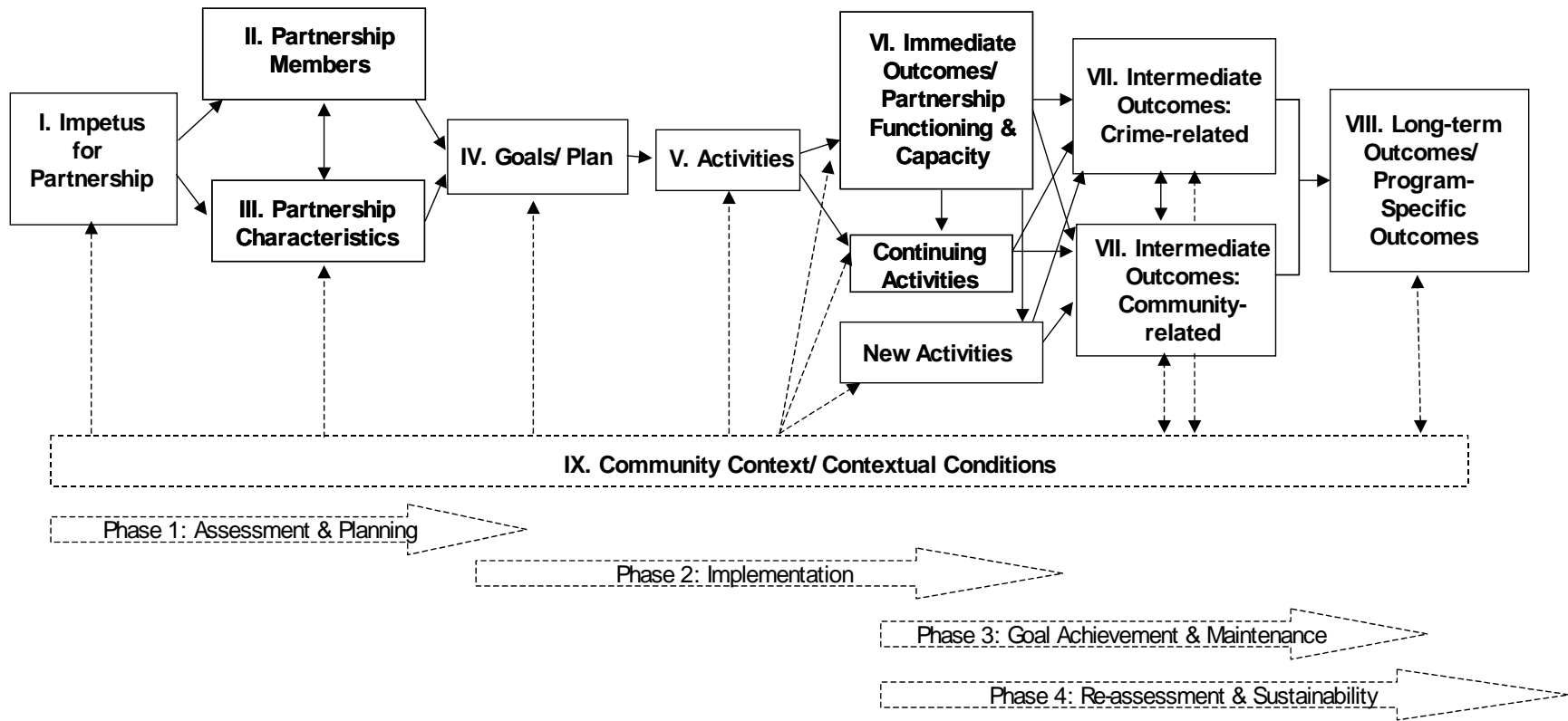
Figure 4-1. Conceptual Framework of Partnership Capacity
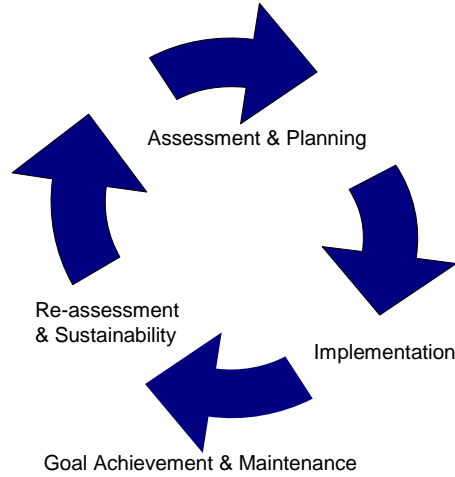
Figure 4-2. Phases of Partnerships

needed. This re-assessment may lead to a new and different partnership entity, or simply a new, re-defined planning stage. In addition, it may lead to the dissolution of the partnership.

In the first phase, *Assessment and Planning,* potential partners assess and determine: the community problem, whether a partnership will be an effective approach to solving it, which groups should be included in the partnership, and what the role of each partner should be. The group's mission statement and agreements between partners are developed during this phase. In the second phase, *Implementation,* the partnership has been formed and the partners are conducting activities. These activities should lead to immediate achievement of some type of collaborative functioning that can be captured in the partnership functioning component (Component VI). At this point they should be able to collect information about partnership outputs (direct products of the partnership), and the related immediate outcomes, of the partnership effort. The third phase, *Goal Achievement and Maintenance,* occurs when the collaboration has been conducting a stable set of activities over a period of time, and the problem

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it is addressing is starting to show some change. This period may begin later for large partnerships that are addressing complex problems and may start sooner for groups that are addressing less complex problems. The fourth phase, *Reassessment and Sustainability,* usually occurs when the problem has been largely or entirely solved or the activities of the partnership have become institutionalized. But partnerships are not always successful in reaching their goals, and hence, this fourth phase may arrive when the partnership realizes the *hypothesized* changes have not occurred within the hypothesized or given timeline. Funding schedules or timelines provided by funders may also dictate the entrance into the re-assessment phase. Entrance into this phase may also be dictated by other outside contextual pressure, where the partnership must begin to focus on how to sustain itself if funding is threatened by political or economic factors. It is during this phase that the partners will often re-assess whether there is still value in their working together as a partnership unit. As suggested by the circular diagram, in order for a partnership to remain viable there may be need for the identification of new or expanded problems and a redefinition of the partnership that begins a new partnership cycle.

Across the four phases of partnerships, we have specified nine main components. These components are:

1. Impetus for partnership;
2. Partnership members;
3. Partnership characteristics;
4. Goals;
5. Activities;
6. Immediate outcomes: partnership functioning/capacity;
7. Intermediate outcomes related to: (a) crime reduction, and (b) community health;
8. Long-term outcomes related to: (a) partnership functioning (systems change), and (b) specific programmatic objectives (programs or projects that resulted from partnership; and
9. Community context.

These components are ordered to first identify the reasons behind the formation of the partnership, then specify the involved partner agencies, followed by the specification of the key characteristics and dimensions of partnerships. Once the partner agencies and the characteristics are described, the next step is specification of goals. Components VI, VII, and VIII outlay partnership outcomes—immediate outcomes related to partnership functioning, as well as intermediate and long-term outcomes. Component IX—community context—influences all other components and is relevant to all phases of partnership. Community context represents the social, political, and economic atmosphere at the community level and at the larger city and state levels. The framework components are described in more detail below.

FRAMEWORK COMPONENT I: IMPETUS FOR PARTNERSHIP

The first framework component describes the impetus for the formation of the partnership. There are a variety of reasons that a partnership might form and these include: dictates by funders, reaction to a community crisis or event, outgrowth of pre-existing collaboration with realization of new goals, reaction to a potential threat, or as a reaction to political or economic pressure with partnership wanting to better position itself for potential resource acquisition.

Research has shown that the impetus for the partnership can influence partnership success in many ways (Goodman, Wheeler, and Lee 1995; Mulroy 2000). The reason for establishing the partnership may influence the overall success of the partnership, its longevity, and its ability to accomplish varying goals and objectives. Partnerships that form as a result of the infusion of outside funding often remain intact for at least the period of time that funding is available. As we witnessed in our case studies, outside funding also increases the chances that the partnership will have a lead agency. In turn, having a lead agency may increase the chance that the partnership will be successful. Essentially, a strong lead agency will take the responsibility for moving the

partnership forward. Similarly, outside funding from the federal government of private funders such as large foundations, often relates to the increased possibility that the partnership will incorporate a research and accountability function, and will develop and assess performance measures that assist the partnership in evaluating progress and modifying activities if outcomes are not being achieved.

Some research has suggested that partnerships where impetus comes from inside the community are more likely to succeed (Butterfoss, Goodman, and Wandersman 1996; Edelman, 1987; Swift and Healey 1986). Researchers suggest that this may be because the community itself has deemed itself ready for the initiative. Impetus coming from within the community may reflect existing structures that are viewed as credible and legitimate (Sofaer 1992). For instance, the community may have a collaborative history with police agencies thereby creating community trust, and as a result, the community is ready and willing to participate in a new partnership effort. However, outside impetus, such as funding from the federal government, can enable partnerships to be successful, if the program architects create a flexible design that adjusts with the capacity of the local community. In some cases, government funding has been targeted to build capacity in communities that are not deemed ready for full implementation. This occurred in the state of Maryland-funded HotSpot Initiative, where funding was divided into rounds. Sites deemed "not ready" in Round 2 received funds that could be used for capacity building.

FRAMEWORK COMPONENT II: PARTNERSHIP MEMBERS

A primary asset of the partnership is a partnership's membership (Foster-Fishman, 2001). The *partnership members* component consists of the features of member organizations that help

describe and assess the capacity of individual member entities, and, that together, will form the basis for the partnership. We have identified four sub-dimensions for Component II:

1. Organizational structure
2. Leadership
3. Resources
4. Orientation and History

1. Organizational Structure

Given the importance of *who* is involved in the community justice initiative, the first factor within the *partnership members* component describes the partners and the formality of organizational structure using an informative typology of organizations that classifies the *level* of the organization and institutional *sector* (Ferguson and Stoutland, 1999).

Measurement

We found the Ferguson and Stoutland (1999) classification method very useful for describing how local community organizations fit into the larger system of partnerships. "Levels" refer to the position of the organization, captured hierarchically from level zero to level three, from the informal neighborhood networks to state and national funders and policymakers. We borrow from the level classification and modify it in assigning each agency and organization to a level.

For our conceptual framework, we combine Ferguson and Stoutland's level zero (entities without paid staff) and level one (frontline organizations) into a *level one* organization. A *level one* partner can be a block club, youth peer group, parent-teacher association, Community Development Corporation (CDC), church, or local school—at a minimum, it must constitute a local organization, meeting regularly and having a name. Businesses where residents shop and work and merchant associations are also level one organizations. The local police department, local government, housing authority, and businesses such as contractors and consultants that provide direct services to level one entities are *level two* organizations, or the local support organizations. These are the traditional local power holders, with concern for a larger jurisdiction

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(i.e., beyond the neighborhood).[5] *Level three* organizations are the state, regional, and national counterparts to level two organizations as described by Ferguson and Stoutland. Level three organizations, such as regional and national foundations, policymakers and bureaucrats, and national news media, are more likely to fund partnerships, dedicate resources to local organizations, raise national awareness, or directly affect systems change, through the creation of laws and regulations. Every organization or agency also belongs to one of three institutional sectors: for-profit, nonprofit or governmental. Within the nonprofit sector, an agency can be described as grassroots (no paid staff) or not grassroots (having paid staff). Research has shown that once an organization relies on paid staff, it begins to function differently (Ferguson and Stoutland 1999; Milofsky 1988). Describing organizations by level and sector may be particularly useful for understanding partner entity relationships because organizations at the different levels have different responsibilities and bring varying resources to the partnership. It is important to point out that individuals and some organizations can bridge levels within the system or partnership. A sample tabular description of the levels of partner members is provided in Table 4-1, below:

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[5] Ferguson and Stoutland include the neighborhood police station and other local branches of local government within level one. We felt it was more appropriate to classify these organizations as a branch or extension of central administration, and not as a separate local neighborhood entity or frontline agency. Therefore, for our classification, local government agencies fall into level two.

Table 4-1. Sample Classification of Partner Members

Organization Name	Level	Institutional Sector
City X Police Department	2	Government
City X Housing Authority	2	Government
Main St. Block Association	1	Nonprofit Grassroots
ABC Church	1	Nonprofit
City X Bank (branch of centralized bank)	1	For profit
Federal Probation	3	Government
State Probation	3	Government

2. Leadership

In addition to formality of structure, organizational leadership of each partner agency is a key component for assessment at the organizational level. Leadership will influence the communication patterns between the organization and other agencies, as well as the level of success achieved in moving through stages of the partnership. Being aware of leadership styles, strengths and weaknesses, as well as continuity of leadership for each partner agency, will assist in an assessment of overall partnership capacity. It is less important to assess partnership traits and styles of individual partnership members as compared to assessing the dedication and leadership results related to the partnership as whole.

Measurement

With regard to measurement, the key element of partner member leadership that is relevant to overall partnership success is the stability of the leadership of the partner members. For evaluation and assessment purposes we recommend that stability of leadership is quantified through the number of times the leadership position turns over for each partner member within the lifespan of the partnership. Not surprisingly, research has suggested the tenure is important to program success (U.S. Department of Education 1996).

3. Resources

To participate as an active partner member within a larger partnership, some type of resource is needed to bring to the partnership. Overall, the resources identified as needed by organizations are human resources (in addition to leadership), financial resources, and technological resources.

Resources are dynamic since the aspects of one resource, such as the presence of a phone and/or computer, may affect the aspects of another resource, such as recruiting more volunteers. Additionally, resources are closely related to community context. Communities with substantial economic resources will have to rely less on human resources and (Hunter and Staggenbord 1988) and vice versa.

Generally, affiliation with partnership initiatives usually facilitates a growth in resources for partner members, or more likely, an increase in organizational-level capacity. In particular, for partnerships were external funding is provided, the new funding may help secure a variety of resources. For example, in the Maryland HotSpot Communities Initiative, the lead local community organization for each site received a $5,000 yearly stipend (financial resource), access to technical assistance for grant writing and other education (human resources), a paid community organizer (human resources), and computers (technological), and some organizations received housing indirectly through other partners in the grant, such as the local police department. In this example, because of the partnership, local organizations can build on and increase aspects of organizational-level capacity.

Measurement

A review of the research indicates that those partners that contribute in-kind resources to the partnership effort demonstrate a commitment to the success of the partnership effort. We suggest that measurement entail quantifying the amount and type of resources donated to the partnership.

It is less important to specify equivalent dollar amounts than it is to assess whether the partner member has made a commitment through *any* in-kind contribution of resources.

4. Orientation and History

Orientation has two facets: public sector orientation and community orientation. *Public sector orientation* is an organization's readiness and commitment to engage in community justice efforts with traditional power holders. Public sector orientation runs along a continuum from fully integrated and trusting of traditional power holders (delegational) to feeling powerless with regard to effecting positive community change (alienated). The operational position of the organization will affect the role of the community within the organization as well as the role of the organization with other justice and non-justice partners. Community organizations across the five partnership sites visited for this study exhibited ranges of public sector orientation at the outset of the partnership. By the implementation stage, however, respondents reported that all community agencies were well-integrated with government agencies. Low levels of trust between community residents and criminal justice agencies may have been an initial obstacle to partnership functioning and achievement of outcomes, but all partnerships studied overcame any issues related to trust through demonstrated dedication to community-based problem-solving—goals agreed to during the partnership assessment and planning phase.

Community orientation represents the level or strength of ties the members have to the community. In many partnerships, government organizations may not have ties to the community, but community organizations may regularly conduct outreach to community residents or have board members or staff who are neighborhood residents. Essentially, for many community justice partnerships, community organizations are the vehicles that lend the community voice to the partnership. It may be that having many partner members with strong

community ties leads to greater integration of community values and greater capacity to achieve

community building goals.

The history of partnering is related to orientation. It has been hypothesized that partner

members with histories of collaborating or participation in strategic alliances will be more open

and willing to participate in new collaborative endeavors, and in turn, increase chances for

partnership success (Roehl et al. 2005; Roth and Kelling 2004; Sofaer 1992). Furthermore,

partner members that have histories of successfully collaborating with the same organizational

entities within new partnership structures will enable greater chances for success. This is

evidenced by the current successes that Project Safe Neighborhoods (PSN) sites are having. PSN

is a large federal initiative targeted to reduce gun and gang activity. The initiative is based in the

successes of SACSI partnerships, as well as the success of the Boston CeaseFire partnership. A

number of researchers have indicated that the SACSI foundation has helped current PSN efforts

achieve successes (Decker and Martin 2005; Klofas 2006). In other words, strong PSN sites were

formerly successful SACSI sites.

For organizations that have previously collaborated successfully, levels of trust most

likely will be higher, and the strategic process of problem solving among these organizations

may be facilitated.

Measurement

A review of tools shows that there are two key methods that could be used to measure partner

member orientation and history. *The Community Readiness Model*, developed by the Tri-Ethnic

Center for Prevention Research at Colorado State University (Edwards et al. 2000), although

developed to assess overall community readiness, could be used to assess partner orientation.

The model includes nine stages of readiness: (1) no knowledge, (2) denial, (3) vague awareness,

(4) preplanning, (5) preparation, (6) initiation, (7) stabilization, (8) confirmation/expansion, and

(9) professionalization. The Tri-Ethnic Center has developed assessment tools related to the model, as well as suggested strategies for moving communities through the various stages.

In addition to the Community Readiness Model, the Community Key Leader Survey can be administered to partner entities to capture trust and orientation among members. More detail is provided in chapter 6. The Community Key Leader Survey is a survey of key community leaders to measure both individual and organizational awareness, concern, and action in the community related to the problem at hand (e.g., drug abuse, violent crime, reentry of prisoners). Originally drafted for readiness for drug abuse prevention programs, this questionnaire could be adapted to address other priorities or concerns.

For the case studies, we developed our own questions to capture specifics about partner history. For each key partner leader with whom we spoke during site visits we asked him/her to select which response best described the relationship between the key leader's agency and each other partner agency (pre-partnership): (a) no contact between our agencies, (b) minimal contact between our agencies, (c) regular contact between our agencies, (d) coordinated programs/services between our agencies, or (e) high level of collaboration between our agencies.

FRAMEWORK COMPONENT III: PARTNERSHIP CHARACTERISTICS

Component III moves away from the organizational level to the partnership level. We outline six dimensions within Component III:

1. Lead agency type and leadership
2. Conflict transformation
3. Structural complexity
4. Readiness
5. Vertical and horizontal integration
6. Resources

The dimensions outlined below are viewed as complementary pieces to be described to enable an assessment of partnership process. None of these dimensions is fixed; they will change as other dimensions or factors of partnerships and member organizations change.

1. Lead Agency Type

The first dimension of the partnership characteristics component is "lead agency type." This dimension is basically descriptive—to provide a picture of leadership within the partnership. Partnerships can exist without one agency acting as lead. And we believe that variations in lead agency type are related to ability to achieve outcomes. For some partnerships, a new entity, such as a board or temporary committee, may be created to lead the partnership. In any case, specification of lead agency provides a baseline from which relationships can be examined and assessed.

Defining Leadership Styles and Skills

Assessment of leadership falls into the lead agency dimension. Leadership can be assessed in numerous ways depending on the mission and goals of the partnership. A good leader is not merely a title, but rather a complex set of dynamic qualities that embody *leadership*, such as the ability to share power, be flexible, see the big picture, and demonstrate trustworthiness and patience, energy and hope. There is no universal definition of leadership, but there are common characteristics, set forth by a variety of scholars in the area (Bass 1990; Kotter 1990; Rost 1993; Yukl 2001). Descriptions of leadership skills identified a number of attributes such as the ability to teach and lead by example. Through interacting with others, particularly interacting with and observing those with an admired status, residents will learn and model behavior that they believe will result in positive outcomes (Bandura 1977). Other leadership skills include the ability to formulate a vision, interpersonal and organizational abilities (Kelley 1995). During our site visits with successful partnerships, we asked key leaders of representative partner agencies to reflect

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on the characteristics of their partnership leader and to provide key words to describe their leader. The most commonly used adjectives and descriptions included "charismatic and motivational," "a problem-solver," "fair, just, and noncritical," and "leads by example." Discussions of leadership that stood out as particularly relevant to the success of community justice partnerships included the concept of *transformational* leadership as this pertains to the capacity for instigating change and the vision of leadership as a process within a democratic process.

Transformational Leadership

We found the term *transformational leadership* to fit best within the concept of leadership within community justice. Burns (1978) and House (1977) were the first to discuss the concept and then it was further expanded by Bass (1985 and 1990). The characteristics of transformational leadership are (Yukl 2001):

1. Charisma: Charismatic leaders provide the group with a common sense of purpose, instill pride, and gain respect and trust.
2. Idealized Influence: Because leaders are respected, they can act as positive role models. Leaders act in a consistent manner and share in any risks taken. The leader will not use power for personal gain.
3. Inspiration and Motivation: By their behavior, transformational leaders are inspiring and motivating. These leaders can motivate simply by acting.
4. Intellectual Stimulation: A transformational leader knows how to stimulate members through awareness of problems, knowledge of problem-solving, and conflict transformation methods that avoid criticism or pointing of blame. Followers are encouraged to try new approaches.
5. Individualized Consideration: The leader with individualized consideration gives personal attention and knows how to encourage a commitment to partnership goals. Continuous follow-up and feedback is provided to partner members.

Transformational leadership aligns directly with dimensions of community justice—this leadership "generates awareness and acceptance of the purposes and the mission of the group as they stir their employees to look beyond their own self-interest for the good of the group" (Bass, 1990: 10). Transformational leadership is based in trust and communication; it can be expressed

by the following leadership skills: developing leadership and effective followership, building interconnectedness, mobilizing and empowering the informal community, and articulating the community voice.

Leadership as a Process

Leadership is a process in which voices of stakeholders coalesce into views of the collective in which genuine common goals are more than an aggregation of individual preferences (Bennet 1998). In the process of formulating community opinion strong leaders must overcome misguided information or false assumptions about problems, and avoid the risk that vocal community subgroups who, particularly if they have power, will most likely overshadow the "invisible" community.

Measurement

After reviewing the vast literature on quantifying and assessing leadership, we identified three dimensions of leadership: leadership traits, leadership styles, and leadership results. Leaders can have different traits, and there are many instruments measuring personality characteristics or traits such as aggressive, amiable, charismatic, etc. Leadership styles also vary widely (Goleman 2000; Parry 1999) and include the authoritative, or mobilizing people toward a vision; the affiliative, or creating harmony and building emotional bonds; the democratic, or forging consensus through participation; the coaching, or developing people for the future; the coercive, which demands immediate compliance; and the pacesetting, which sets high standards of performance and is typically used to get quick results from a highly motivated and competent team.

For the purposes of measuring leadership within partnerships, we believe that it is more important to focus on leadership results, as opposed to traits or styles. Transformational leadership is defined by achieving results that improve partnership capacity. Transformational

leadership will have an immediate impact on the psychology and behavior of the group. Measurable direct outcomes of leadership could include, but are not limited to: (1) level of follower motivation, (2) types of follower perception (Multifactor Leadership Questionnaire, MLQ, Bass and Avolio 1997); (3) level of follower commitment (Organizational Commitment Scale, Mowday et al. 1979); (4) nature of organizational culture;[6] and (5) degree of understanding of organizational mission measured by using open-ended or semi-structured interviews to determine the level of understanding and agreement with organizational vision.

Another outcome of leadership can be measured through members' perceptions of *leadership process*, such as does the leadership effectively: (1) encourage different points of view in discussion? (2) minimize personality differences? (3) deal with power struggles and hidden agendas? (4) encourage teamwork? and (5) identify and celebrate milestones? The Community Organizational Assessment Tool (Bright 1998) is just one example of tools that capture this aspect.

The resulting products of strong leadership are fed into the partnership conceptual framework and influence end outcomes. In other words, the indirect outputs of leadership, or the results, successes and failures, will be captured as part of the activities and outcomes of the organization.

2. Conflict Transformation

Strong leaders will also be able to resolve conflict. Conflict within partnerships is anticipated because, partnerships, by nature, will represent different community organizations and government agencies that may come to the table with varying goals or expectations. Partner

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[6] See literature by Edgar Schein (1992) on the impact of effective leadership on the enhancement of organizational culture.

members are expected to be committed to the developing partnership and also to their own organization. Furthermore, many partnerships have limited resources, but key leaders and representatives of member agencies are often expected to contribute more than they would receive from the partnership (Mizrahi and Rosenthal 1993). Research has shown that the ability to transform conflicts into progress for the partnership can be a major contributing factor to a partnership's ability to attain its programmatic goals (Chavis 1996). Members of the expert panel for this research study also felt strongly that conflict transformation should be a key factor related to partnership success. For this reason, we have designated "conflict transformation" as a key dimension underlying the partnership characteristics component.

Conflict transformation is the process where the resolution of a conflict builds the overall capacity of the coalition and actually makes it stronger (Lederach 1997, as cited in Chavis 2001). Chavis (2001) emphasizes that understanding conflict transformation will help build additional theory to explain how coalitions contribute to community and systemic change. Within partnership, Chavis (2001, 315) adds, "Awareness and acceptance of conflict transformation as an essential part of community coalitions is an important goal for future assistance to these coalitions." Chavis also states that a key facet of recognizing and transforming conflict is the development of an intentional strategy to increase the capacities of grassroots organizations and residents. Coalitions and partnerships should seek an equal distribution of resources, relations, and influences across the partnership that is reflective of the community that the partnership is working to improve. Recent research has documented that a big failure in previous community justice partnerships has been the tendency of criminal justice agencies to take control and not be sufficiently inclusive (Rosenbaum, 2002). These partnerships will only have a limited set of ideas about the problem and solution, and will be less likely to build community capacity.

Measurement

Because the literature on *conflict transformation* is relatively new, no tools or measures exist that

assess this process. However, conflict transformation, in many ways, is closely related to

transformational leadership in that a transformation leader will be able to recognize conflict and

resolve it to the betterment of the partnership. Similarly, strong collaboration is also somewhat

synonymous with the process of resolving conflicts and increasing partnership capacity. We

found a few tools that have items that reflect recognition and diffusion of conflict. These are the

Community Organizational Assessment Tool (Bright 1998) and *Emerging Leadership Practices*

(Stinnette, Peterson, and Hallinger 1996). In addition, Chavis (2001, 316) identifies four actions

that partnerships can undertake if they seek to transform conflicts:

1. Identify and recognize conflicts among members that derive from community conditions;
2. Equalize relations with powerful institutions and resources;
3. Create and support norms that allow conflict to be raised and transformed (e.g. conflicts can be presented to the coalition);
4. Provide assistance in resolving and transforming conflicts.

3. Structural Complexity

Structural complexity captures the overall configuration of the partnership based solely on the

number and types of partner agencies within the partnership. The complexity is, in its simplest

form, the number and type of partners and the basic arrangement of decision making processes

within the partnership. We define three structures: simple, moderately complex, and complex.

A *simple* structure involves, at the least, one community organization, and one other

agency, but at most three organizations. The structure is simple because there are only a few

partners, from only one or two sectors; one organization manages the initiative, while the other

organizations work toward the partnership goal, whether it is services or products. A *moderately*

complex partnership involves shared management or decision making, among more than two

partners, from at least three service or "product" sectors. Each partner carries responsibility within the partnership, and the partners span no more than two levels. A partnership moves from moderately complex to *complex* when either another *level* of organization enters the partnership, a new organization or alliance forms from the partnership, or more agencies from more sectors join the partnership. For example, a moderately complex partnership between the local police, local schools, A Street Business Association, and the Main St. Church, would become a complex partnership if either a Level three agency joins the partnership or these agencies and organizations form a new organization or alliance which takes on a new identity, such as the "Anytown Youth Task Force."

Complex partnerships are descriptive of multidimensional partnerships, also referred to as comprehensive community initiatives (CCIs) or collaboratives. Within these types of collaboratives there could be several separate but complementary partnerships and corresponding projects and purposes. The local police and school district can work together with parents and the community to have school resource officers, local police and probation officers can form a partnership with local service agencies, such as addiction recovery, to provide a monitored and service-oriented approach toward probation, and representatives from a local community group can sit alongside police officers and probation officers on a local youth intervention board, all under the direction of one large alliance or partnership.

Describing the structural complexity of a partnership will be useful mainly for descriptive purposes relevant to comparing and/or evaluating more than one partnership, and less so for analytical purposes for one partnership itself (e.g., formative evaluation or re-assessment of program strategies). For instance, the structural complexity of partnerships will influence other dimensions of partnerships such as resources available to the partnership, but without the

examination of multiple partnerships for comparison, structural complexity will be of limited value as a dimension to be examined internally by partnerships. Hence, we do not include a "measurement" section for this dimension.

4. Readiness

Partnerships can have the best intentions and best staff, but can still fail if the community is not ready to undertake the mission of the partnership. Because readiness can influence other partnership dimensions such as vertical and horizontal integration and resources, it is important for a partnership to gauge both the *readiness of the partnership* to tackle the proposed mission and the *readiness of the community* to receive the services or capacity building processes offered by the partnership. The concept of readiness is not fixed; communities and partnerships can move toward readiness.

Readiness is, in turn, influenced by a number of factors, including the impetus for the partnership, community structure, the capacity of the organizational partners, prior history of collaborations in the community, the existence of politics or turf wars, the funding history and current uncertainties, partnership over-saturation, and a community's willingness to evolve and change.

Community readiness theory is a relatively new theory that is grounded in two research traditions—psychological readiness for treatment and community development. The theoretical model is based on four premises: (1) that communities are at different stages of readiness for dealing with a specific problem, (2) that the stage of readiness can be accurately assessed; (3) that communities can be moved through a series of stages to develop, implement, maintain, and improve effective programs, and (4) that it is critical to identify stages of readiness because interventions to move communities to the next stage differ for each stage of readiness. For more

information on readiness theory, see Thurman, Plested, and Edwards, (2000) or Edwards, Jumper-Thurman, Plested, Oetting, and Swanson, (2000) for a history of the theory.

Measurement

There are a variety of ways a new partnership can assess readiness. *The Community Readiness Model*, discussed earlier in the "partnership member" section of the report (for *orientation* and *history*) can also be applied to partnership readiness.

In addition to the Community Readiness Model, there are a number of questionnaires exist that can be administered to partner entities to capture readiness. More detail is provided in chapter 6. These tools include, but are not limited to, the Community Key Leader Survey and the Consultation Opportunity List. The Community Key Leader Survey, as described earlier, is a survey of key community leaders to measure both individual and organizational awareness, concern, and action in the community related to the problem at hand (e.g., drug abuse, violent crime, reentry of prisoners). The Consultation Opportunity List asks current partner members to list potential partners and comment on the potential partner's recognition of the problem the partnership is working to solve, as well as commitment to tackling the problem.

Utilizing indicator data on community structure is another way to gauge community readiness. Indicators are measures of community environment that are believed to influence community outcomes (for detailed discussion, see Coulton 1995). Collection of contextual indicators— important demographic, social, economic, and education factors—is particularly useful in two scenarios: (1) examination of partnership outcomes over a number of years where key contextual variables change during that time and (2) comparison of initiatives across different community contexts (i.e., multi-site evaluations). Identification or selection of contextual indicators requires assumptions regarding how the environment may impact the dynamics of the partnership and both short and long term outcomes. The empirical research on

the relationship between community structure and crime provides a strong baseline from which to select important contextual indicators for use in partnership measures. Traditional contextual variables related to community crime include race and racial heterogeneity, residential mobility, poverty rate, affluent neighbors, vacant and boarded houses, and drug arrests (Bursik and Grasmick 1993; Coulton 1995). These data can be collected at the individual level through questionnaires and aggregated to the neighborhood level or can be collected at the neighborhood level by obtaining administrative data (e.g., U.S. Census, local government data, etc.). *The Civic Index*, discussed in the following chapter, provides a checklist of items related to community skills and processes that add to a community's overall capacity. These items can be used to construct measures of readiness and community context.

National, state and local funding agencies can benefit by assessing readiness before funds are allocated so that the agencies can guide the priorities toward increasing capacity in those communities that are deemed not ready for full implementation of a specified model or partnership activities. End outcomes may take longer to achieve when funds must first be used to build capacity, but the extant research supports the hypothesis that partnerships that include partnership capacity building increase the likelihood that partnership activities will have some effect on longer term outcomes related to crime reduction.

5. Vertical and Horizontal Integration

Vertical integration represents the level of integration of community organizations within the entire partnership with regard to decision-making and sharing of power with government agencies. The term vertical is used to denote that sharing of power across organization *levels*, as discussed under "Organizational Structure." Vertical integration also incorporates the ability to secure goods and services from the traditional powerholders. Vertical integration is the vehicle through which to examine relationships between community organizations and the traditional

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power holders. The vertical relations between community organizations and those in which citizens typically have less power is an important topic for evaluation. Mutually beneficial relationships may already exist between the community organizations and local police agencies, for instance, but if the partnership's mission requires presence of outsiders such as state leaders, the linkages between these agencies and the community organizations may hold particular influence on the success of the initiative.

Horizontal integration refers to the extent of resource sharing and communication with other community partner agencies or within organizational *levels*. For partnerships, assessing horizontal integration is particularly important because many agencies may come to meetings but may not show the commitment and level of cooperation that takes them beyond their own goals and objectives. Horizontal integration often occurs on a continuum from basic communication and networking take place without joint activities, to joint activities and then to the creation of joint goals as well as joint activities. At the highest level of the horizontal continuum, the linkages are extensive and cross traditional boundaries, more closely approximately true collaboration.

Achieving collaboration is a process and may be more pertinent to specific functions of the partnership (such as strategic planning or provision of feedback) than others. Partnerships and the organizations within them are expected to evolve into different stages from planning and formation to implementation, maintenance and outcomes. Collaboration can occur across the vertical structures (across levels), as well as within levels.

Measurement

With regard to measurement, the key variables for this component are related to collaboration. There are many tools that assess and evaluate collaboration and these tools are mentioned in detail in the following chapter. The tools range from ones that only examine collaboration, to

tools that incorporate collaboration as just one function of partnerships. Some of the key tools are *Emerging Leadership Practices*; the *Inter-organizational Network Survey*; and the *Local Collaborative Assessment of Capacity*. Other concepts closely related to collaboration (both vertical and horizontal integration) that are captured by some of these tools include *commitment*, *relationships*, *communication*, *trust*, *networks*, *connectedness*, and *community ownership*.

Network surveys are also useful tools to assess and evaluate relationships and the extent of communication and collaboration. As an evaluation tool for a program intended to create a multi-agency partnership, the technique can be used to ask how the program changed each potential partner's interactions with all the others. For a multi-site partnership initiative, network analysis can be used at the organizational or individual levels to measure and compare the evolution of partnerships and communication structures and test broader theories about partnerships.

Basically, network surveys usually contain a number of items for tracking relationships between and among organizations. Respondents indicate or quantify, (depending on the scale provided) for instance, how often each partner organization shared information, jointly planned or coordinated activities, or shared tangible resources. For organizations that did involve sharing there may be additional questions about whether there was a formal agreement or memorandum of understanding. Network surveys can be used to track changes in interagency relationships over time. A few researchers have applied network analysis techniques to examine the strength and depth of criminal justice collaborations (Ferguson 2002; Hendricks, Ingraham, and Rosenbaum 2001; Kelling et al. 1997; Moore and Roth 2001) but this research is in its infancy. Recently, Sridharan, and Gillespie (2004) used network analysis techniques to measure both the overall collaborative networks in community justice partnerships (termed "overall

connectedness) as well as the relationships of individual organizations to the rest of the network (termed "organizational connectedness). They used these techniques as part of a process analysis to evaluate the problem-solving capacity and the mechanisms that relate to sustainability for sites that were implementing the Comprehensive Strategy for Serious, Violent, and Chronic Juvenile Offenders, an initiative designed by the U.S. Department of Justice's Office of Juvenile Justice and Delinquency Prevention. The researchers hypothesized that increasing connectedness corresponds to increasing collaborative problem-solving capacity (i.e., partnership functioning).

6. Resources

The resources that are brought to the partnership are often central to the success of initiatives. Each partner organization has their own capacity, which is brought to bear on the partnership. In addition, the partnership, as a unit, has resources that help define the partnership. These resources are human, financial and technological. With regard to the partnership, however, resources are brought to the partnership generally through either (1) in-kind donations or pledges by partner agencies, (2) federal, state, local, or private grants, or (3) "fundraising" by the partnership through new activities related to the partnership mission (leveraged resources). This dimension of the framework provides a simple method to assess the availability and significance of partnership resources.

Human Resources

Human resources, including leadership and commitment from each partner agency, are a crucial asset to the collaboration. Representatives from partner agencies dedicate time and energy to the partnership. Without this commitment, there would be no partnership. To aid in the collaborative process, some partnerships create new positions such as organizers and assistants. The presence of an official organizer within a partnership can provide a level of organizational capacity within the partnership. It also provides a liaison between the community, the organization, and the

official partners. The presence of an organizer changes the structure of the partnership; he/she

adds a layer to the partnership that often dictates the power arrangements and patterns of

communication and collaboration.

Financial Resources

In many partnerships, there is a "funding catalyst" and this catalyst mandates some of the

structural characteristics of the partnership; the catalyst can be any federal, state, or local grant or

other source of funding for the initiative. In other partnerships, there is no "funding catalyst" and

either the partners or a lead agency will decide on some of the structural characteristics of the

partnership. In cases of an outside grant, other financial benefits, such as program money and

technical assistance (which can be expensive) may be available from the funder. In addition to

this, both grant-funded and non-grant funded partnerships must learn to maximize their potential

by leveraging resources from each other and other local agencies not directly involved in the

partnership.

In some cases, partnerships may have outside grant assistance that provide training and

technical assistance. Training and technical assistance also increases the human resources in the

partnership and may assist partnerships in achieving their goals, particularly when the nature of

the goals require specific technical skills. Technical assistance provided in concert with the

wishes of the members of the partnership often can be empowering to partner agencies (Kubish

et al. 1999).

Technological Resources

The availability of data systems and technology for information transfer among the partner

organizations is also part of partnership resources. In particular, partnerships that have systems

change as an explicit goal will necessitate fluid exchange of information and data sharing

capabilities. Information sharing, done properly, facilitates decision-making and decreasing the

chances of conflict breaking out. With the great advances made to computer technology and concomitant decline of prices, innovative data systems and sharing arrangements are cropping up in a number of community justice partnerships around the country. In some partnerships, the funder provides both hardware and software to facilitate data collection, reporting, and interagency communication.

Measurement

No one doubts that resources are needed for successful partnership functioning and achievement of outcomes. What is unclear, however, is which *types* of resources are most needed, and *how* the varying types of resources needed differ across partnership goals, and other framework components such as community context. Partnerships can examine their available resources as well as needed resources using a variety of measurement tools or techniques. One popular technique is the drafting or specification of logic models that itemize inputs and the linkages to activities and outcomes, and also incorporate what is known about community context. Other measurement tools include survey measurement tools that contain items regarding resources. Tools we found that incorporate measures for resources include the *Community Organizational Assessment Tool*, *Working Together: A Profile of Collaboration*, and the *Local Collaborative Assessment of Capacity*.

FRAMEWORK COMPONENT IV: PARTNERSHIP GOALS

Perhaps the most defining feature of the partnership is the purpose or mission of the partnership. The extent of a partnership's mission or goals, or purpose, will often dictate the size, shape, and target area of the partnership and the likely duration of its existence. Partnerships may be more likely to succeed when all partner agencies can articulate and agree on a common mission. Hence, partnerships should be able to specify the priority objectives that will set the initiative

along the path to achieve stated goals. In addition, it is impossible to track progress or evaluate

initiatives without a clear understanding of program goals, implementation sequences, and the

expected link between them and the expected program benefits (Butterfoss, et al. 1996b; Harrell

et al. 1996).

Problem Domains

We suggest that the first step within articulation of partnership mission be the specification of

objectives under different "service" domains. Separation of objectives into domains will assist

with linking activities to outcomes at multiple levels. It will also support the process of rational

designation of outcomes as intermediate or long term. After examining the strategies used in

community crime prevention and community justice activities, we have suggested seven

domains, in addition to the implicit "crime" domain:

- Social and physical disorder;
- Other quality of life;
- Community economic development;
- Employment;
- Other service and skills development;
- Youth prevention and intervention; and
- Substance abuse.

Objectives

Explicit objectives give community justice partnerships the ability to state measurable goals,

thereby beginning the process of linking activities to outcomes. Different objectives require

different methods or activities. For instance, if the goal of a partnership is to reduce fear of

crime, the objectives could include reducing physical and social disorder and increasing resident

interaction on targeted blocks. Reducing physical and social disorder can simply involve any

group of individuals, not necessarily community stakeholders, coming into the neighborhood to

clean up the streets and remove loitering or disorderly individuals. However, within a community justice model, the objectives would include articulating goals that involve increasing the capacity of community stakeholders to achieve informal control by themselves or within a partnership with government agencies. Because community justice initiatives involve both public safety and community capacity objectives, designation of the two types of objectives is a central feature of the framework. To "fill out" the framework, the model should articulate that an additional objective is increasing resident interaction (through block cleanups).

Measurement

This component of our conceptual framework can facilitate the development of logic models or activity models in conjunction with the remaining components of the framework (activities, immediate outcomes, intermediate outcomes, and long-term outcomes). Logic models provide a simplified description of the program, the intended immediate program products (outputs), and the intended outcomes. Activities models are similar to logic models, but provide more emphasis on the activities. Activities models specify how activities lead to other activities and eventually the desired outcome. Because empirical research evaluating community justice programs is limited, we suggest that the detail provided by activities models may be expressly useful in building a solid body of research examining strategies and related outcomes. In addition to logic models and/or activities models, programs can benefit from having an action plan that specifies resources needed for each activity, partner entity leaders for each activity, a timeline, barriers that may be encountered, and plans for surmounting barriers. Plans can be viewed as important immediate outcomes of partnership efforts (Burns and Spilka 1997; Butterfoss et al. 1996b).

Butterfoss and colleagues (1996a) have developed a tool for measuring and improving the quality of plans. The Plan Quality Index (PQI) was developed to rate community prevention plans on the basis of whether they meet given criteria that define quality plans. The PQI can be

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used to build capacity for self-evaluation through continued structured feedback on plans and
activities.

FRAMEWORK COMPONENT V: ACTIVITIES

Component V is an extension of Component IV. Component V involves articulation of activities
to achieve stated objectives. Articulation of activities is part of the planning process. And
planning is essential to the success of the effort. Actual realization of activities moves the
partnership into the implementation stages. Activities within community justice partnerships can
be targeted toward public safety objectives or increasing community capacity objectives. In
addition, a single activity could be targeted to achieve both public safety and community
capacity objectives. For instance, monthly block cleanups targeting the reduction of physical
disorder may increase public safety by reducing fear, and at the same time increase community
capacity as residents begin to interact with neighbors and volunteers on a regular basis.
Specifying activities related to both increasing public safety and community capacity (even if
they are the same activities) will assist with articulation of the underlying theory of change, and
more specifically, how the activities can bring about the desired change.

Measurement

Research shows that partnerships may begin to encounter difficulties translating plans into
effective community actions that produce outcomes (Burns and Spilka 1997; Butterfoss et al.
1996a; Butterfoss et al. 1996b; Fawcett et al. 1995; Goodman et al. 1996). Goals may to be too
ambitious relative to resources, or planning may have occurred without a needs assessment.
Planning without a needs assessment may result in plans to target a problem that is not viewed as
a community priority and hence, will elicit little community support. Partnerships with multi-
faceted goals necessitate a variety of strategies and activities that have multiple components and

targeted outcomes within different problem domains and across levels of change. One strategy for overcoming implementation problems at the activities stage is the utilization of tracking logs to monitor level of effort during implementation of program or activities. Logs can reflect activities accomplished, changes that occurred in the community, and the willingness of residents to join the effort. Logs can be reflective of changes and activities occurring at multiple levels of change including the organizational community and policy level. The logs provide a systematic method to assess how program activities may be related to changes within the community and the partnership itself.

The Plan Quality Index, mentioned in the previous section, can facilitate the articulation of activities and whether the specific activities have been completed.

FRAMEWORK COMPONENT VI: IMMEDIATE OUTCOMES—PARTNERSHIP CAPACITY

Community justice partnerships, regardless of specific mission, are entities that are designed to promote effective community change. As stated earlier, this component of the framework is designed to capture this capacity and build a common understanding of the partnership conditions needed to effect change. The focus on capacity emphasizes that partnerships are: (1) dynamic and will have varying capacities depending on the sub-dimensions outlined within Components I-V; (2) influenced by resources and can be easily affected or adjustable by outside technical assistance and capacity building efforts; (3) transferable, in that the capacities created within and by the partnership can influence other neighborhood and community dynamics; (4) partnership capacity will influence end outcomes—and partnerships can just as easily have weaknesses as well as strengths (Foster-Fishman et al. 2001).

Essentially, partnership capacity is the result of the characteristics of the partnership. Leadership and resources form a new collaborative structure that enables the ability to: recruit

and mobilize stakeholders, problem solve, develop and implement plans and associated activities, communicate and collaborate internally, network with outside agencies, engage resources that were unavailable to individual partner members, establish new process and technologies to facilitate communication and collaboration, and to make larger changes in the external environment. Failure to achieve these immediate outcomes will indicate that the partnership may not have any demonstrated value over activities that would have occurred in absence of the partnership (Yin, Kaftarian, and Jacobs 1996).

Systems Change

Partnership functioning and capacity is synonymous in many ways with systems change. Systems change is the process of changing how business gets done for the betterment of the community. It can involve anything from bringing together actors from different institutional contexts who logically need to interact, but had not previously done so to wholesale systems change, including changes in policies and practices of institutions brought about collaboratively/jointly to accomplish mutually agreed upon reforms. Systems change utilizes strategic planning, expansion and diversification of funding sources and strategies through the support of key leaders in government and community organizations. Systems change goals of community justice initiatives may be isolated to a limited geographic location or single jurisdiction, or may be introduced on a limited scale with the intent of expanding system wide at a later time if they appear successful. Although systems change is closely related to partnership functioning, some types of systems change are not immediate, and should be designated as *intermediate or long-term* outcomes.

Measurement

Measurement of partnership functioning allows the partnership and researchers to not only ask: "what outcomes (both intermediate and long-term) did the partnership produce?" but

also "what was the quality of the partnership itself?" As stated above, increases in partnership functioning relate to increases in the likelihood of achieving end outcomes.

Measurement of partnership functioning can be achieved through the use of logic models to specify partnership functioning goals and whether the goals are immediate, or would involve gradual change over a longer time period. Because partnership capacity is the result of the aggregation of partnership characteristics, the measurement of the two components sometimes overlaps. To distinguish measurement of partnership functioning from partnership characteristics, we suggest that measurement of partnership functioning involve hypothesized *increases in* various dimensions of partnership characteristics (e.g., horizontal and vertical integration), or *changes in the level* of systems integration. Foster-Fishman and colleagues (2001) have developed an inventive model for building collaborative (i.e., partnership) capacity that provides a good foundation for developing measures related to partnership capacity. They discuss critical elements of capacity and strategies for building core collaborative capacities across four types of capacity: member capacity, relational capacity, organizational capacity, and programmatic capacity. Strategies used for building relational capacity and organizational capacity are particularly relevant to our definition of partnership capacity. For instance, the authors include such strategies as: regularly review coalition policies, rules and processes; develop quality plans; promote active communication; build financial resources; develop a monitoring system; build external relationships; and create inclusive decision-making. These strategies can be turned into measures by examining the partnership's ability to successfully enact these strategies or more specifically by creating specific outputs (tangible results/direct products) or benchmarks for these strategies. As an example, one can take the strategy "build

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financial resources" and develop an output relating to the development and institutionalization of an annual charity fundraising event.

A search of the literature for other measures related to partnership functioning revealed a handful of techniques, tools, and checklists. Chapter 10 of the Evaluation Guidebook for Projects Funded by S.T.O.P. Formula Grants Under the Violence Against Women Act (Burt et al. 1997) provides three tables that contain performance indicators related to assessing community collaboratives to reduce violence against women. Two of the three tables can be used to identify general measures and data collection methods to track partnership functioning. Partnership functioning is denoted in their text and tables as "establishing an effective, stable, and continuing community response," and "achieving systems level outcomes." Indicators related to stability of community response (Table 10.1 in Burt et al. 1997) include the presence of new partners, achievement of diversity of members, and active engagement of partnership members. Measures of systems level outcomes (i.e., immediate outcomes) (Table 10.2) include frequency of positive communication among members, creation of informal communication networks, and creation of a written mission statement.

Additional tools (described in detail in the following chapter) include: E*merging Leadership Practices; Working Together: A Profile of Collaboration;* and *the Local Collaborative Assessment of Capacity*.

FRAMEWORK COMPONENTS VII AND VIII: INTERMEDIATE AND LONG-TERM OUTCOMES

In addition to the immediate outcomes related to partnership functioning, there are longer-term outcomes associated with the passage of time. Specific activities can cause intermediate outcomes, such as changes in attitudes when activities provide knowledge about issues or problems (e.g., public awareness campaigns). Activities can be associated with intermediate

outcomes or community functioning changes such as increased community satisfaction that may then be associated with longer-term outcomes such as reductions in disorder or crime. These intermediate outcomes are often referred to as mediating variables. Strong theory and repeated empirical examination of intermediate and long term outcomes facilitates the specification of outcomes over time. Partnerships will differ markedly in articulation of intermediate and long-term outcomes. In addition, one partnership's intermediate outcomes, may be another partnership's long-term outcomes. We recognize that although outcomes should be articulated with a foundation in theory and program practice, the research is limited about the ordering of particular outcomes related to reduced crime and increased quality of life.

Outcome levels

In addition to distinguishing between intermediate and long-term, partnerships should also distinguish outcomes by levels. By definition, community justice partnerships seek change at the community/neighborhood level. However, community justice partnerships can also seek change at the family and individual level, as well as at the organizational, and systems level.

Community Level

All community justice partnerships target community level change. Community level change can be divided into two areas: the aggregate aspects of individual level change and changes with regard to community functioning and the development of community capacity. Aggregate characteristics would include, for instance, community crime and drug arrest rates, high school completion rates or drop out rates, and rates of teen birth. With advances made to computer hardware and software, collection of appropriate community-level indicators has become less arduous, but still holds great challenge. Problems exist with overcoming confidentiality issues and the presence of unreliable or invalid data. In some cases, existing data may not be accessed by the public or may be expensive to obtain, particularly parcel-level data. Existing data sources

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may be available but this data may not be exactly what is needed or may be incomplete. Primary data collection of indicators can be expensive and time consuming.

Community capacity, "community functioning" or quality of life-related indicators could include measures of community satisfaction, community confidence, voter turnout and participation in community organizations (i.e., civic engagement), and collective efficacy. Criminal justice research illuminating the relationship between community justice activities and community functioning is in its infancy.

Individual and Family

Often, programs that have missions addressing the underlying causes of crime, target individual and family outcomes such as reductions in recidivism, substance use, gang affiliation and family violence. Activities often include providing individual social services or comprehensive services through case management. Comprehensive Community Initiatives that, by nature, encourage membership in coalitions across multiple service domains, usually target individual level outcomes, as well as community level outcomes.

Organizational Level

Some partnerships may explicitly articulate goals related to increasing the capacity of individual partnership members or other community organizations external to the partnership. Examples of these outcomes could include increases in the number of grants or funding sources secured by partner agencies, expansion of technological resources within organizations such as movement away from paper filing systems to integrated electronic data systems. Partnerships that are successful in achieving systems change most likely will also effect change at the organizational level.

Long-term Systems Change

Community justice partnerships having an explicit goal of long-term systems change will have different priorities and may yield a different set of outcomes than partnerships that do not specify goals at the systems level. It is worth noting that partnership efforts may achieve systems change without specifying it as an outcome. Partnerships that have the ambitious goal of systems change may need to: (1) agree on the nature and extent of the problems they wish to address and the processes by which these problems should be resolved, (2) be willing to examine and change current cultures, roles, world views, and level of resources, (3) collaborate in addressing problems by sharing data, financial resources, and personnel, and (4) work together to change local ordinances or state or national legislation.

The definition of systems change will vary widely from partnership to partnership and from partner member to partner member. It is particularly helpful to establish desired systems change goals up front and with input from all partner members. Advocating for systems change goals may be a valid goal of partnerships, but these goals may spark tensions or conflict among partner members because it is likely that partner member resources vary widely. Partner members that have limited resources at the outset of the partnership may have to dramatically change long-standing policies and procedures to reach systems change, and it may be exceedingly difficult to do so. Activities designed to assist these partner members or provide technical assistance will facilitate the process of achieving successful long-term systems change.

Measurement of Intermediate and Long-term Outcomes

Because the intermediate and long-term outcomes articulated by partnerships will vary dramatically, we do not provide a detailed discussion of suggested tools, with the exception of pointing readers to examples of intermediate community outcomes in the *Survey of Collaborative Members-Spring 1999*, and long-term outcomes provided in Table 10.3 in chapter

10 of Burt and colleagues' (1997) *Evaluation Guide*; and reiterating the importance of logic models and action plans for articulating outcomes and linking plans and activities directly to outcomes in a logical and orderly manner. It is somewhat of a paradox to state that partnerships should base their stated intermediate and long-term outcomes in evidence based practices from the criminological research literature because the evidence on successful community justice partnerships is scant. However, research does provide a solid foundation from which partnerships can, at least, hypothesize about desired goals.

FRAMEWORK COMPONENT IX: COMMUNITY CONTEXT

Local action—involving residents, local organizations, and partnerships with other organizations—must be understood in the context of the relationships between these actors, groups, and actions. The conceptual framework reflects the influence of community conditions on all other components of the framework. Community context can include structural characteristics of the neighborhood, such as concentrated disadvantage, residential stability, population density, and homogeneity as well as environmental characteristics, such as the local and state level political and economic environment.

For some components, the relationship is bi-directional—the outcomes of the partnership will also influence community context. Because community justice partnerships have the explicit goal of impacting community life, it logical to specify that community-related outcomes exert influence on community context. However, it is less obvious, but certainly possible, that reductions in individual level crime or behavior will impact the larger community environment.

Key leaders from the successful case studies often reported that community context helped create a foundation for a successful partnership. For instance, MGIP leaders in Mesa stated that the uniqueness of Mesa being Mormon-based community influenced residents'

willingness to take part in initiatives to reduce crime and increase the quality of life. The partnership reported they were successful in mobilizing community residents to join in the effort to reduce gang crime. When the city was planning on cutting funding for MGIP after federal funding ceased, residents voiced their concern and were successful in keeping the city from doing so. Leaders from the Cherry Hill HotSpots Initiative believe that the geographic isolation of their community works in their favor to encourage a cohesive community that has high levels of informal social control.

Measurement

Measurement of community context is inherently difficult for a number of reasons. Community context has many domains, from political and economic to social, as well as varying levels, such as internal or local influences, versus the larger external influences such as state politics. A single partnership may not need to assess community context, but when comparing outcomes across partnerships or site, an understanding of community context becomes vital. However, many partnerships will want to assess context as a baseline for understanding partnership progress over time. As stated in earlier sections, community context is related to community readiness, and measures discussed under "readiness" may be appropriate for assessing the larger community context. These include *The Civic Index* and the development of a community indicators database to capture basic economic and demographic information on the geographic community targeted.

CHAPTER SUMMARY

Our revised conceptual framework has been developed to standardize a process for assessing and evaluating partnerships. The framework is dynamic—namely, it includes four fluid phases that reveal the interaction between a capacity building partnership and the attainment of long-term

goals, including sustainability (if desired). The phases correspond to nine partnership

components:

1. Impetus for partnership;
2. Partnership members;
3. Partnership characteristics;
4. Goals;
5. Activities;
6. Immediate outcomes: partnership functioning/capacity;
7. Intermediate outcomes related to: (a) crime reduction, and (b) community health;
8. Long-term outcomes related to: (a) partnership functioning (systems change), and (b) specific programmatic objectives (programs or projects that resulted from partnership; and
9. Community context.

For some of these components, we articulate important sub-dimensions that comprise

each component. In particular, the sub-dimensions under Component II and III stand out as key

measurement areas. A summary listing of these sub-dimensions is depicted in Figure 5-3. For

these sub-dimensions as well as other dimensions for the remaining components, we briefly

discussed measurement issues and related tools—where appropriate—setting the stage for more

detail on the tools to be provided in the following chapter.

II. Partnership Members

Organizational Structure

Leadership

Resources

Orientation & History

III. Partnership Characteristics

Lead Agency Type and Leadership

   Transformational Leadership

Conflict Transformation

Structural Complexity

Readiness

Vertical and Horizontal Integration

Resources

Figure 5-3. Sub-Dimensions Amenable to Measurement, Framework Components II and III

CHAPTER 5: Applying the Framework: Successful Partnerships

This chapter presents a short cross-site summary of the case studies conducted for five successful community justice partnerships. Full summaries of each site can be found in Appendix B. The partnerships are:

1. The Mesa (Arizona) Gang Intervention Program (MGIP);
2. The Greater Coronado (Arizona) Neighborhood Association Probation Partnership;
3. The Baltimore (Maryland) Reentry Partnership (REP);
4. Cherry Hill (Maryland) HotSpots Community Partnership; and
5. The Fort Myers (Florida) Public Housing Policing Initiative.

As stated in chapter 3, the partnerships varied greatly across a number of characteristics including type of partnership, complexity and size, impetus for partnership, goals targeted, general partnership capacity, and sustainability. Of the five partnerships, three are policing partnerships (Mesa Gang Intervention Program, Cherry Hill HotSpot Community, Ft. Myers Public Housing Policing Initiative), one is a probation partnership (Greater Coronado Neighborhood Adult Probation Partnership) and one is a corrections partnership (Reentry Partnership). Below we provide a brief summary of each partnership, followed by a depiction of each site's partnership framework, utilizing the conceptual framework discussed in the previous chapter. Tables are also presented to assist easy comparison of features across sites. Because the partnerships varied greatly across targeted goals, we did not feel a detailed comparison of various goals and objectives would be useful to the reader. We instead utilize the tables to provide a quick reference of partnership strengths across sites, and focus our discussion on what we felt were the key ingredients for sustainability.

THE PARTNERSHIPS

- The Mesa (Arizona) Gang Intervention Partnership (MGIP): In September, 1995, the City, on behalf of the Steering Committee, applied for federal funding from the Office of Juvenile Justice and Delinquency Prevention (OJJDP) to implement the *Comprehensive Community-wide Approach to Gang Prevention, Intervention, and Suppression* in Mesa, a policing partnership focused on reducing gang-related crime. In 1995, Mesa, Arizona was selected as one of five jurisdictions to receive funding. The gang intervention model implemented, known as the "Spergel" Model, centers around five strategies for serving gang-involved youth and their communities: (1) community mobilization, which encourages involvement from local citizens as well as key leaders of organizations; (2) opportunities provision, which offers specific programs to gang-involved youth; (3) social intervention, in which an intervention team will "reach out" to youth and provide them with needed services; (4) suppression, which involves social control procedures by the police, probation, parole, etc.; and (5) organizational change and development, which revolves around the development and implementation of policies and procedures to provide better resources to gang-involved youth (OJJDP, 2002). The specified goals include: to reduce individual-level gang-related crimes; to improve public safety at the community level by reducing crime rates, and to increase community capacity by creating a jurisdiction-wide integrated system of services for gang-involved youth.

  Staff included a project coordinator, a research partner, and an intervention team. The intervention team conducted outreach and provided services and referral to the gang-involved youth. The key goal of this group was for the members to work together and share information in order to help each youth receive opportunities for intervention. The MGIP team operated out of a storefront office in the target community. The MGIP gang detectives and probation officers held program youth accountable through surveillance and routine monitoring and supportive street outreach workers and staff from community-based agencies who ensured delivery of services. Throughout the project key services included: mentoring, literacy, job development, young men's and women's counseling groups, life skills, cognitive restructuring counseling, substance abuse prevention, STD classes, and parenting classes.

  When MGIP was at capacity, the project served roughly 100 youth and young adults a day. The target number of probationers was 55, and another 40-50 were recruited from other sources that included referrals from schools, the city court (diversion youth), and recruitment by outreach workers.

  Under a research grant from the OJJDP, the University of Chicago conducted impact evaluations for the five Spergel model sites. The evaluation of MGIP found that the targeted community experienced significant reductions in individual-level recidivism, as well as community-level reductions in crime compared to a comparison area (Spergel, Wa, and Sosa 2002).

- The Greater Coronado (Arizona) Neighborhood Association (GCNA) Probation Partnership: This partnership, between the GCNA and Maricopa County Adult Probation, was designed to reduce crime and recidivism through a community problem-solving

model where offenders are held accountable to their community. The local probation office has three probation officers who work out of a church in the community. The officers supervise approximately 235 probationers who reside in Coronado (Clear and Cannon, 2002). Probationers are required to participate in community service projects and other projects that bring them in contact with neighborhood residents.

Through the GCNA a core group of residents is very involved in problem solving and increasing neighborhood capacity to problem solve. The core group attends all the neighborhood meetings and all the community service projects. They mobilize other residents to become involved. There are approximately 300 neighborhood association members (fee-paying members) and around 30-35 people who attend the monthly neighborhood meetings. The Greater Coronado Neighborhood Association, a 501(c)3 nonprofit association, is self-sustaining and holds a number of events and benefits yearly to raise funds The neighborhood sponsors GAIN (Getting Acquainted In your Neighborhood) every year and probation officers and police come out to mingle with residents.

To date, the Coronado-probation partnership has not been formally evaluated. However, a small evaluation was conducted by Arizona State University in 1995-1996 to evaluate the first year of implementation of the larger CCP partnership. The evaluation found that both violent and nonviolent crime dropped in Coronado between 1995-1996, compared to a similar neighborhood and, as well as the entire city of Phoenix (Vandergrift, Fernandez, and Humphrey, 1997). The probation partnership also has been deemed a model community justice program by research experts in the community justice field (see Karp and Clear, 2002).

▪ Baltimore Reentry Partnership (REP): REP is a corrections-based partnership with the dedicated goal of increasing community reintegration for state prisoners returning to the Baltimore area. At the time of our site visit in August 2003, REP was serving returning prisoners in four targeted zip codes that encompass three Baltimore neighborhoods—Druid Heights, Sandtown-Winchester, and Greater East Baltimore. At that time, the program served approximately 15-20 returning prisoners per month per neighborhood. These sites were chosen by REP because of the disproportionate number of offenders returning to these areas. Due to the number of partners involved and the variation in strategic efforts across the three neighborhoods, we chose to focus on only one of the three neighborhoods—Greater East Baltimore.

REP's model is based on incorporating a pre-prison release plan into a strong post-release plan. While incarcerated, soon-to-be-released prisoners attend an exit orientation, which is designed to introduce them to both the available resources and their expected responsibilities upon release. At the time of release, clients meet with a "buddy" or case advocate to assist in the immediate transition process. REP then links the released prisoners to a number of services through the Chance Center, a centralized one-stop shop that connects individuals with a variety of services. There are generally four individuals that serve as the core team to assist the client with his reentry plan: the parole officer, a case manager that is part of the East Baltimore Community Corporation's (EBCC) Ready Work Grow (RWG) program, an employment specialist through EBCC's GATE program

(Gaining Access to Training and Employment), and the case advocate. In addition, inmates are expected to take an active role in developing and implementing their plans. The REP strategy includes two years of intensive case management.

Although REP has not been evaluated, Enterprise staff are tracking recidivism rates of REP clients. In September 2003, we were given the following statistics for clients from the three neighborhoods: Of 209 REP clients to date (from the inception of the program), only 2 percent had committed new crimes, 5 percent had technical violations and 7 percent had "noncompliance" orders issued.

- Cherry Hill (Maryland) HotSpots Community (HSC) Partnership: The initiative, launched in 1997 by the Governor's Office on Crime Control and Prevention (GOCCP), under Lt. Governor Townsend, supported comprehensive community-based crime reduction strategies in neighborhoods across the state. The initiative was implemented statewide, allowing every county to target a high crime area and apply for focused funding for that area. Coordination was a key component of the initiative, which aimed to integrate services across policing, probation, youth services, the community, and in some sites, addiction recovery, victim assistance, business revitalization, prosecution, and crime prevention through environmental design. In addition to receiving state funds, the selected HSC sites received targeted operational and technical assistance for team building, technical troubleshooting, and problem-solving. The sites also received priority consideration for other federal and state programs such as Americorps, teen pregnancy prevention programs, and the Drug Early Warning System.

  In 2003, the new Governor Ehrlich, revealed his new program, Collaborative Supervision and Focused Enforcement (CSAFE), which supplemented the previous administration's HSC initiative. CSAFE draws on many of the successes of the various HSC sites. Some consider CSAFE to be an extension of HSC, as it has similar methods and goals as HSC. However, the new governor has described CSAFE as "unique." It supplemented HSC in that existing HSC sites fought for the limited CSAFE funding—a reduction from roughly $10 million under HSC to $3 million for CSAFE. Only 47 of the existing 61 HSCs were funded as CSAFE sites (including only three of 12 Baltimore sites). The Cherry Hill HSC was one of the three Baltimore sites.

  An evaluation of the Cherry Hill HSC was conducted as part of a larger multi-site evaluation of the Maryland HSC initiative. Woods, Sherman, and Roth (2002) conducted a crime trend analysis from 1996-2000 and found that the Cherry Hill neighborhood witnessed a steeper decline in crime than Baltimore as whole.

- The Fort Myers (Florida) Public Housing Policing Initiative: This policing partnership is a collaboration between the Fort Myers Housing Authority (FMHA) and the Fort Myers Police Department. A formal contract between the housing authority and the police Department originally was drawn up as part of the U.S. Department of Housing and Urban Development's Drug Elimination grant, which FMHA received between 1997 and 2002. The contract supports police services in the housing developments above baseline services and specifies the role for officers to play. The contract has been revised and expanded over time, most recently after the end of the Drug Elimination grant funding. At the time of the site visit, FMHA paid overtime pay for police services.

This partnership has helped form a relationship not only between the police and the Housing Authority, but also between the police and the housing residents. When the partnership started, very few residents came to the community meetings. To engage the residents, officers walked door-to-door, introducing themselves and giving out cards with their pager and work cell phone numbers. They let residents know that they were there to help them and try to get them involved in their own neighborhood. Resident attendance at community meetings increased dramatically because of the work of the officers and housing managers.

The key partners also worked hand-in-hand with the mayor's office, the Housing Board, and the city council to determine the most effective steps to alleviate broader housing problems. Throughout this partnership the Executive Director and the Chief of Police, even when these positions have changed, have met formally every two weeks to discuss issues and determine goals as well as steps to achieve those goals.

There has been no formal evaluation of the public housing initiative or any formal or informal community surveys. However, internal data supplied by the Fort Myers Police Department indicate a much steeper downward trend in crime between 1997 and 2002 than for the city of Fort Myers as a whole.

Table 5-1 presents an overview of the five partnerships highlighting selected characteristics that include type of partnership, structural complexity, impetus for partnership, and sustainability. The final two columns summarize responses by staff interviewed when asked to report on the most important asset of their partnership and the most serious barrier to success. The respondents were provided with a list of possible assets and barriers and were ask to rate each one on a scale of 1 to 10, with 10 being the most important or most serious.

Figures 5-1 through 5-5 provide our depictions of each site's "conceptual framework," based on information gathered from site visits and administrative data. As discussed in chapter 1 of this report, the conceptual framework can act like a detailed logic model that provides a framework for partnership assessment and evaluation. In "real time," the conceptual framework would be expanded to provide a more detailed depiction of partnership characteristics (component III). Key partnership characteristics could then be linked to the immediate outcomes of partnership functioning. Furthermore, real time frameworks would change over the four

phases of a partnership. For instance, it would be possible to have four separate frameworks that would guide the continuing development of the framework.

In addition to Table 5-1 and the conceptual frameworks, we provide a cross-site summary of key strengths for two of the main framework components: *partnership members* (Table 5-2) and *partnership characteristics* (Table 5-3).

With the exception of the Baltimore Reentry Partnership, all partnerships formally began with the availability of federal funding. Similarly, the availability of funding was a prominent theme throughout the life of the partnership for all partnerships, with the exception of the REP. REP leaders worked hard to obtain funding from the start from a wide variety of sources, and never lost focus on the core idea that the community agencies should be mostly responsible for funding after the first three years. Funding was rarely mentioned as a problem for REP throughout the site interviews with REP key leaders. On the contrary, the majority of key leaders across the four other partnerships stressed the importance of funding.

Table 5-1. Summary of Five Case Study Partnerships, Selected Characteristics

Partnership Name (Primary Justice Agency)	Structural Complexity of Partnership	Impetus for Original Partnership	Sustained?	Most Important Asset (scale of 1-10)	Most Serious Barrier (scale of 1-10)
Mesa Gang Intervention Program (MGIP) (*Policing*)	Comprehensive; Led by Police Department	Growing gang violence problem; taskforce existed prior to OJJDP funding	After 6 yrs of OJJDP funding, city of Mesa picked up for 2 years, then dropped	Dedication to a common goal (9.8)	Funding (8.4)
Greater Coronado Neighborhood— Adult Probation Partnership (*Probation*)	Simple (two partners); neighborhood association and Probation	Backdrop of successful Comprehensive Communities Program (CCP); Probation moving toward new community justice philosophy; no funding	Yes. Fully self-sustaining	Leadership tied with collaborative relationships (9.2)	Funding *tied with* agency policies (5)
Baltimore Reentry Partnership (East Baltimore site) (*Corrections*)	Comprehensive; Intermediary (Enterprise Foundation) is lead; government lead is Dept. of Correction	DOJ/NIJ approached Maryland DOC to discuss reentry initiative. No funding, just ideas	Continuing today. Model expanded from three neighborhoods to more with SVORI funding. Also State of Maryland priority for expansion	Dedication to a common goal (10)	State policies and government agency leader turnover (5)
Cherry Hill HotSpots Community Partnership, Baltimore (*Policing*)	Comprehensive; Led by Mayor's Office on Criminal Justice (MOCJ); locally coordinated by community agency	State of Maryland initiative. Based on successes of CCP. Initial funding from state and city (federally-administered block grant with 10% city match; 10% community match)	Somewhat sustained. Continued as a CSAFE site in 2003--a new state initiative somewhat related to HotSpots.	Funding	Funding
Fort Myers Public Housing Initiative (*Policing*)	Simple (three partners); housing authority, residents and police	Growing violence in public housing. Applied for and received HUD Drug Free Communities grant for all years of program	Picked up by Housing Authority after HUD program eliminated	Collaborative relationships (9.5)	Funding (5.8)

I. Impetus for Partnership:
- Focus on school violence/gangs
- Availability of federal funding
- United Way campaign: Building a Healthy Mesa

II. Partnership Members:

Level 2:
- Mesa Juvenile Probation
- Mesa Police Department
- City Public Schools
- City Council
- Boeing

Level 1:
- Boys and Girls Club
- Prehab of Arizona
- Mesa United Way
- Mesa YMCA

III. Partnership Characteristics:

1. Lead agency type and leadership
Mesa PD: transformational leadership
2. Conflict transformation
Leadership skilled in conflict transformation
3. Structural complexity
Complex partnership
4. Readiness
Partnership and community ready to tackle gang problems
5. Vertical and horizontal integration
High vertical and horizontal integration with exception of no frontline staff on Steering Committee
6. Resources
Full gamut of human, financial, and technological resources; limited financial resources toward end of OJJDP funding

IV. Goals:

Development of structured, comprehensive, community-wide approach to reduce gang activity:
- Reduction of community-level gang activity;
- Reduction in individual-level arrests

V. Key Activities:
- Steering Committee
- Parent program/Parent intervention groups
- After school programs
- Mentoring program
- Tattoo removal
- Case management meetings
- Discussion groups, counseling at MGIP office
- Pre-hab youth and family counseling program
- Use of G.R.E.A.T. resources
- Community projects

Continuing Activities
- Funding for tattoo removal, other programs continued
- Ongoing efforts to mobilize community

New Activities
- Development of media relations
- New fundraising
- Increased bilingual outreach

VI. Immediate Outcomes: Partnership Functioning
- Developing degree of conflict transformation among partners
- Increased communication, increased collaboration
- Increased information sharing
- Increased ability to leverage resources
- Increased capacity of smaller agencies to serve community
- Increased recognition of gang problems and understanding of gang behavior by leaders

VII. Intermediate Outcomes: Crime-Related

Changes in:
- Norms regulating individual behavior
- Norms regulating group-based criminal behavior
- levels of anger, aggressive behavior

VII. Intermediate Outcomes: Community and School-Related
- Awareness of intervention
- Support for intervention/law enforcement
- Pro-social environment for residents
- Increased attachment to school
- Increased attachment to community

VIII. Long-Term Outcomes
- Reduced individual level violence
- Reduced community-level violence

Community Context

Emerging gang context; large city with small town feel; high home ownership; low residential mobility; low density; family-oriented community; limited recreational opportunities; strong community leadership; strong collaboration among government agencies; history of agencies working together

Figure 5-1 Mesa Gang Intervention Program (MGIP) Conceptual Framework

I. Impetus for Partnership:

• Comprehensive Communities Program Grant (1995)

• Localized community supervision idea takes hold

II. Partnership Members:

Level 2:

• Maricopa County Adult Probation

Level 1:

• Greater Coronado Neighborhood Association

III. Partnership Characteristics:

1. *Lead agency type and leadership*
   No leader; shared responsibilities; no turnover
2. *Conflict transformation*
   Both partners skilled in conflict transformation
3. *Structural complexity*
   Simple
4. *Readiness*
   Partnership and community ready to tackle issues
5. *Vertical and horizontal integration*
   full collaboration across agencies, community involvement through nature of community partner
6. *Resources*
   Strong human resources; high level of in-kind resource dedication

IV. Goals:

Individual-level:

• Increase offender accountability and reduce recidivism

Community-level:

• Build informal social control and community cohesion

V. Key Activities:

• Probation office placed in heart of community
• Regular problem-solving
• Newsletter to keep community informed
• Regular community meetings
• Community service by probationers
• Residents attend community service projects
• Website

Continuing Activities

• All core activities continuing

New Activities

• Block Watch grant activities (2002)
• Fight Back funded activities (2003)

VI. Immediate Outcomes: Partnership Functioning

• Increased problem-solving
• New communication between corrections and community/ information sharing between corrections and community
• Increased ability to leverage resources
• Increased trust among organizations

VII. Intermediate Outcomes: Crime-Related

• Reductions in probation violation/Increased compliance with terms of supervision
• Increased accountability and connection to community

VII. Intermediate Outcomes: Community and Systems

• Increased trust in the police/probation by community
• Neighborhood beautification
• Increase in satisfaction with neighborhood
• Increase in social cohesion
• Increase in social control

VIII. Long-Term Outcomes

• Reduced individual level arrests
• Reduced recidivism
• Lower levels of aggregate crime
• Increased property values

Community Context

High crime, low quality of life at outset; prior experience with problem-solving partnerships; commitment to community justice concepts by Probation; very strong neighborhood group; growing experience and success with fundraising.

Figure 5-2 Greater Coronado Neighborhood Adult Probation Partnership Conceptual Framework

I. Impetus for Partnership:
- Community leaders recognized reentry problem
- NIJ selects REP for reentry technical assistance

II. Partnership Members:

Level 3:
- Maryland Division of Correction (MDOC)
- Maryland Division of Parole and Probation (DPP)
- Enterprise Foundation
- State's Attorney's Office
- Governor's Workforce Investment Board
- Department of Juvenile Services
- The Department of Health and Mental Hygiene

Level 2:
- Mayor's Office of Employment Development
- Baltimore Police Department
- The Mayor's Domestic Violence Coordinating Comm.

Level 1:
- East Baltimore Community Corporation
- Empower Baltimore Management Corporation

III. Partnership Characteristics:
1. *Lead agency type and leadership*
   Intermediary: transformational leadership
2. *Conflict transformation*
   Leadership skilled in conflict transformation
3. *Structural complexity*
   Complex partnership
4. *Readiness*
   Partnership and community ready to tackle reentry
5. *Vertical and horizontal integration*
   High integration
6. *Resources*
   Strong human resources

IV. Goals:

Individual-level:
- Increase offender accountability and reduce recidivism

Community-level:
- Build informal social control and increase service capacity

Systems-level:
- Build inter-organizational partnership through information sharing and better assessment

V. Key Activities:
- Utilization of strategic planning process; Steering Committee
- Incorporation of pre-prison release plan into strong post-release plan
- Enhanced post-release supervision
- Establish case advocate for every returning prisoner
- Development of one-stop shop for services
- Core team case assessments
- Service provider network meetings
- Exit orientations for prisoners
- Development of transitional housing

VI. Immediate Outcomes: Partnership Functioning
- Increased problem-solving
- New communication between corrections and community/information sharing between corrections and community
- Increased communication, increased collaboration among providers
- Increased ability to leverage resources
- Increased capacity of smaller agencies to serve community and returning prisoners
- Increased knowledge about reentry issues

Continuing Activities
- All core activities continuing

New Activities
- Advocacy for certification process for sober housing and transitional housing
- Evaluation of provider network, development of performance measures

VII. Intermediate Outcomes: Crime-Related
- Reductions in substance abuse
- Reductions in parole violation/Increased compliance with terms of supervision.
- Decrease in feelings of aggression/frustration

VII. Intermediate Outcomes: Community and Systems
- Reduction of gaps in services
- Increased access to services pre-release and post-release
- New procedures for service-delivery
- Increased placements in transitional housing/increased residential stability
- Increase in employment placements.
- Increased trust in the police by community and returning prisoner
- Increased overall quality of life

VIII. Long-Term Outcomes
- Reduced individual level arrests
- Reduced recidivism
- Increase in wages earned

Community Context

High crime, low quality of life at outset; prior experience with problem-solving partnerships; strong neighborhood groups; strong intermediary, known and respected in community; over time, REP model emulated across the country; community and state honors result in transfer of model to al counties in Maryland

Figure 5-3 Baltimore Reentry Partnership Conceptual Framework

I. Impetus for Partnership:

- State and federal grant funds as part of HotSpot Communities Initiative (1997)

II. Partnership Members:

Level 3:
- MD Division of Parole & Probation
- MD Dept. of Juvenile Services
- Dept. of Labor, Licensing & Regulation
- State's Attorney's Office
- Enterprise Foundation
- Governor's Office of Crime Control & Prevention

Level 2:
- Baltimore County Department of Health
- Baltimore Police Department
- Dept. of Housing & Community Development, City of Baltimore

Level 1:
- Cherry Hill 2000
- Family Health Centers
- Cherry Dale Tenant Assoc.
- Cherry Hill Development Corp
- New Creations CDC
- Ministerial Alliance

III. Partnership Characteristics:
1. *Lead agency type and leadership*
   Cherry Hill 2000: transformational leadership
2. *Conflict transformation*
   Leadership skilled in conflict transformation
3. *Structural complexity*
   Complex partnership
4. *Readiness*
   Partnership and community ready to tackle crime problems
5. *Vertical and horizontal integration*
   High integration
6. *Resources*
   Strong human, financial, and technological resources

IV. Goals:

"Fight crime, grime, and increase quality of life for residents":
- Reduction of community-level crime
- Reduction in individual-level arrests

V. Key Activities:

- Steering Committee
- Monthly public safety meetings
- After school programs and safe haven for youth
- Weekly meetings of HEAT team
- Emphasis on block watches/National Night Out
- Substance abuse education
- Candlelight vigils, neighborhood walks to bring attention to violence
- Reading program for youth
- Community projects and community service hours as part of school requirement
- Neighborhood beautification

Continuing Activities
- Neighborhood-based co-location of staff
- Ongoing efforts to mobilize community

New Activities
- Saturday reading program
- New fundraising

VI. Immediate Outcomes: Partnership Functioning

- Developing degree of conflict transformation among partners
- Increased communication, increased collaboration
- Increased information sharing
- Increased ability to leverage resources
- Increased capacity of smaller agencies to serve community
- Increased recognition of community problems

VII. Intermediate Outcomes: Crime-Related

Changes in:
- Norms regulating individual behavior
- Norms regulating group-based criminal behavior
- levels of anger, aggressive behavior

VII. Intermediate Outcomes: Community

- Neighborhood beautification
- Support for intervention/law enforcement
- Pro-social environment for residents
- Increased overall quality of life

VIII. Long-Term Outcomes

- Reduced individual level arrests
- Reduction in Part I offenses
- Reduction in property crimes
- Reduction in violent crimes

Community Context

Developed as "planned" community; close-knit community; geographically isolated; high concentration of public housing; high crime levels in 1980s-90s; exemplary HSC partnership plays into selection of Cherry Hill as one of three state-funded grants for new initiative in 2003.

Figure 5-4 Cherry Hill HotSpots Community Partnership (Baltimore) Conceptual Framework

I. Impetus for Partnership:
- Public Housing Drug Elimination Grant (1997-2002)
- Very high crime levels in public housing

II. Partnership Members:

Level 2:
- Ft. Myers Police Department
- Ft. Myers Housing Authority
- Housing Board
- City of Ft. Myers

Level 1:
- Public Housing Residents Association

III. Partnership Characteristics:
1. *Lead agency type and leadership* No leader; shared responsibilities; some turnover
2. *Conflict transformation* Partners skilled in conflict transformation
3. *Structural complexity* Simple
4. *Readiness* Partnership and residents ready to tackle issues
5. *Vertical and horizontal integration* full collaboration across agencies, community involvement through nature of community partner
6. *Resources* High level of in-kind resource dedication

IV. Goals:

Community-level:
- Reduce community-level crime rate in public housing developments

V. Key Activities:
- Police substation placed in heart of community
- Regular problem-solving
- Police walk community on foot to get to know residents
- Regular community meetings; resident surveys
- Police officer involvement in screening potential tenants; involvement in issuing noncompliance letters to current residents

Continuing Activities
- Overtime pay for police

New Activities
- No new activities

VI. Immediate Outcomes: Partnership Functioning
- Increased problem-solving
- New communication between police and community/ information sharing between police and residents
- Increased ability to leverage resources
- Increased trust among organizations

VII. Intermediate Outcomes: Crime-Related
- Fewer calls for police service
- Reductions in social disorder
- Reductions in problem tenants
- Reductions in evictions due to criminal activity

VII. Intermediate Outcomes: Community and Systems
- Increased trust in the police by residents
- Increase in satisfaction with neighborhood
- Increase in social control

VIII. Long-Term Outcomes
- Lower levels of aggregate crime
- Increased quality of life

Community Context

High crime, low quality of life at outset; some prior experience with problem-solving partnerships; general community readiness; strong leadership and dedicated commitment within key agencies; police commitment to community policing and dedication of officers on the frontline.

Figure 5-5 Ft. Myers Public Housing Initiative (Florida) Conceptual Framework

Table 5-2. Key Strengths of Partner Members (Component II) within Five Case Study Partnerships				
Partnership Name (Primary Justice Agency)	**Organizational Structure**	**Leadership**	**Resources**	**Orientation & History**
Mesa Gang Intervention Program (MGIP) (*Policing*)	Strength: large number of organizations; Weakness: no faith-based groups, little community groups	Little turnover among key leaders of partner members	In-kind resources supplied by al partner members	All partner members know each other; are trusting and ready to tackle issue
Greater Coronado Neighborhood— Adult Probation Partnership (*Probation*)	Strength: Size of partnership (2 entities) was manageable for goals	No turnover among key leaders of partner members	In-kind resources supplied by both partners	Pre-existing relationship between organizations
Baltimore Reentry Partnership (East Baltimore site) (*Corrections*)	Strength: large number of organizations	Little turnover among key leaders of partner members. Leader of intermediary served as leader of partnership.	Each organization was willing to commit their own resources	Pre-existing relationship between organizations with the exception of corrections and community agencies. Partnership worked steadily to increase trust among all agencies
Cherry Hill HotSpots Community Partnership, Baltimore (*Policing*)	Strength: large number of organizations. Weakness: had trouble getting pubic housing residents on board	Little turnover among key leaders of partner members	Each organization was willing to commit their own resources	Pre-existing relationship between organizations
Fort Myers Public Housing Initiative (*Policing*)	Strength: Size of partnership (2 entities) was manageable for goals	Some turnover and some political infighting, but commitment of key leaders for partner agencies very steady.	Housing authority willing to fund overtime for police department, but tight budgets are squeezing funds available	Did not have pre-existing relationship, but developed slowly throughout federal grant history

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Table 5-3. Key Strengths of Partnership Characteristics (Component III) within Five Case Study Partnerships					
Partnership Name (Primary Justice Agency)	**Lead Agency Type**	**Readiness**	**Vertical Integration**	**Horizontal Integration**	**Resources**
Mesa Gang Intervention Program (MGIP) (*Policing*)	Police department leader had qualities of transformational leadership;	Extremely ready to tackle gang issue. Had already been talking about issue before funding opportunity	Good vertical integration with exception of frontline staff not on Steering Committee	Strong communication among all partners/full collaboration. Strong outreach to communities	High-level of resources with federal grant but partnership began to disintegrate when federal funding ended
Greater Coronado Neighborhood— Adult Probation Partnership (*Probation*)	No lead agency; equal responsibilities	Both agencies ready and committed	Equal partners/vertical integration not an issue	Weekly communication among partners and weekly outreach to community	Strong fundraising by community agency
Baltimore Reentry Partnership (East Baltimore site) (*Corrections*)	Strong, respected intermediary	Extremely ready to tackle reentry issue	Very strong vertical integration assisted by intermediary	Very strong horizontal integration assisted by intermediary	Developed funding structure to enable community groups to take more responsibility for funding each year
Cherry Hill HotSpots Community Partnership, Baltimore (*Policing*)	Community organization leader had qualities of transformational leadership; no turnover of leadership	Extremely ready to tackle crime issue	Vertical integration somewhat limited by absence of public housing residents association	Very strong horizontal integration assisted by HEAT working group meetings	Funding somewhat of an issue toward end of state funding for HSC
Fort Myers Public Housing Initiative (*Policing*)	No lead agency, but housing authority was only agency to put financial resources into partnership	Extremely ready to tackle crime issue	Residents problem-solve with police/full vertical integration to the extent possible	Weekly contact with residents; officers held activities to increase trust in the police by residents	Partnership changed shape with termination of grant funding. Reduced funding limited activities for residents

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SUCCESS AND SUSTAINABILITY

Because an assessment of sustainability was a key component of our research for this study, as directed by NIJ, we collected all data with a focus on understanding partnership elements that might lead to sustainability. Sustainability is often viewed as a key component of success. In other words, if a partnership sustains itself after external funding ends, many would agree that the partnership was successful in its efforts. From our perspective, partnership sustainability directly results from partnership functioning; general community justice partnership success comes through quantitative evidence that crime-reduction goals were achieved.

We began the entire study with the premise that sites that are successful in achieving their targeted goals will have common characteristics. For the most part, this ended up to be true, but because the partnerships varied in their structure and complexity, it was often difficult to compare directly across components and draw general conclusions. This point gives weight to our belief that a general conceptual framework serves our field better than the development of any type of checklist of common characteristics. Furthermore, an examination of sustainability of the partnerships helped crystallize the key elements of the revised framework.

Each of the three partnerships that had federal or state funding was dedicated to sustaining their partnerships after the funding ceased. All three were somewhat successful in sustaining their partnerships, but, for the most part, the partnership changed shape dramatically, or lost momentum after funding ceased. For instance, at the end of federal funding in 2001, the City of Mesa funded MGIP for a few years, but the activities changed because of the limited funding. When we asked key leaders how the MGIP program ended, those interviewed offered a number of insights. The majority of those interviewed believed MGIP ceased because the city was facing severe budget cuts. In the event of a changing economy, the partnership became too

expensive. A few high level staff suggested that although the partnership was successful in reducing gang crime and violent crime in the target area, the number of youth that were being served was too small to justify the cost of the program. Some staff suggested that the evidence showing small numbers served was due to leadership changes in one of the positions of the core team—that paperwork was not filled out and it became difficult to account for program successes.

Cherry Hill HSC had some problems with sustainability. The partnership was not fully active by the end of 2003. Cuts in state funding led to cuts in staffing, as well as the termination of a number of projects developed by HSC. However, the basic foundation of the partnership was somewhat intact at the time of our site visit, with the exception of police department involvement. The Cherry Hill HSC was one of the few Baltimore HotSpot partnerships that was successful in sustaining itself (morphing into a CSAFE site) after the initial state funding ceased. Many leaders interviewed believed that the sustainability of the initiative was due to the dedication (and strong grant writing skills) of the Cherry Hill HSC lead coordinator. In addition, Cherry Hill was somewhat successful in leveraging resources (mostly from service providers) to operate a large-scale program on very little funding. Partnership members recognized the strong commitment level throughout the partnership of all of the members and were eager to continue to be part of a winning effort. At times during the partnership, the police officers involved would update the partnership by displaying crime statistics. The partner members were continually motivated as crime remained low for the duration of the partnership. Basically, receiving regular feedback on crime levels provided the impetus for continued hard work.

The Greater Coronado Neighborhood Association Maricopa Adult Probation Neighborhood Office partnership has been maintained for a number of years now, without the

need for outside funding. The partnership has been supported through reconfiguration of probation staff and a dedicated commitment to neighborhood supervision, as well as a strong commitment by neighborhood residents.

Essentially, sustainability resulted from a dedication to nontraditional public safety strategies. The realization of the strategy was achieved through re-allocation of resources without the need for specialized or programmatic funding. The probation department does not perceive the partnership to be an add-on program, but an institutionalized way of doing business in high crime neighborhoods.

Contextually, it is also important to note that at the time the partnership was being developed, the Maricopa County Probation Department had been seeking to rearticulate their mission in effort to improve their effectiveness. An agency-wide development process resulted in a vision statement that incorporated a community focus on achieving public safety and increased community well-being. This refocusing of the agency's mission likely set the groundwork for a strong partnership with committed partners.

In contrast to the other partnerships, the REP program devised an approach that would build in sustainability goals from the beginning. To improve chances for sustainability, the Enterprise Foundation implemented a five-year plan to move the intermediary out of the partnership relationship. Each year, the community agencies were responsible for contributing more of their own resources to the partnership. The goal was set so that after five years have passed, REP staff positions, with the exception of the project director, could be fully funded by community agencies.

Given the broad financial, political, and programmatic support REP has received from numerous public and private institutions, many staff interviewed felt that sustaining support for

continued, and expanded, REP programming is not expected to be problematic. However, many staff also cautioned that the "average person" may not care about ex-offenders, so with each new MDOC commissioner or mayor, great lengths have to be taken to re-educate officials about the need for the partnership and its success in the community. Similarly, the partnership is very active in building and maintaining community awareness around and support for prisoner reentry.

In summary, federal and state funding impacted sustainability for those sites that began their partnership with state or federal funding. The two sites that focused on developing funds at the outset of the partnership without relying on state or federal funding (Greater Coronado Neighborhood Association probation partnership and REP) were successful in keeping the partnership funded. The impetus for these partnerships came from inside the community. This supports research indicating that partnerships developed from internal impetus are more likely to success than those derived from funding streams or outside pressure (Butterfoss, Gooman, and Wandersman 1996; Edelman 1987; Swift and Haley 1986).

In addition to internal impetus, the oversight of the Enterprise Foundation, the intermediary in the REP partnership, may have helped sustain the partnership. The Enterprise Foundation worked with the East Baltimore community organizations to develop their capacity to fundraise and expand their capacity to serve returning prisoners. REP continues today with a mix of funding sources and the continued dedication of the community organizations.

CHAPTER 6:
Tools for Measuring Partnership Components

The previous chapters attempt to describe important components related to the mechanisms that drive partnership implementation, maintenance, and sustainability, and the related dimensions within the components that, ultimately, correspond to success. We have delineated these components and dimensions to facilitate measurement. Systematic measurement is a critical step in understanding how the components and variables work together to form the partnership and how these aspects relate to the success of partnership efforts. As stated in the early chapters of this report, all partnerships are complex and dynamic entities—no two partnerships are alike. Aspects of partnerships that work in one entity might be the downfall of another partnership.

As discussed in chapter 2, partnerships and the relationships that comprise them change over time as well as under different contexts and priorities. Therefore, building on the literature used to develop the initial Conceptual Framework of Partnership Capacity and the additional detail gathered through the site visits, this chapter describes tools that that are free to the public which partnerships can use to collect information about themselves and their contexts. The tools discussed are useful as a starting point as measures of the components and sub-dimensions of the revised Conceptual Framework—components and sub-dimensions that have been identified by the current research as important to partnership functioning and achievement of end outcomes. Measures for certain partnership dimensions, such as vertical and horizontal integration (e.g., communication and collaboration), abound in the literature, but for some other aspects, such as sustainability, few tools exist. In addition, some of the tools listed may only contain a few items that are relevant to the dimensions of the framework. Furthermore, the tools that exist have not necessarily been tested or found to be valid and reliable, and many have been developed for a

specific type of partnership or coalition (e.g., drug prevention), or may only be somewhat relevant to community justice partnerships. We describe these issues to the extent the information was available.

We hope that this chapter will assist partnerships to develop their own yardsticks to measure partnership progress and success. Many of the tools can be used to create a feedback mechanism to assess goal attainment. But goals, objectives, and available resources vary greatly by partnership, often depending on stage of the partnership and partnership mission. We have provided a wide range of tools, understanding that no tool will be applicable to all partnerships. In addition, some of the tools can be used simply by members of the partnership as diagnostic tools to provide direct feedback to members. These tools provide a mechanism to gauge partnership status at various points in the partnership, and the feedback provided by the tools can be used to understand whether the partnership is satisfactorily building and achieving the goals set out in the planning stages. These tools can show partnership members areas in which they may need to either change their processes or modify their vision in order to bring the two in line with each other. Other tools are less suited to provide immediate feedback and are more appropriate for use by outside evaluators to evaluate overall partnership success or to compare partnerships.

We recognize that partnership members will have to use their own judgment about the usefulness of a particular tool for their group. In addition, the majority of the tools provided below will require adaptation to the particular issues and priorities of the partnership. In some cases, the adaptation is as small as replacing a few terms. In others, the changes will involve some preliminary work to determine the list of partners that should be asked about or the partnership activities that need to be assessed.

We focus on tools that are in the public domain. Tools that have user fees associated with them may be mentioned throughout the text, but are not discussed in any detail.

The following section discussing the measurement tools is organized in order by the four phases of partnerships as discussed in chapter 5: (1) Assessment and Planning, (2) Implementation, (3) Goal Achievement and Maintenance, and (4) Reassessment and Sustainability. We recognize that these phases are fluid and somewhat overlapping and hence, many tools will be relevant to more than one phase. However, we believe that the partnership phase, for the most part, will guide the selection of the partnership components and sub-dimensions that can be assessed and measured.

Each tool is described in terms of the type of data it is designed to collect and the potential uses of those data by the partnership. We attempted to order the listing of tools by partnership phases. However, ordering in this fashion is somewhat difficult, as tools may have multiple uses across the different phases. As a result, we include a listing of phases that are relevant in each tools description. Citations are provided for each tool described. Table 6-1 (found at the end of this chapter) provides a summary listing of tools by framework component and sub-dimension. Copies of tools are provided in Appendix C.

TOOLS FOR PHASE I: ASSESSMENT AND PLANNING

During this phase it is important for partners and potential partners to assess the nature and level of the problem to be addressed. As they start to talk about solutions and decide whether a partnership would be effective, partner members can examine the resources and readiness of both the partner organizations and the community. Once the decision has been made that a partnership is a viable approach, it will be vital to develop a jointly accepted definition of the problem and the partnership approach to solving. A general tool that can be instrumental in project planning

are logic, or activity, models. By completing a logic model, a sample of which is shown in Figure 6-1, partnerships can ensure that their activities are well matched to both the community problem they have identified as well as to the outcomes they desire. Once the activities are appropriately aligned with the desired outcomes, the resources needed for each activity can be identified.

Sources: GAO-02-923 –Strategies for Assessing How information Dissemination Contributes to Agency goals. GAO-03-9 –Efforts to strengthen the link between resources and results at the administration of children and families. GAO/GGD-00-10 Managing for Results: Strengthening Regulatory Agencies' Performance Management. Ellen Taylor-Powell. 2000. "A logic model: A program performance framework". University of Wisconsin-Cooperative Extension Program Evaluation Conference.

Figure 6-1. Sample Generic Logic Model

#1 **Tool type:** **Checklists (11); Self-administered** **Relevant for Phase 1**	**Title:** *The Civic Index*
	Organization/Author: The National Civic League
	Instrument Description: The National Civic League developed the Civic Index to help communities evaluate and improve their civic infrastructures. It is meant to assist communities in developing their problem solving capacity by providing a procedure for recognizing strength and weakness and structuring collaborative problem solving strategies. The Civic Index can be used by community initiatives to create a picture of the skills and processes needed to increase capacity to deal with problems and critical issues. It is also a useful tool for creating a framework for self-evaluation of civic infrastructure. This tool contains a series of checklists that partnership leaders can use to assess various aspects of their relationship to their community. These include:
	■ The Community Leadership Checklist. This list contains 8 items about whether leaders speak for the diverse interests of the community, whether community leaders are accountable, and whether they are results-oriented.
	■ The Intergroup Relations Checklist. This list contains 7 items about the existence of community-wide programs to promote intergroup communication, and whether the community works to promote both majority/minority relations and minority/minority relations.
	■ The Community Information Sharing Checklist. This list contains 6 items about whether there are community institutions that serve as information sharing forums, whether the media presents a balanced point of view on the relevant issue(s), and whether there are mechanisms for private and public sectors to share information.
	■ The Community Vision and Pride Checklist. This list contains 7 items about whether the community's vision for the future has been articulated, how community members would rate their quality of life, and whether the majority of community residents would agree about the direction for the community.
	Framework components measured: Community readiness, community context
	Uses: This tool can be used be organizations assessing or reassessing the usefulness of starting or maintaining a partnership. The tool provides information about community readiness, community resources, such as whether community leaders speak for the community, what the local capacity for cooperation is, and whether the community has an articulated vision. It also provides some information about horizontal and vertical integration of the

	community (not of the collaboration), that could help partners, or potential, partners determine whether a partnership is a promising approach. **Source:** National Civic League, 1601 Grant Street, Suite 250, Denver, Colorado 80203 (303) 832-5612
#2 **Tool type:** **Administered by trained rater or evaluator** **Relevant/ designed for Phase 1; may be relevant for Re-assessment in Phase 4**	**Title:** *The Plan Quality Index (PQI)* **Organization/Author:** Butterfoss, Goodman, Wandersman, Valois, & Chinman **Instrument Description:** An index developed to rate community prevention plans on the basis of whether they meet given criteria that define quality plans. The PQI provides narrative feedback in four areas: (1) the elements of the plan that are well developed, (2) aspects of the plan determined to be challenging, (3) a series of questions to be considered preparation for implementation, and (4) a summary of the main points of the committee plan evaluation. **Framework components measured:** Partnership goals and activities **Uses:** This tool can be used to develop and track detailed partnership plans and related activities. The tool is designed for use by outside raters (more than one) and provides recurring feedback on partnership progress. The authors of this tool suggest that other tools can be used in conjunction with the PQI. Supplemental tools can assist the partnership to problem solve to overcome obstacles to implementation. *The authors state that testing the tool with other community partnerships is warranted. They recognize that not all planning factors will be useful or generalizable to all coalitions.* **Source:** Butterfoss et al. (1996b).
#3 **Tool type:** **Survey; 43 items; Self-administered** **Relevant for Phase 1**	**Title:** *Emerging Leadership Practices* **Organization/Author:** Stinnette, Peterson & Hallinger **Instrument Description:** This self-administered tool contains 43 questions that are answered using a 4-point scale. These questions were developed for self-administration by the partnership leadership. The questions are grouped under the following headings: ▪ Ways of Leading and Managing. This includes how collaboration leaders make the partnership vision known to others, whether they communicate their values through actions, and the type of culture they support. ▪ Approaches to Problem Solving and Decision Making. This includes information sharing, openness to multiple views, and

	whether decision-making is consensual.
	■ Concerning Learning. These questions focus on learning because the specific audience for these questions is member of school-community collaborations. But, the questions could be reworded to reflect the specific focus of a community-justice site. Concepts covered include whether leaders support other partnership stakeholders (teachers and students in this example), the provision of opportunities for other partnership members to take responsibility for their own advancement, and whether leaders model the desired behaviors.
	■ Structural Conditions. This includes the roles of members of the organizations, member autonomy, the use of teams in the implementation of activities, and whether the environment created is "safe."
	■ Relating to the Community. This includes encouraging wide scale participation of community members and other stakeholders, and the development of relevant partnerships to forward the mission of the partnership (learning in this case).
	Framework components measured: Partnership characteristics
	Uses: This tool can help partnership members assess their leadership and the leadership process used with the partnership. The information will help partnership members determine if they need to pay more attention to their leadership and make changes in the leadership process used.
	Source: Stinnette, L.F., Peterson, K., & Hallinger, P. (1996, January). Becoming a community of learners: Emerging Leadership Practices. New Leaders for Tomorrow's Schools. North Central Regional Educational Laboratory. http://www.ncrel.org/cscd/pubs/lead21/2-1l.htm
	One tool that communities may find useful is a series of questions developed by Lynn J. Stinnette and Kent Peterson.
#4 **Tool type:** **Handbook; Lists and tips; Self-**	**Title:** *Handbook on Coalition Building* **Organization/Author:** Ohio Center for Action on Coalition Development, adapted by the National Association of Area Agencies on Aging by contract HHS-100-91-0026 from the United States Department of Health and Human Services **Instrument Description:** The instrument contains several lists relevant to

administered **Relevant for Phase 1 and 2**	partnership stability: • Defects to avoid (p.10) • Elements of a functioning partnership (p.14) • Characteristics of realistic partnership goals (p.39) • Three questions to help partnerships turn goals into action (p.40) **Framework components measured:** general partnership characteristics, definitions of goals **Uses:**. The information presented in this handbook can help partnership leaders enter the process with more knowledge about operational factors that contribute to partnership success. **Source:** Ohio Center for Action on Coalition Development. (1992) Handbook on Coalition Building, adapted by the National Association of Area Agencies on Aging by contract HHS-100-91-0026 from the United States Department of Health and Human Services
#5 **Tool type:** **Survey; 56 items; Self-administered** **Relevant for Phase 1**	**Title:** *Community Key Leader Survey* **Organization/Author:** National Institute on Drug Abuse (NIDA) **Instrument Description:** The Community Key Leader Survey is a 56-item baseline/post-test measure. Evaluators have used the survey to assess the levels of awareness and the actions of community leaders. The survey includes items aimed at measuring concern and action as well as leaders' perceptions of programs directed at solving alcohol and other drug problems. This self-administered tool contains 48 questions. The majority of questions (41) require respondents to answer using a 5-point scale, with the remaining questions using a series of closed-ended response choices. Questions ask about: • Knowledge of community resources and problems; • Knowledge about general research related to the relevant topic (e.g., drug abuse in this case but questions could be modified to capture information about crime topics); • The policies and awareness of respondent's organization and organizational staff regarding the relevant topic; • The actions taken over the past 12 months by the respondent's organization regarding the identified problem; • Respondent's personal opinions about the kinds of initiatives that the partnership is undertaking; and There are also a series of demographic questions.

	Framework components measured: Community and partnership readiness and overall community context **Uses:** The data from this survey can inform potential partners or partnership leaders about the level of community and member readiness. This tool can be used to help determine whether a partnership is the best approach to the problem and give insight into how to address the problem based on readiness data. **Source:** Goodman, R., et al. (1996). An ecological assessment of community-based interventions for prevention and health promotion: Approaches to measuring community coalitions. *American Journal of Community Psychology*. (24)1.
#6 **Tool type:** **Checklists (3); Self-administered** **Relevant for Phase 1**	**Title:** *Strengthening Partnerships: Community School Checklist* **Organization/Author:** Coalition for Community Schools **Instrument Description:** The tool consists of a three checklists to support the partnership planning process. The checklists are listed below: ▪ Community School Partnership Assessment. This checklist includes 9 items about partnership vision, communication, knowledge about each partner organization, and the identification of resources. ▪ Community School Program and Service Checklist. This list contains a matrix in which the user lists the programs and services to be provided by the partnership in he left most would insert checkmarks in the cells to indicate which partner is responsible for which program or service. ▪ Community School Funding Source Assessment. This matrix shows the sources for the funding for each program or service provided by the partnership. **Framework components measured:** Impetus for partnership; partner member characteristics; partnership characteristics **Uses:**. These checklists can help partners clarify the status of partnership development. It can also be used to track programs and service, or funding once the partnership is operational (Phase 2). The funding assessment may be useful for partnerships in Phase 4 as they think about sustainability. **Source:** http://www.communityschools.org/assessmentnew.pdf
#7 **Tool type:**	**Title:** *We Did It Ourselves: A Guide Book to Improve the Well-Being of Children Through Community Development (selected pages).*

| Guidebook, survey, exercises; Self-administered

Relevant for all phases | **Organization/Author:** SRI International Funded by the Sierra Health Foundation

Instrument Description: While the kit includes many tips and ideas for developing and implementing collaborations, most relevant for this project are a series of checklists that partnership members can use in planning their partnership. These include:

▪ A series of seven open-ended questions with prompts to help collaboration members move from vision to action (p.15).

▪ An exercise to help participants become more excited about their joint work, ensure that participants share a common vision, and help build consensus about collaboration goals. The exercise requires 30-45 minutes and involves both small and large group interaction. Needed materials include flipcharts and markers, tape, notebook paper and pens. (p.21)

▪ An exercise to encourage group thinking about community problems, assets and barriers to change. The exercise takes about 30 minutes and needed supplies include colored paper, markers, tape, and scratch paper and pens. (p.29)

▪ An exercise that helps partners identify the aspects of the partnership and its process that either build or hinder trust. (p.65)

▪ A template that can be used to identify the resources and contact people for all relevant community agencies. The template can be used to help monitor partnership resources. (p.69)

▪ A self-assessment template that includes 8 statements for respondents to rate in importance, and to provide examples of specific actions that reflect the truth of the statement. (p.72)

▪ A template for a network chart that can be used to document and/or track collaboration resources. It contains a matrix that a respondent would use to indicate whether they (or their organization) would be willing to volunteer, donate, or sell a series of different services and goods needed by the partnership. (p. 83)

Framework components measured: Partnership impetus, functioning, resources.

Uses: The tools described above are designed to help users during the planning phase, but can be used throughout the duration of the partnership. The results of the exercises should be an action plan for the partnership based on improved information about the community and community resources.

Source: SRI International. (2000). We Did It Ourselves: A Guidebook To |

	Improve Well-Being of Children Through Community Development. Sierra Health Foundation, Sacramento, CA. Pages 227-232.
#8 **Tool type:** **Self-administered** **Relevant for Phase 1**	**Title:** *Multifactor Leadership Questionnaire for Teams (MLQT)* **Organization/Author:** Bass and Avolio **Instrument Description:** The MLQT is a short, but comprehensive survey of 50 items that measures a full range of leadership styles. This instrument complements the Multifactor Leadership Questionnaire (MLQ) used in feedback for individual leaders. The tool provides feedback to the whole team about how its members see the group performing leadership functions. **Framework components measured:** Partnership characteristics—transformational leadership **Uses:** Responses from the MLQT are gathered from each team member and the results are aggregated for the whole group. These are then reported in a comprehensive Multifactor Leadership Questionnaire for Teams Report. **Sources:** Bass, B. M. and Avolio, B. J. (1997). Full Range Leadership Development: Manual for the Multifactor Leadership Questionnaire. Palo Alto, California: Mindgarden. Avolio, B. J., and Bass, B. M. (2002). Manual for the Multifactor Leadership Questionnaire (Form 5X). Redwood City, CA: Mindgarden. **For more information, see:** http://www.mindgarden.com/Documents/MLQ%20Brochure.doc
#9 **Tool type:** **Survey, 12 items;** **Self-administered** **Relevant for Phase 1 and 2**	**Title:** *Organizational Commitment Questionnaire* **Organization/Author:** R.T. Mowday and colleagues **Instrument Description:** Contains 15 items with a seven-point Likert scale designed to assess how committed one is to organization. **Framework components measured:** Partner member characteristics such as commitment. Can be used to measure partner member's feelings about his/her organization and can be modified for use to assess commitment to partnership effort. **Uses:** To measure an individual's commitment to his/her agency. **Source:** Mowday, R.T., Steers, R.M., & Porter, L.W. (1979). The Measurement of Organizational Commitment. *Journal of Vocational Behavior*, 14, 224-227

| #10

Tool type:

Survey, 33 items; Self-administered

Relevant for Phase 1, 2 and 4 | **Title:** *Inter-organizational Network Survey*

Organization/Author: Robert Wood Johnson Foundation, Integrated Health Outreach Projects Evaluation

Instrument Description: The survey requires about 15 minutes to complete and contains 33 questions about problems in the community, respondent knowledge about factors that contribute to community problems, the focus of the respondent's organization, and demographic questions. In addition to the questions about leadership and organizational support, there is a matrix for tracking relationships between organizations. Specifically, for each organization in the partnership, the respondent would indicate how often that organization shared information, jointly planned or coordinated activities, shared tangible resources. For organizations that did involve sharing there were additional questions about whether there was a formal agreement or memorandum of understanding.

Framework components measured: Partnership impetus, activities.

Uses: The tool collects information about potential partnership resources and can inform the decision about whether to form or maintain a partnership. This matrix could be useful is tracking changes in interagency relationships over time.

Source: Community Health Development Program School of Rural Public Health, Texas A&M University Health Science Center, 1103 University Dr., Suite 100, College Station, TX 77840, www.srph.tamu.edu |
| #11

Tool type:

Survey; 40 items; Self-administered

Relevant for Phase 1 and Phase 2 | **Title:** *Working Together: A Profile of Collaboration*

Organization/Author: Laurie Larson, Omni Institute

Instrument Description: A booklet designed to gather information about a range of collaborative issues from which a profile of the partnership can be developed. Issues covered include:

▪ The impetus for the partnership (e.g., the time was right);

▪ The structure of the partnership (e.g., decision-making and member roles)

▪ Partnership members

▪ The collaborative process

▪ Partnership results.

Framework components measured: Partnership impetus; partner characteristics; partnership characteristics; activities-partnership process; Immediate outcomes |

	Uses: To measure partnership effectiveness in terms of its structure and membership and planning for sustainability. **Source:** Omni Institute, 899 Logan Street, Suite 600, Denver, CO 80203. Phone: (303) 893-9422. Additional information can be found in: Chrislip, D.D, & Larson, C.E. (1994). *Collaborative Leadership: How Citizens and Civic Leaders can Make a Difference* Josey-Bass.
#12 **Tool type:** **Matrix;** **Expandable;** **Self-administered** **Relevant for Phase 1, 2 and 4**	**Title:** *Consultation Opportunity List* **Organization/Author:** The Department of Human Services (DHS) **Instrument Description:** The list is a matrix that users would use to create a list of consultants and consultative organizations that could be useful to the partnership. The matrix asks for the name and organization type of the entity being listed, contact information, a code to indicate the history of contact with the user and the level of "readiness" related to the problem the partnership is addressing. There is space for any notes or additional comments the user may want to record. The matrix can be expanded as needed. **Framework components measured:** Partnership impetus and partnership capacity **Uses:** This matrix can be used to track the historical contact and readiness of collaboration members. This list could be used to track changes overtime in collaboration participation and can supply information about horizontal connections **Source:** http://www.prevention.org/BSAP.htm

TOOLS FOR PHASE 2: IMPLEMENTATION

This phase begins once two or more organizations have decided that they will work in partnership to solve a community problem. Areas for measurement during this phase include partnership processes, partnership member perceptions, stability of activity, and use of resources. The tools listed in this section focus on defining and tracking partnership activities and procedures. But, there is a close link between the tracking of partnership activities (i.e., outputs) and the immediate outcomes of partnership functioning and capacity. Therefore, many of the tools listed in this section could also be helpful during Phase 3.

#13 **Tool type:** **Survey; 5 components, 94 items; Self-administered** **Relevant for Phase 2**	**Title:** *Community Coalition Activity Survey*
	Organization/Author: University of Wisconsin-Extension
	Instrument Description: This survey is designed for use by partnership members. This self-administered survey contains five sections. Under each section are a series of relevant activities that a respondent may or may not have conducted. Response is indicated by a check mark.
	▪ Coalition development and management.
	▪ Eliminate Exposure to Secondhand Smoke—this section is a list of partnership activities related to one of their goals. The title and specific activities listed would need to be adapted to reflect the priorities of the user.
	▪ Reduce Youth Tobacco Use—this section is a list of partnership activities related to one of their goals. The title and specific activities listed would need to be adapted to reflect the priorities of the user.
	▪ Promote Quitting among Youth and Adults this section is a list of partnership activities related to one of their goals. The title and specific activities listed would need to be adapted to reflect the priorities of the user.
	▪ Other activities.
	Framework components measured: Activities, immediate outcomes related to partnership functioning
	Uses: To track activities completed by partnership. Could also be used to

	track activities by *individual* partnership members. Partnership leaders can use the information to determine the number of members that are working on the various partnership activities and the distribution of effort by partnership goal. The information can be used to assess the allocation of human resources. *Tool would have to be modified for use by different partnerships.* **Source:** Barbara Hill, University of Wisconsin-Madison, Monitoring and Evaluation Program, 502 North Walnut Street, Madison Wisconsin 53726-2335
#14 **Tool type:** **Matrix; 11 components; Self-administered** **Relevant for Phase 2 and 3**	**Title:** *Effective Collaboration-Roles That Make it Work* **Organization/Author:** Regina B. Richards for CCC/SP **Instrument Description:** The tool consists of a matrix covering 11 components of productive partnership meetings. Components include acknowledging and resolving conflict, making decisions, holding each other to commitments, and facilitation. For each component discussed the matrix offers a way to tell if the component is being administered effectively, and the qualities that are required to accomplish that component. **Framework components measured:** Immediate outcome-Partnership functioning **Uses:** Using this tool as a guide, partners can examine the processes in their own meetings and use the information to make changes , if needed. **Source:** http://hsfo.ucdavis.edu/download/Effective_Collaboration.pdf
#15 **Tool type:** **Performance indicators; 2 sets; Self-administered** **Relevant for Phase 2 and Phase 3**	**Title:** *Evaluation Guidebook, for Programs Funded by S.T.O.P Formula Grants; Chapter 10* **Organization/Author:** The Urban Institute **Instrument Description:** In chapter 10 there are two tables that contain performance indicators that partnerships can use to track their effectiveness in creating a stable community response and whether they are meeting their outcomes with regard to creating a stable system. Indicators related to stability of community response include the presence of new partners, achievement of diversity of members, and active engagement of partnership members. Measures of stability of the system include frequency of positive communication among members, creation of informal communication networks, and creation of a written mission statement.

	Framework components measured: Activities; Immediate outcomes-partnership functioning, partnership capacity **Uses:**. This performance indicators presented can be used by partnerships to measure progress toward the development of a viable, productive partnership. **Source:** Urban Institute, Author(s): Martha R. Burt, Adele V. Harrell, Lisa C. Newmark, Laudan Y. Aron, and Lisa K. Jacobs http://www.urban.org/url.cfm?ID=407365
#16 **Tool type:** **Matrix; Self-administered** **Relevant for Phase 2 and Phase 3**	**Title:** *Reclaiming Futures Youth Services Network Survey* **Organization/Author:** The Urban Institute **Instrument Description:** This three question survey gathers information about the level of interaction between a list of people/organizations and the respondent over the past six months and the level of helpfulness of those contacts. **Framework components measured:** Immediate outcomes-partnership functioning **Uses:** This matrix will provide partnership leaders information about member participation that can be used to determine level and type of partner involvement and whether there are imbalances in partner activity. **Source:** The Urban Institute, 2004. Youth Services Network Survey. National Evaluation of Reclaiming Futures, a project of the Robert Wood Johnson Foundation. Washington, D.C.: Urban Institute, Justice Policy Center.

TOOLS FOR PHASE 3—GOAL ACHIEVEMENT AND MAINTENANCE

During this phase partnerships should start to realize their intended outcomes. Outcomes include immediate results such as stability and effectiveness of the partnership as well as intermediate outcomes such as reductions n crime or improvements in the community. Because

the crime and community outcomes are specific to the individual partnership, the majority of the tools described here focus on the immediate outcomes of partnership capacity and functioning.

| #17

Tool type:

**Survey;
19 items;
Self-
administered**

**Relevant for
Phase 2 and
Phase 3** | **Title:** *Survey of Collaborative Members-Spring 1999*

Organization/Author: SRI International supported by the Sierra Health Foundation

Instrument Description: This survey contains 19 questions including 3 detailed matrixes that include sub-questions. The length of each matrix would vary based on the issues and objectives of the user. Questions cover he following topics:

▪ The respondent's participation in, and opinion of, the collaboration;

▪ The perspectives that are represented by the partnership. For example, substance abuse prevention, business, parental, and law enforcement perspectives. Twenty-seven perspectives are included with an additional space for respondents to add others. The list can be modified to fit the needs of a partnership

▪ How respondents characterize the way the partnership is changing the community through measuring their agreement, or disagreement, with a series of 26 statements. There are an additional six questions that gauge the extent and nature of any change the partnership has effected.

The survey concludes with four basic demographic questions.

Framework components measured: Immediate outcomes; Intermediate outcomes-community-related

Uses:. The survey will help users track changes in partnership members perspectives and understanding of the problem being addressed as well as changed in the community. The data will be qualitative in nature, and would point out areas for further, qualitative evaluation.

Source: SRI International. (2000). Survey of Collaborative Members-Spring 1999. We Did It Ourselves: An Evaluation Guidebook. Sierra Health Foundation, Sacramento, CA. Pages 227-232.

Available to order: http://www.cphconline.org/tools/guide.html (Community Partnerships for Healthy Children, Sierra Health Foundation) |

| #18

Tool type:

**Survey;
12 items;
Interviewer-administered**

Relevant for Phase 3 | **Title:** *Sense of Community Index*

Organization/Author: David Chavis, Association for Study of Community

Instrument Description: This 12-item survey includes instructions for administration and suggestions for adaptation to local situations. It was developed using the urban block as the referent for determining one's sense of community. It can be adapted to study school, or other type of "community" unit in place of block. Suggestions for adaptation are included. This instrument is designed for in-person interviewing, but could be adapted for self-administration.

Framework components measured: Partnership members orientation, partnership characteristics: horizontal integration, intermediate outcomes-community-related

Uses:. The survey will provide information about the community capacity outcomes important to many community justice partnerships. Specifically, it will offer information about community members attachment and opinions about the community unit (e.g., block, school, neighborhood) asked about.

Source:. David M. Chavis, Ph.D., Association for the Study and Development of Community, 12522 Hialeah Way, Gaithersburg, MD 20878, 301.519.0722.
http://www.capablecommunity.com/pubs/SCIndex.PDF |
| #19

Tool type:

**Matrix;
Self-administered**

Relevant for Phase 2 and Phase 3 | **Title:** *The Goodness of Collaboration: All participant survey*

Organization/Author: Philliber Research Associates

Instrument Description: It is a 6-page survey designed for self-administration by partnership members. It gathers information about why members joined the partnership, how the partnership functions (e.g., meeting frequency), and barriers to the success of the partnership.

Framework components measured: Immediate outcomes-partnership functioning, partnership capacity

Uses:. The survey will provide information about how and why members joined the partnership and their opinions about its functioning. It will offer short-term outcome information about the perceived health of the partnership.

Source:. *The Goodness of Collaboration.* Philliber Research Associates, 16 Main Street, Accord, NY, 12404. (845) 626-2126. [$10 fee] |

#20 **Tool type:** **Survey; 59 items; Self- administered** **Relevant for Phase 2 and Phase 3**	<u>**Title:**</u> *Local Collaborative Assessment of Capacity* <u>**Organization/Author:**</u> The College of Human Development and Community Service of the California State University-Fullerton <u>**Instrument Description:**</u> The tool contains 59 statements to which respondents agree or disagree using a 5-point scale. It covers the topics of: - Governance and accountability (e.g., is there an agreed upon agenda for the partnership, and is there outreach to the community to ensure that the group is representative of the community) - Outcomes (e.g., there is agreement on partnership goals and outcome measures, there is data on target populations) - Financing (e.g., is there a detailed budget analysis that allows for future planning, is there a multi-year revenue strategy) - Mobilizing nonfinancial resources (e.g., Is there a plan for mobilizing nonfinancial resources) - Community and parent ownership (e.g., is there a way to gain feedback from community members) - Staff and Leadership Development (e.g., is there leadership support and staff training) - Program strategies (e.g., Are there jointly sponsored programs, do programs touch on more than one need area) - Policy agenda and development (e.g., has the partnership worked with State legislators with regard to the State policies they support) - Interorganizational coherence (e.g., do they have methods for sharing information with other partnerships) - Addressing equity (e.g., Is there a plan to disaggregate information to measure the impact of actions on different populations in the community?) <u>**Framework components measured:**</u> Immediate outcomes—Partnership capacity <u>**Uses:**</u> To measure various aspects of the partnership to inform its leadership about its developmental stage and areas for change. It will provide information about the short-term outcomes of partnership

	progress and capacity. **Source:** http://hdcs.fullerton.edu/tools.htm
#21 **Tool type:** **survey;** **22 items;** **Self-administered** **Relevant for Phase 2 and Phase 3**	**Title:** *Characteristics of Tobacco Control Coalitions Survey-2002* **Organization/Author:** University of Wisconsin-Extension **Instrument Description:** This self-administered survey contains 22 questions about: - Coalition operations and staffing (e.g., staff turnover, funding levels and sources) - Level of development/formality of structure (e.g., presence of a newsletter, written mission statement, number of partners) - Member participation (e.g., diversity of members, stability of member participation) - Community outcome (e.g., perceived responsibility for listed community changes) - Resources (e.g., types of financial and other resources and state of need) **Framework components measured:** partnership characteristics such as formality of structure and resources; immediate outcomes-partnership capacity; long-term outcomes (success in changing public policies) **Uses:** Tool covers a wide range of uses, but can be used to measure level of partnership capacity and gain some insight into partnership responsibility for community outcomes. **Source:** Barbara Hill, University of Wisconsin-Madison, Monitoring and Evaluation Program, 502 North Walnut Street, Madison Wisconsin 53726-2335

TOOLS FOR PHASE 4—REASSESSMENT AND SUSTAINABILITY

The key concept related to Phase 4 is *sustainability*. By Phase 4, partnerships should already be thinking about what is needed to maintain the partnership into the future, if that is a goal of the partnership. Most community justice demonstration programs funded by the federal government are designed to incorporate elements that will lead to sustainability or institutionalization in the community. Demonstration funds provide the resources to build the community capacity for sustainability. In many cases, sustainability goals may be incorporated in Phase I of a partnership, although in reality, program goals often will come first, followed by activities related to sustainability once key programmatic goals have been achieved.

In some ways, Phase 4 is similar to the first phase. Specifically, partners must review their assessment of the problem to be addressed as well as their approach. In Phase 1 the assessment was to determine whether partnership was feasible and advisable, in this phase the (re)assessment is to determine whether a partnership remains feasible and advisable. With respect to planning, in Phase 1 the focus is on partnership development and creation. In Phase 4, the planning focus is on maintenance and revision, or possible dissolution of the partnership.

#22 **Tool type:** **Checklist; 11 components; Self-administered** **Relevant for Phase 4**	**Title:** *Evaluation's Role in Supporting Initiative Sustainability* **Organization/Author:** Heather Weiss, Julia Coffman and Marielle Bohan-Baker **Instrument Description:** There are two checklists that might be use for collaborations as they think about sustainability. Specifically these are: - A list of ways to build sustainability that partnerships can compare themselves against to guide their sustainability work. There are twelve categories divided into three phases: Strategic analysis, Strategic planning, and strategic management. - A table listing ways to operationalize sustainability. Specifically, in the left column are four different areas for sustainability focus

	(organizational, ideas, relationships, outcomes) and n the right column are indicators that could be used to determine if the sustainability focus is being operationalized (e.g., are grantees making an effort to obtain additional funding, has the collaboration been active over time, and has there been a continued involvement of people over time.) **Framework components measured:** Sustainability **Uses:** Partnership leaders can use the checklists to determine areas of strength and weakness with regard to partnership sustainability. They can use the information to help them make informed plans for sustainability. **Source:** Based on Harvard Family Research Project's (HFRP) broad spectrum of experience in the past two decades with foundation initiatives. *http://www.gse.harvard.edu/hfrp/pubs/onlinepubs/sustainability/*
#23 **Tool type:** **Survey;** **15 items with multiple levels;** **Self-administered, mail survey** **Relevant for Phase 4**	**Title:** Level *of Institutionalization (LOIN) Scales for Health Promotion Programs* **Organization/Author:** R.M. Goodman, K.R McLeroy, A. Steckler, & R.H. Hoyle **Instrument Description:** The scale is a seven-page mail survey that contains questions about whether goals implementation plans are in writing; whether there are dedicated staff with specific responsibility for the program; and whether the program is considered to be a pilot or permanent program. **Framework components measured:** Reassessment and sustainability **Uses:** Data from this instrument offers users a detailed assessment of where they are in terms of institutionalizing their partnership. This can help partnership leaders decide whether to continue the partnership as it is. Specifically, as the activities of a partnership become institutionalized, there is reduced incentive to continue the partnership as a stand-alone entity. If the goal of the leaders is to ultimately institutionalize the partnership, this tool can point out areas for further attention. **Source:** Goodman, R. M., PhD, McLeroy, K. R., PhD, Steckler, A. B., DrPH, & Hoyle, R. H., PhD. (1993, Summer). Perspective: Development of Level of Institutionalization Scales for Health Promotion Programs. *Health Education Quarterly, 20*(2), 161-178

#24	**Title:** *Community Organizational Assessment Tool*
Tool type: **Survey;** **23 items;** **Self-administered** **Relevant for Phase 4**	**Organization/Author:** Adapted by Robert Bright, from materials form the Citizen's Involvement Training Program and the Family Community Leadership. **Instrument Description:** The self-administered survey contains 23 questions about partnership functioning. It is designed to provide data for partnership leaders to help guide decisions about partnership functioning. Question cover the following topics: 　▪ Partnership mission, purpose and goals 　▪ Organizational structure and assessment 　▪ Participation of the Board and membership 　▪ Group relations 　▪ Leadership effectiveness 　▪ Fiscal resources 　▪ Community networking **Framework components measured:** Reassessment **Uses:** The information can be used as part of a reassessment of partnership functioning and potential sustainability. **Source:** Robert Bright, Community Development Specialist, University of Wisconsin-Extension, Family Living Programs.

TOOL NAME	Impetus	Partnership Members	Partnership Characteristics	Goals	Activities	Immediate Outcomes	Intermed. Outcomes	Long-term Outcomes
1. The Civic Index	Community vision, information channels	Individual leadership ability; leadership resources						
2. The Plan Quality Index				Ade-quacy of goals	Adequacy of activities			
3. Emerging Leadership Practices	Community capacity and engagement	Individual leadership skills; Member organizations' roles	Vertical and horizontal integration					
4. Handbook on Coalition Building			Discusses key characteristics of partnerships	Defin-ition of goals				
5. Community Key Leader Survey	Community and member capacity (knowledge of community and issue)							
6. Strengthening Partnerships: Community School Assessment Checklist	Partnership vision, mission, and purpose	Partner resources	Partnership funding					
7. We Did It Ourselves: A Guide Book to Improve the Well-Being of Children Through Community Development.	Tools to think about what the partnership should and can do					Basic partnership functioning		

Table 6-1. Listing of Tools by Framework Component and Dimension, In Order of Chapter Discussion

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TOOL NAME	Impetus	Partnership Members	Partnership Characteristics	Goals	Activities	Immediate Outcomes	Intermed. Outcomes	Long-term Outcomes
8. Multifactor Leadership Questionnaire for Teams			Transformational leadership					
9. Organizational Commitment Questionnaire			Transformational leadership; overall level of commitment to partnership					
10. Inter-organizational Network Survey	Community problems		Vertical and horizontal integration-collaboration		Activity tracking and assignment			Community problems
11. Working Together: A Profile of Collaboration	Community context	Organizational structure, orientation	Member roles (lead agency type/leadership, integration) and processes (conflict transformation); resources			Partnership functioning		
12. Consultation Opportunity List	Readiness		Partnership resources					
13. Community Coalition Activity Survey					Activity tracking			
14. Effective Collaboration-Roles that make it work						Partnership functioning		

Table 6-1. Listing of Tools by Framework Component and Dimension, In Order of Chapter Discussion								
TOOL NAME	Impetus	Partnership Members	Partnership Characteristics	Goals	Activities	Immediate Outcomes	Intermed. Outcomes	Long-term Outcomes
15. Evaluation Guidebook, for Programs Funded by S.T.O.P Formula Grants; Chapter 10			Partnership capacity-Diversity, stability (structural complexity, integration)		Assessment of activity level	Partnership functioning		Long-term systems change outcomes for reducing domestic violence
16. Reclaiming Futures Youth Service Network Analysis Survey			Vertical and horizontal integration			Partnership functioning		
17. Survey of Collaborative Members-Spring 1999						Partnership functioning	Change in community due to partnership	
18. Sense of Community Index		Orientation, commitment	Horizontal integration				Community outcomes	
19. The Goodness of Collaboration: All participant survey			Barriers to partnership success (conflict transformation)			Partnership functioning		
20. Local Collaborative Assessment of Capacity			Resources			Partnership functioning		
21. Characteristics of Tobacco Control Coalitions Survey-2002		Diversity of membership	Formality of partnership structure, resources			Partnership functioning		Success in achieving change in public policies

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Table 6-1. Listing of Tools by Framework Component and Dimension, In Order of Chapter Discussion								
TOOL NAME	Impetus	Partnership Members	Partnership Characteristics	Goals	Activities	Immediate Outcomes	Intermed. Outcomes	Long-term Outcomes
22. Evaluation's Role in Supporting Initiative Sustainability						Ways to measure partnership functioning		
23. Level *of Institutionalization (LOIN) Scales for Health Promotion Programs*						Partnership functioning-sustainability		Institutionalization of successful partnership components
24. Community Organizational Assessment Tool			Resources					Partnership functioning-is it functioning adequately to continue?

CHAPTER 7:
Developing New Research Hypotheses

SUMMARY

The preceding chapters summarized the key concepts and measures related to assessing and evaluating community justice partnerships. This report was based on a study designed to test a conceptual framework of partnership functioning developed in an earlier study. Researchers conducted five cases studies of "successful partnerships," synthesized the findings, and revised the initial framework with the advice of an expert panel, convened in the Spring, 2004, that was comprised of researchers and practitioners with knowledge of partnership functioning and evaluation.

The revised conceptual framework, as depicted in Figure 1-2 in chapter 1, emphasizes that partnerships are dynamic entities that move and evolve through stages where the relationships between components and variables are constantly changing. The framework can be applied at all stages of partnerships in that it can guide researchers and practitioners to examine framework dimensions at different periods of time throughout the life of the partnership.

As the use of cross-agency partnerships to address complex social issues, such as crime and delinquency, becomes more prevalent, so does the need to measure their effectiveness. We have created a framework to serve as a guide to measurement in hope of advancing the field of study on criminal justice partnerships. Program evaluators and collaborative research partners can utilize the framework to describe and assess levels of partnership capacity and engage stakeholders in the dynamic process of formative evaluation. At the partnership development stage, the information generated from assessment of partnership capacity can help leaders, partner members, and other stakeholders make informed decisions to guide goals, tasks and

activities, as well as the type of structure the partnership should take (Gajda 2004). Furthermore, as the partnership is developing, its members will be able to capture and understand any increase in partnership capacity over time and will be able to reflect on whether efforts to further increase capacity had desired intermediate and long-term impacts on preventing crime or improving quality of life outcomes.

In addition to assisting with formative evaluation and outcome analysis, the framework can act as guide to developing larger guiding hypotheses about partnership functioning and success. The sections below present suggested hypotheses that we believe merit testing by research in the future.

RESEARCH HYPOTHESES ON PARTNERSHIP FUNCTIONING AND SUCCESS

We set forth a number of hypotheses related to various framework components and sub-dimensions. In addition, we present hypotheses related to the concept of *sustainability*.

Impetus for the Partnership

- H1: Partnerships that arise internally from the community level—(e.g., because of the determination of a well-known community-based agency) will be more likely to engender community trust, gather appropriate resources, and in turn, succeed in accomplishing partnership objectives than partnerships that arise through external or extra-local pressure or incentives.

Partner Members

- H2: Partnerships that are comprised of partner members that have histories of successfully collaborating with the same organizational entities within new partnership structures will have greater chances for success than new partnerships comprised of new partner members who are unfamiliar with each other. For organizations that have previously collaborated successfully, levels of trust most likely will be higher, and the strategic process of problem solving among these organizations may be facilitated. We believe that having histories of collaborative relationships will enable partnerships to achieve intermediate and long-term outcomes at a faster rate.

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Partnership Characteristics—Leadership and Conflict Transformation

- H3: Partnerships that utilize nongovernment agencies as intermediaries will be more likely to achieve success than partnerships that do not utilize an intermediary or use a government agency as the intermediary.

- H4: Partnerships (or leadership) that utilize a formal process of partnership planning, such as delineation of a clear mission statement, written roles and responsibilities, utilization of memoranda of understanding (MOUs), development of strategic planning documents and timelines with built in formative feedback, conduct of focus groups or community assessments of readiness will have high levels of partnership functioning, and ultimately, be more likely to achieve long-term outcomes.

  Similarly, the stronger the strategic plans—and the more realistic the expectations are for success—the more likely the partnership will achieve outcomes. The utilization of outside researchers to "rate" plans (e.g., using the Plan Quality Index or other rating procedures) and to provide feedback, may significantly facilitate the development of stronger plans.

- H5: Transformational leadership can ensure successful partnership functioning. Research indicates that transformation leadership has a number of dimensions. The more likely a leader is to exhibit these "dimensions," the more likely the partnership will succeed in achieving intermediate and long-term outcomes.

- H6: Partnerships that can transform conflicts into partnership capacity will be more successful in achieving both immediate and long-term outcomes than partnerships that are unable to transform conflicts.

Partnership Characteristics—Horizontal and Vertical Integration

- H7: Partnerships that are vertically integrated—where community agencies are equal partners with government agencies—will be more likely to sustain longer-term goals than partnerships where there is little vertical integration. Increasing the number of community agencies and residents involved in the partnership will increase the levels of success achieved. Individual residents, as well as representatives from community-based organizations in the target area should be included as members of high-level planning and operating committees (e.g., Steering Committee, or planning bodies).

  Similarly, increases in horizontal integration—often related to community networking and sharing of resources—will provide a successful platform from which long-term outcomes of crime reduction can be achieved.

- H8: Partnerships that have the goal of achieving change at the individual-level could benefit by establishing centrally-located facilities in the target neighborhood that are utilized regularly by the partnership service provision team. A community-based facility that is co-located—serving as a one stop shop for a variety of services—facilitates the building of trust among partners and with the local community, eases communication lines, facilitates service delivery, and resource sharing.

Community Context

Empirical research has been uneven regarding how community justice initiatives function in various contexts, in part because the collection of data has not been systematic and there are few rigorous comparative studies of initiatives taking place under varied contexts. In addition, the rigorous multi-site evaluations that exist too often have such flexibility of program models that it is impossible to conclude how community environments influenced outcomes. After synthesizing the experiences of the five partnerships studied, we provide two hypotheses related to contextual conditions:

- H9: Community context will not negatively impact partnerships that have strong, transformational leaders who devote time and energy to developing the capacity of partner member *organizations*. Similarly, the utilization of a strong independent intermediary organization as partnership leader can help overcome negative community consequences such as state budget cuts or high partner member turnover.

- H10: The more structurally complex the partnership (i.e., greater number of partner members across diverse agencies and sectors), the more likely that community contextual conditions will negatively influence the partnership. Small partnerships committed to the partnership mission, rather than large initiatives, may have the greatest chance of overcoming negative community influences and reducing crime (however these partnerships may be less likely to improve quality of life).

SUSTAINABILITY

Sustainability can take the shape of (a) sustainability of the partnership body, and (b) sustainability of programs and projects that were a result of the partnership. Partner members should have a clear vision of what sustainability should look like for their partnership. Funding certainly can make a difference in whether a partnership and its complementary programs are sustained. But besides hypothesizing the obvious related to funding, we believe that, for partnerships that have the goal of institutionalization or sustainability, partner members must address sustainability during all phases of the partnership, starting with the planning stages. Developing the capacity of each partner member to fundraise somewhat independently of the

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partnership or to provide in-kind resources (where dedicated partnership grant funding had been used), and not rely on any "new" or short-term funding, will provide a solid foundation from which the partnership can continue, or new programs and projects can be implemented with success.

In summary, we reiterate that community justice partnerships are complex entities that vary tremendously across partnership types and community contexts. Success can be measured in many ways, and sustainability or institutionalization of the partnership is not always best for the partnership or for the community. First, partnerships and the researchers who study them must take a step back to systematically assess what is working, why it is working, and under what conditions it is working. The conceptual framework developed in this report is only one step within a multi-step process moving toward understanding, articulating and measuring community justice partnership outcomes. As we stated in our Phase I report, well-constructed experimentation is necessary where change can explicitly be modeled, coupled with research methods such as case studies, panel studies and rigorous process and impact evaluation that provide the ability to achieve the level of knowledge discussed in this report. Indeed, research of this nature is costly, but not knowing what works or why something works could cost infinitely more.

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Appendix A. Sample Interview Protocol

Intro: We are researchers with the Urban Institute, a private, nonprofit policy research organization in Washington DC. The U.S. Department of Justice's Office of Justice Programs (OJP) and The National Institute of Justice (NIJ) are actively involved in assisting the development and implementation of innovative community crime prevention partnerships. In a continuing effort to support partnerships and identify best practices, NIJ is sponsoring research to examine how successful partnerships function. The Urban Institute (UI), along with Caliber Associates, under support from the National Institute of Justice, is studying successful efforts in three jurisdictions around the country—your partnership is one of those efforts.

This is not an evaluation of your program. The primary purpose of the research is to understand how successful partnerships are built and sustain themselves over time. The end product of this work will be a report on how strong partnerships function. This report will benefit future partnerships around the country as well as public and private funders seeking to support and develop strong initiatives. Throughout this interview, we will ask you questions of fact and opinion; we would like your honest thoughts and opinions about the partnership…

Note: For partners involved in the partnership in the past, please answer questions with regard to your contribution and experience with the partnership

First, we would like some background information:

1. Name/Title/Agency Affiliation

2. How long in current position, Length of time with agency, Major responsibilities

3. Does your agency service individuals? On average, how many people per day?

Next, we have some questions about your organization's structure and leadership…

4. Organization primary service area/mission:

5. Org chart for your agency? (get)

6. Current director of organization?

7. Can you tell us about your organization's support for the *Coronado Adult Supervision Partnership* [how did it come about; is there top level support; support throughout agency, etc]

8. Has there been any turnover of positions in your agency that may have influenced the level of support for *Coronado Adult Supervision Partnership?*

The next few questions are about your organization's resource capacity…

9. Does your organization produce an annual report?

10. Rough annual budget?

11. Any budgetary problems/constraints currently or in the last two years? Explain…How have they affected the organization's ability to function?

12. How open is your organization to partnering with other agencies?

13. Does your organization have a history of partnership with other agencies?

14. Any wisdom you can offer on the success of your agency with regard to partnering with other governmental and community agencies?

15. What resources has your organization provided or offered **to the** *Coronado Adult Supervision Partnership* **partnership**? Financial resources? Other—volunteer, expertise, etc?

> *We have a few questions about the partnership and structure of the* Coronado Adult Supervision Partnership *partnership…*

16. Looking back, what was the impetus behind the formation of the *Coronado Adult Supervision Partnership* partnership?

17. How long have you, personally, been involved in the *Coronado Adult Supervision Partnership* partnership? Your organization?

18. Did you have a relationship with each agency prior to *Coronado Adult Supervision Partnership*:

>   Police Departments—various levels
>   Department of Corrections
>   Division of Parole and Probation
>   Schools
>   City Council
>   Local community orgs (list)

History of contact (pre-partnership):
- ❑ No contact between our agencies
- ❑ Minimal contact between our agencies
- ❑ Regular contact between our agencies
- ❑ Coordinated programs/services between our agencies
- ❑ High level of collaboration between our agencies

General assessment of that contact:
[categories?]
- ❑ Favorable history
- ❑ Mixed history
- ❑ Negative history

19. Prior to the start of the initiative, how much did you trust agency (x,y,z)? How has this evolved over the partnership?

20. Do you think that trust is a critical dimension during the formation of the partnership? What other elements assist in partnership development and maintenance?

21. Who is the lead agency in the *Coronado Adult Supervision* Partnership?

22. If your organization is the lead agency…how did your organization become the lead? [i.e., did they write the grant, were they elected, did they appoint themselves…]

23. Is there a "leader" within the partnership? Who? Are they one and the same as the lead agency?

24. Can you choose three adjectives to describe (his or her) leadership style? Does leadership style influence partnership success in any way?

25. In your opinion, how important is the role of an intermediary in a partnership such as this one?

26. Which relationship between orgs (w/ which org) is the most productive and why? With who would you like to have more involvement and why?

   Next, we ask about the integration of your organization in the partnership…

27. Who determines the goals of the partnership? The decision-making process? Can you describe the decision-making process of your collaborative?

   [probe]: How are decisions made (vote, consensus, etc)?

28. Meeting Frequency?

29. How often do you personally attend meetings?

30. Meeting attendance. [consistent with a regular group, pretty consistent with a regular group, pretty consistent but the group varies, poor attendance]

31. Participation in Meetings. [everyone participates, most people participate, the same people talk all the time, only a very few people talk] *A variation of this could me incorporated into vertical integration.*

32. Information sharing between organizations. [no significant information is shared, little information is shared, some information is shared, a lot of information is shared—OR OPEN ENDED]

33. Are there any barriers to information sharing? …

   - -agencies policies
   - -state policies/laws
   - -federal policies/laws
   - -technology issues
   - -confidentiality
   - -turf problems among collaborative members
   - -personalities
   - -control issues

34. Communication outside of meetings. [none occurs, little occurs, some occurs, a lot occurs—OR OPEN ENDED]

35. Do you have binding MOUs within your partnership? If so, How do these aid the partnership? (legally-sharing information, organizational commitment?) If not, do you think they are needed or would help collaboration?

36. How much do you agree with the following statements:

37. I/my organization have/has a voice at the table within the collaborative

38. We solve problems collaboratively

39. Our collaborative is open to multiple approaches and solutions rather than relying on single answers and past practices.

40. The leaders at our meetings try to gain many points of view before solving important problems.

41. Making decisions is a consensual and inclusive process.

42. When I speak at a meeting, I feel like other members of the collaborative really listen to me.

43. The members of our collaborative are open to citizen and local organization participation…

The next few questions ask about the role of the local community in the partnership…

44. How do you view the role of the local residents? [e.g. very active, passive, consumers, small committed group, large committed group, consistent?]

45. What does the partnership do to engage the community? What do community members "do" for the partnership?

46. There are often tensions within the local community about how to determine the "community voice," such as consensus for local goals, prioritizing problems, etc. Can you talk about how you work with the local community to determine the community voice? Furthermore, how do you carry that dialogue through to citywide forums?

The next few questions are about the context of the partnership

47. What was your incentive for participating (joining) in this partnership? How has that changed over time?

48. How would you describe the political atmosphere in your area at this time? Has there been much change in the past few years? Does the political structure impede/encourage your partnership? How?

49. Do various local government agencies work together to address and plan solutions for shared problems?

50b. Is your partnership a part of that process? Do you feel your partnership is respected by the local government agencies?

The next few questions are about PARTNERSHIP resources…

50. How are other resources identified and garnered for the partnership?

51. What are the **essential** resources for success? In other words, if your partnership was going to start from scratch and you had to choose between various resources, which would you choose first?

Finally, we have a few questions about partnership sustainability…

52. Have the partnership's goals and/or objective been put into writing? How were these created?

53. Has the partnership been assigned permanent physical space within your organization? In other words, how much do you believe the activities of the partnership are a passing phase versus being truly part of your organization? What can you point to as evidence of your answer?

54. Would collaborations continue if funding stopped? If so, where would the funding/support come from?

55. On a scale of one to ten, with one being not important and ten being extremely important, how would you rate each of the following assets for a successful partnership?

❑ Dedication to a common goal
❑ Experience of members
❑ Availability of funds to do our work
❑ The good collaborative relationships we have with each other
❑ Good leadership

❑ Community that is working well with us
❑ Support of the local press
❑ Other_____

56. Is there one thing (person, resource) that you can point to that is instrumental in the success of this partnership?

57. What advice would you offer to others who are considering starting a similar type of partnership?

58. How much of a barrier has each of the following been to your partnership [in general]? Categories: major problem, somewhat of a problem, slight problem, not a problem at all. [explain…]

-agencies policies   -state policies/laws
-federal policies/laws   -community opposition
-funding issues   -personalities
-control issues   -confidentiality
-turf problems among collaborative members

Appendix B: Partnership Case Studies

The summaries presented in this appendix follow an outline describing the partnership along the dimensions of the original conceptual framework. Before we describe these dimensions, we first provide background information, when available, on the theoretical model or strategy underlying each partnership, and then provide a short description of the partnership in practice, and the state of the partnership during the site visit. The description of the partnership using the conceptual framework as a guide focuses mainly on the first two framework components—"Partnership Members" and "Partnership Characteristics."

The partnerships are discussed in the following order:

1. The Mesa (Arizona) Gang Intervention Program (MGIP);
2. The Greater Coronado (Arizona) Neighborhood Association Probation Partnership;
3. The Baltimore (Maryland) Reentry Partnership (REP);
4. Cherry Hill (Maryland) HotSpots Community Partnership; and
5. The Fort Myers (Florida) Public Housing Policing Initiative.

The Mesa (Arizona) Gang Intervention Program (MGIP)

BACKGROUND INFORMATION

Efforts to develop a gang intervention partnership in Mesa, Arizona began in 1992, when a Mesa Police Department Task Force was appointed to examine the gang problem and formulate a planned strategy for a department-wide response. The Task Force recommended the development of a city-wide task force comprised of a number of city partners that included the police department, mayor, City Council, and various community agencies. The City Manager appointed a captain from the Mesa Police Department to serve as Gang Control Coordinator (a police-community liaison role) of the new Mesa Gang Prevention Steering Committee (MGPSC). During the next two years, the Steering Committee developed a Community Action Plan and implemented two school-based programs focused on prevention and intervention with gang and at-risk youth.

In September, 1995, the City, on behalf of the Steering Committee, applied for federal funding from the Office of Juvenile Justice and Delinquency Prevention (OJJDP) to implement the *Comprehensive Community-wide Approach to Gang Prevention, Intervention, and Suppression* in Mesa.[7] In 1995, Mesa, Arizona was selected as one of five jurisdictions to receive funding. The gang intervention model implemented, known as the "Spergel" Model, centers around five strategies for serving gang-involved youth and their communities: (1)

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[7] First year funding was $199,644. The OJJDP project period was from May, 1, 1995 through June 30, 2001 as part of grant number 96-JD-FX-0007.

community mobilization, which encourages involvement from local citizens as well as key leaders of organizations; (2) opportunities provision, which offers specific programs to gang-involved youth; (3) social intervention, in which an Intervention team will "reach out" to youth and provide them with needed services; (4) suppression, which involves social control procedures by the police, probation, parole, etc.; and (5) organizational change and development, which revolves around the development and implementation of policies and procedures to provide better resources to gang-involved youth (OJJDP 2002). Basically, the key goals of the model are: (1) to reduce individual-level gang-related crimes; (2) to improve public safety at the community level by reducing crime rates, and (3) to increase community capacity by creating a jurisdiction-wide integrated system of services for gang-involved youth (systems change outcome).

The Spergel Model is a multifaceted approach beginning with an acknowledgement and assessment of the problem. The collaborating agencies first develop a Steering Committee that then appoints an Assessment Team. The Assessment Team collects and analyzes all data about gang-involved youth and develops an assessment report that catalogs the gang problem, the children who are involved in the identified gangs, and community perceptions about gangs. These data are intended to provide the Steering Committee a baseline from which to measure change and give them an objective perspective from which to undertake the next steps of setting goals, objectives, services and activities. After assessment and analysis of the problem, the Steering Committee creates a plan for dealing with the problem (OJJDP 2002). The plan includes description of goals, objectives, activities, and a timeframe for achieving the goals. The plan is also intended to identify relevant services and activities that will help achieve the goals and objectives. Gaps in services are also identified.

The Spergel Model is specific in its development of guiding principles which the Steering Committee is encouraged to take into account in the development of a plan: (1) The project goals should incorporate intervention, suppression, and prevention; (2) the police must participate; (3) the project must involve formal and informal community leaders; (4) the community must be engaged and mobilized; (5) the community and key leaders should acknowledge perceptions and realities about gangs, which by taking beliefs into account in the design of the plan will help establish trust within the community; (6) the project should have short-term and long-term goals in order to address hot issues and long-term prevention; (7) the project partners should put all past issues behind them and start with a clean slate; (8) the Steering Committee should understand the importance of the process of developing the plan, and; (9) the implementation objectives must be feasible, observable, and measurable.

The Spergel Model also guides how the project is staffed. Staff include a project coordinator, a research partner, and an intervention team. The intervention team is the vehicle to conduct outreach and provide services and referral to the gang-involved youth. The Model dictates that all the core agencies should have a member on the intervention team. The key goal of this group is for the members to work together and share information in order to help each youth receive opportunities for intervention. Agencies that are not represented on the intervention team should always be kept informed, as should all participants in the program. The Model revolves around the sharing of information and the coordination of effort by all parts of the collaboration. By definition, the Spergel Model also involves community capacity building. Community capacity building—a key concept in community justice partnerships—becomes an important feature in the project's overall goals. Giving residents a voice in the development and the maintenance of the gang intervention strategy is heavily promoted in the Model. The intent is

for the initiative to be sustained across all levels of the criminal and juvenile justice systems, schools, community organizations, and other government agencies.

Community capacity outcomes are specified by the Model. The Spergel Model envisions that not only will there be individual-level outcomes relating to a reduction in the number of gang involved youth and a reduction in recidivism among gang-involved youth, but there will be a reduction in gang incidents at the community level, as well as increased community cohesion and capacity building.

DESIGNATION OF MGIP AS "SUCCESSFUL" PARTNERSHIP

Under a research grant from the OJJDP, the University of Chicago conducted impact evaluations for the five Spergel model sites. The evaluation of MGIP found that the targeted community experienced significant reductions in individual-level recidivism, as well as community-level reductions in crime compared to a comparison area (Spergel, Wa, and Sosa 2002).

MESA GANG INTERVENTION PROJECT IN PRACTICE

The Mesa (AZ) Gang Intervention Project (MGIP) was coordinated by the City of Mesa Police Department. Two junior high schools, home to approximately 18 gangs with an estimated 650 members, define the target area. The Mesa Police Department was chosen as the lead agency for the project. In September 1995, a community mobilization/development specialist and a management assistant were hired. By the end of 1996, the interagency project team consisted of the community development specialist, two gang detectives, one adult and three juvenile probation officers, two street outreach workers, staff from Prehab of Arizona (a substance abuse treatment community agency), and Mesa United Way. The Gang Control Coordinator became the Project Director. A Case Management Coordinator position was established and filled by a representative of Maricopa County Adult Probation. The project team monitored and provided

services daily to roughly 100 youth. The MGIP team operated out of a storefront office in the target community. The MGIP gang detectives and probation officers held program youth accountable through surveillance and routine monitoring and supportive street outreach workers and staff from community-based agencies who ensured delivery of services. Throughout the project key services included: mentoring, literacy, job development, young men's and women's counseling groups, life skills, cognitive restructuring counseling, substance abuse prevention, STD classes, and parenting classes.

When MGIP was at capacity, the project served roughly 100 youth and young adults a day. The target number of probationers was 55, and another 40-50 were recruited from other sources that included referrals from schools, the city court (diversion youth), and recruitment by outreach workers.

MGIP became fully operational by January 1997. The project, in addition to the provision of services to the targeted youth, conducted outreach to parents and provided services to families. Bilingual programming was available to both youth and parents.

In addition to funding from OJJDP, MGIP partners were active in writing grant proposals to leverage federal resources and assist with sustainability. One of the community partners, Mesa United Way, applied for funding in 1997 from the DeWitt Wallace Foundation to obtain a three-year 400,000 grant for more after-school programming (which became known as KidsCAN!) at targeted Mesa elementary schools to improve academic skills, to provide social opportunities, and to increase parental involvement with their children. In 1998, Mesa Family YMCA (a Steering Committee member) implemented the Mesa Mentoring Project with three-year grant funds from OJJDP Title II funds through the Governor's Community Policy Office. The Steering Committee provided oversight and policy-setting for the Mentoring Project.

In mid-1998, MGIP began to focus strong efforts on developing project sustainability. A new task force was formed—Task Force on Community Sustainment—that began preparations and planning for funding to continue after federal funds ceased. In 1999 the City of Mesa's grant coordinator suggested that MGIP could be continued using city 1999 Juvenile Accountability Block Grant (JAIBG) grant funding. The Steering Committee recommended that the project should be sustained at its current level, rather than to cut it back or enlarge it. At this time the Steering Committee added two new members—the Director of Security for Mesa Public Schools and the Director (principal) of the Mesa Vista Alternative High School.

In July of 2001, the Steering Committee recommended to the City of Mesa that sustainability efforts should include the development of a joint application by Mesa Public Schools and Mesa Police Department for a Safe Schools/Healthy Children Grant application. In addition, the Mentoring Project received additional funding to conduct group mentoring of gang at-risk youth, in addition to the one-on-one mentoring it was already conducting.

THE SITE VISIT

The Urban Institute research team visited MGIP in November 2003. At that time, MGIP in its fully operational form had ceased, but the Steering Committee was still meeting regularly and the project was attempting to work with a small number of gang-involved youth. The Mentoring Project was still in existence, but the youth targeted for mentoring were not necessarily gang-involved youth or on the verge of entering gangs. The school-based work—both the Positive Alternatives to Gangs program and the summer-time PAY program also continued after the OJJDP funds expired. One particular activity—a tattoo removal program—that was held up as a model activity—also continues today. The individuals interviewed viewed MGIP as an initiative that was more than the six-year OJJDP-funded initiative. Most respondents saw MGIP as a

flexible broad initiative that was derived to directly address the needs of the community. The

majority of stakeholders had been part of the Steering Committee since 1992—two years before

the Committee submitted its proposal to OJJDP. The Steering Committee was formed to address

the issues of gang violence, not to develop a grant application for the OJJDP solicitation.

Partner Members

MGIP was comprised of 8 key partner agencies, four of which were nonprofit community

partners and four of which were local government agencies. In addition, the business corporation

Boeing was also considered to be a partner, although it was not necessarily a core partner and

had not been part of the partnership since its inception. The partner agencies are shown in Table

B-1.

Table B-1. Key Partnership Members, Mesa Gang Intervention Project		
Partner	Level	Institutional Sector
Mesa Juvenile Probation	2	Government, local
Mesa Police Department	2	Government, local
City Public Schools	2	Government, local
City Council	2	Government, local
Boys and Girls Club	1	Nonprofit, membership based
Prehab of Arizona	1	Nonprofit, 501c(3)
Mesa United Way	1	Nonprofit, membership based
Mesa YMCA	1	Nonprofit, membership based
Boeing	2	Business

Partner Agency Leadership

Each of these partner agencies had a leader that was involved in the partnership. In fact, all

agencies had little turnover of leaders throughout the six years of OJJDP funding for the MGIP

partnership. A number of people stated that a key to the success of the partnership was the high-

level (i.e., executive level) attendance at Steering Committee meetings throughout the life of

MGIP. Many respondents stated that it was rare for a director/leader to send someone in place of

the actual leader. This enabled decisions to be made and actions to be delegated and accomplished in a timely fashion. In addition, this commitment was augmented by the limited amount of turnover. For instance, one partner stressed the there have only been four or five school superintendents in over 20 years.

Partner Agency Resources

These agencies also had a wide range of resources available to dedicate to MGIP. Each of the community organizations has a long, stable history in the Mesa Community. Each community agency brought particular resources that acted to enhance the strength of the overall partnership. Each agency donated a variety of "in-kind" resources to the partnership. Table B-2 highlights the in-kind resources dedicated to the partnership and lists, when known, the stability of partner leadership. Prehab of Arizona provided knowledge of and access to a vast range of counseling, drug and alcohol services. The Boys and Girls Club provided a direct link to the target community and access to recreational resources such as facilities, sporting teams, and other youth and community recreational services. Mesa YMCA raised resources to begin a mentoring program as part of the MGIP. The Mentoring Project Director was continually seeking to develop new funding sources to expand and enhance the Mentoring Project. The Mesa United Way had experienced and multi-lingual neighborhood outreach workers that were familiar with working in disadvantaged neighborhoods. When it was determined that MGIP funding could be used for the Neighborhood Developer position, MGIP borrowed experienced staff from the United Way. The person serving in the role was bilingual. A few years into the project, she went to work directly at the central neighborhood location that housed MGIP.

Partner Agency Orientation

The partner agencies are all well respected in the community and have a history of working with at-risk youth and criminal justice involved populations. In addition, many key leaders

interviewed stressed that the pre-existing relationships among partners facilitated the operation and maintenance of the project. Each of the community partners indicated that they had collaborated in some fashion with the government agencies before MGIP. This creates an important foundation from which a strong partnership can be built and sustained. We did not hear any reports of long standing conflict between the community agencies and government agencies.

Partnership Characteristics

Structural Complexity of the Partnership

MGIP was a *complex* partnership involving four community agencies and four government agencies. The community agencies spanned various service sectors, including substance abuse treatment, recreational, and community development. The partnership also included a key business partner—Boeing. Staff indicated that there were a few notable absences from the partnership. Staff felt it would be helpful to have more businesses involved. Churches/faith-based groups were not heavily involved. The partnership attempted to get the local churches involved, but with little result. Some staff believed it was difficult to get churches involved because there were no churches located in the target area. With regard to government agencies, MGIP included a number of government agency types—the local police department, schools, and probation. The city council also demonstrated their strong support for the project. One council-member attended all Steering Committee meetings. The city court also became involved after the project was fully implemented. The court referred youth who were charged with an offense, but placed into diversion status.

Table B-2. Partner Agency Leadership and Resources, Mesa Gang Intervention Project			
Partner	Leadership	Prior Collaboration	In-Kind Resources
Mesa Juvenile Probation	Same Chief Juvenile Probation Officer since 1995	Prior collaboration and other concurrent collaborations with Prehab of Arizona	GED training lab and part time instructor dedicated to MGIP (separate grant written by probation); two dedicated juvenile probation officers at center
Mesa Police Department	3 or 4 Chiefs over duration of OJJDP grant	Pre-existing relationship with schools	
City Public Schools	Same Superintendent for duration of OJJDP grant	Pre-existing relationship with police; Pre-existing relationship with Prehab.	All public school facilities serve as recreation centers after school hours.
City Council	Council-member committed to project for duration	Strong pre-existing relationship with police department.	Encourages policies that support gang prevention and suppression. Sought finding from city
Boys and Girls Club	Same Executive Director	Pre-existing relationship with all partners	Facility for activities; funding for tattoo removal
Prehab of Arizona	Same Executive Director	Pre-existing relationships with all partners; Chief of Police and Superintendent of Schools sit on Prehab Board of Directors; and Executive Director of Prehab was on School Board	Substance abuse services (outpatient and residential); Counselors dedicated to schools for gang education; Prehab staff serving as manager of counselors and probation officers at center; Prehab also hired and managed core team outreach workers
Mesa United Way	New leader of mentoring project hired in 1999. Very committed to project	Pre-grant: already working to develop city-wide "healthy communities" plan. Had large network of community and government partners for regular meetings	Bilingual staff experienced with target neighborhood (position support by OJJDP grant); conducted parenting classes
Mesa YMCA		Pre-existing collaboration with police department	Mentoring Project
Boeing	Leadership committed to Steering Committee		Encouraged YMCA to write grant proposals to Boeing. Boeing Corporation and Boeing Foundation provided grant funds for mentoring project

Lead Agency Type and Leadership

The City of Mesa was the fiscal agent for the MGIP grant, and the Mesa Police Department acted as the lead agency. The Project Director was part of the Mesa Police Department and had been part of the Steering Committee before the OJJDP funding began. All partners recognized the Mesa Police Department as the lead in the partnership and felt strongly that the person who served as Project Director was perfect for the role. Everyone interviewed had extremely positive opinions about the Project Director and many stated that the Project's Director's commitment to the Project and dedication to community policing were the key strong points regarding project leadership. In addition to the Project Director, a key leader was the Chairperson of the Steering Committee. Throughout the life of the OJJDP funding there were only two Chair people. The first chairperson remained for the majority of the project, but retired toward the end of the funding (around 2000) and was replaced by the person who had been Case Manager for the core team. All staff also spoke very highly about both Chair people. A few mentioned that the first Chair utilized an organized system of performance measurement for the partnership. Two or three strategic tasks would be outlined at a meeting and the Committee would focus on achieving these tasks, and only then would move on to the next goal.

In the beginning of the OJJDP grant, 10-12 members across key agencies had a one-week meeting in Kansas City to familiarize themselves with the Spergel Model and partnership. A number of staff mentioned that this "retreat" helped set a good foundation for collaboration. When asked what makes a strong leader within this partnership, most staff described the characteristics of a strong leader in terms in intangible characteristics such as well-respected, dedicated, loyal, and organized. Some specifically mentioned that in the case of MGIP, good leadership helped minimize consequences associated with turnover of other key leaders. The leader was able to get new executives on board quickly. The leader knew how to motivate

partners to achieve partner agency goals, by holding everyone accountable to their promises and giving recognition and reward when appropriate.

Vertical Integration

The partnership was well integrated with regard to joint setting of goals and decision making. Each member of the Steering Committee had a strong voice at the table, and, when resources were already in place, goals were usually set into action with minimal hesitation. As stated earlier, many key leaders interviewed believed that the pre-existing strong relationships among partner members raised the level of trust and collaboration for the partnership. Everyone we interviewed at the executive level agreed that goals and objectives were accomplished with joint collaboration and minimal obstacles. Across large partnerships, this level of collaboration and accomplishment seems rare. In addition to joint goal setting and decision making, both Juvenile Probation and the Police were active in sharing information with the other partners and with the community.

A few staff stated that there could have been even stronger vertical integration by having the core team staff present at Steering Committee meetings. None of the street level workers was invited to the Steering Committee meetings unless they were specifically asked to report on a successful client. It was suggested that the actions of the Steering Committee were too far removed frontline efforts to be able to adequately respond to all issues or obstacles that existed at the ground level.

Community Involvement

Community involvement was a key component within the Spergel Model. MGIP actively sought to obtain resident involvement mostly through education programs and focus groups. Sometimes residents sat in on Steering Committee meetings. In addition, the position of Neighborhood Developer encouraged resident involvement. The position was responsible for informing the

target community and the broader community about the gang initiative and to recruit family involvement and resident interaction. The person who held the role of Neighborhood Developer was born in the target neighborhood which many stated helped the community feel they could trust the project. The Neighborhood Developer and other staff member helped residents form block watches in the target neighborhood. Some staff interviewed felt that community involvement was strengthened because the project was located in the community and the targeted youth worked on neighborhood beautification projects. This helped raise awareness of the initiative and awareness of the city having a gang problem. One staff member said that neighborhood residents came to really trust the police and often worked with them to report gang problems and help police problem solve around violence.

Although many efforts were made to include residents in MGIP meetings, some key agency staff felt that resident involvement was generally low. Some staff believed it was because parents denied that their children were in gangs. However, many also stated that the low involvement did not hinder MGIP from achieving most of its goals. At most, staff felt more parental involvement could have helped improve outcomes for youth. On the positive side, the majority of staff interviewed felt there was little or no community opposition to the project.

Horizontal Integration

Partner members regularly communicated with each through a number of forums. Regular meetings were held. Horizontal integration was also achieved by co-location of services for youth at the neighborhood center that was set within the target neighborhood. Staff at the center, as well as executive leaders, felt that the co-location was one of the key variables in the success of the partnership. Co-location helped with building trust among partners and with the local community, eased communication lines, facilitated service delivery, and resource sharing. In particular, probation officers and police officers who came to the table with different

philosophies learned to work together to resolve public safety issues for the betterment of the neighborhood. Roles of each agency at the center could be redefined jointly.

One issue that hindered communication was the turnover of the frontline staff. Two undercover police detectives were assigned full-time to the center, but these detectives often left after one year. Outreach workers did not remain in the position very long. Some staff believed this was because outreach worker position was an entry-level position, yet the role was very challenging and often stressful. Another issue that hindered communication involved the hiring of ex-offenders as outreach workers as envisioned by the Spergel Model. When a former gang member was hired, some of the police officers did not feel comfortable sharing sensitive information with the outreach worker. However, procedures for sharing information were in place and the core team sought to develop an open system of sharing information at weekly case management meetings. The case management team met once each week to discuss two to three participants. This helped to open the lines of communication across staff. Outreach workers and the lead case manager could interact with police and probation to develop the best service plan for each client.

Funding and Resources

Many respondents stated that it was the OJJDP funding that brought the agencies together. The funds helped secure a location and staff. Many stated that having a central location for the project where the core team resided helped facilitate overall success. Many of the partners were impressed with how much could be accomplished with the federal money. They felt all partners were successful in leveraging the piece of federal funds they received, in that each partner turned the limited resources into a much larger pool of resources that was instrumental in developing a full range of outreach and service provision that would enable meeting of goals and in turn, partnership success. Reflecting on the partnership's strong ability to leverage resources, many

interviewed stated that this success was related to the dedication of the effort that existed even before the federal funding began.

When asked what types of resources were not available to the partnership, many responded that more services for the target population related to job development or job training would be helpful. The core team did not include a job developer and the frontline staff suggested that having a job developer would have attracted more youth and helped retain youth for longer periods. Other staff responded that additional school outreach would be helpful, and that the existing outreach staff were spread too thin, and often not tapped into the gang activity at the schools and in the neighborhood. A few staff suggested that with more outreach workers, staff could develop strong one-on-one relationships with the youth, and have a full system of case management that involved follow-up of all service referrals.

COMMUNITY CONTEXT

Throughout the week-long site visit, we were continually impressed with the high-level of involvement of all key leaders with MGIP, as well as the strength and depth of collaboration among partners. There did not seem to be any missing links among the partners at the executive level and partners were continually working to find new sources of funding to re-start the MGIP initiative. The city council was very involved in the MGIP and local papers were active in praising MGIP around the time that the federal funding ended. In general, the political environment seemed to strongly support the project. When we asked about positive and negative contextual influences on the partnership, most partners said that partnership success had much to do with the history of the Mesa community. Mesa is a large city with a small town feel. Some suggested that because the city comprised many Mormons, the residents were family-centered and had a spirit of community involvement. Those interviewed stated that there has always been

a focus on volunteering, good parental involvement in schools and a stable history of community organizing and advocacy. A number of respondents stated that there was strong crossover among the public sector and private sector—that organizations and agencies had been working together on various boards of agencies for decades. Others added that MGIP was strengthened at its foundation because even before the federal funding the city was already focused on increasing community capacity and improvement. In the early 1990s, the Mesa United way had begun a large campaign to increase awareness and services around "building a healthy Mesa." Hence, the foundation for strong partnerships for community capacity building had already been laid.

SUSTAINABILITY

At the end of federal funding in 2001, the City of Mesa funded MGIP for a few years. When we asked how the MGIP program ended, those interviewed offered a number of insights. The majority of those interviewed believed MGIP ceased because the city was facing severe budget cuts. In the event of a changing economy, the partnership became too expensive. A few high level staff suggested that although the partnership was successful in reducing gang crime and violent crime in the target area, the number of youth that were being served was too small to justify the cost of the program. Some staff suggested that the evidence showing small numbers served was due to leadership changes in one of the positions of the core team—that paperwork was not filled out and it became difficult to account for program successes. Toward the end of the OJJDP funding it did appear that MGIP was not reaching many adjudicated youth (and instead serving mostly drop in and low-level at-risk youth), and some staff suggested that the police department needed to see results showing reduced recidivism of the criminally-involved population.

Some staff suggested that losing the funding for the central facility to serve youth was the true end to MGIP. At the end of OJJDP funding, Prehab of Arizona found another facility that could be used for the core team and donated it, but MGIP staff thought that a large amount of funding would be needed to bring the decaying facility to life. Basically, no one could find funding to turn the facility into a fully-functioning site, and at the time of our visit, the site was sitting empty.

Overall, with regard to sustainability, we have concluded that the underlying partnership has been sustained, but the "programs" implemented have, for the most part, not been sustained. This is an important distinction, in that some level of partnership functioning has remained generally steady, but end "programmatic" outcomes are not being achieved.

PARTNERSHIP SUMMARY

Throughout the MGIP partnership, the partnership was successful in achieving their goals of reducing recidivism and reducing violent crime in the target area. As stated earlier, the evaluation of MGIP, funded by OJJDP as part of a national evaluation, utilized a comparison neighborhood and found significant evidence of partnership success (Spergel et al., 2002). Reflecting on what we learned on site, we believe that there were a few key variables related to partnership success. These are outlined below across three main components: (1) partnership context, (2) partner members, and (3) partnership characteristics.

Partnership Context
- Pre-existing collaborative with dedication to a common goal
- Strong community geared toward capacity building and problem-solving
- No resident opposition

Partner Members
- Strong, stable leadership of partner members
- Existence of wide range of resources within each partner agency

Partnership Characteristics
- Strong lead agency (strong leader)

- Involvement by the leadership of all key agencies needed to achieve goals

- Strong leveraging of resources

- Co-location of frontline staff

- High-level vertical and very strong horizontal integration

Even with the success of the partnership in reducing crime, the partnership had a number

of challenges over the years. The most often-documented challenges reported from our site visits

included front line turnover, lack of sustained recordkeeping, and program drift.

The Greater Coronado Neighborhood Association and Maricopa County Adult Probation Neighborhood Office Partnership (Arizona)

BACKGROUND INFORMATION

The Coronado neighborhood, in center-city Phoenix, was a neighborhood experiencing rising crime rates and overall corrosion during the late 1980s and early 1990s. In the early 1990s, the area started to experience gentrification and a growth of residents with a strong voice who wanted to improve their own community (Clear and Cannon 2002). This group of residents formed the Greater Coronado Neighborhood Association (GCNA) and, in 1994, began to pursue grants to help revitalize their community.

With new success in acquiring grant money for their community, Coronado residents were soon known throughout Phoenix as progressive and successful grant seekers. The city of Phoenix Police Department approached GCNA in 1995 about jointly applying for a Comprehensive Communities Program (CCP) grant (BJA 2001). This $1.5 million grant, which they were awarded, sought to implement a comprehensive community policing plan that involved strong community input. CCP soon became the foundation for a number of partnerships between GCNA and justice agencies. The CCP model stressed crime reduction and enhancement of public safety as vital elements to improving quality of life. The strategy utilized a community justice approach that sought to bring those most affected by crime together and to give each stakeholder a meaningful role in solving problems. The strategy applied a deliberate planning and implementation process (Bureau of Justice Assistance 2001).

After receiving the CCP grant money, GCNA polled the neighborhood to decide the most effective way to use the money. The community thought that reducing juvenile crime should be a

priority focus. Neighborhood residents wanted a say in a juvenile offender's sentence. GCNA soon expressed interest in developing a neighborhood-probation partnership.

Around this time, the idea of beat supervision was becoming a hot topic in the Probation Office. The probation department in Phoenix was moving toward a nontraditional neighborhood focus for supervision, as opposed to an office centralized caseload approach. An Adult Probation Supervisor liked the idea of localized community supervision. She heard about the work with the Greater Coronado Neighborhood Association, and contacted them about forming a partnership in which a satellite adult probation office would be placed in the neighborhood. In the beginning, there was some dissent about moving this office into the community. However, the probation department made an active effort to go into the community, along with the Neighborhood Association leaders, and discuss any issues with the residents. The probation department took the residents concerns seriously and took steps to alleviate these concerns and educate the public about the role of probation and how a partnership could work. A few key leaders within the neighborhood were instrumental in bringing the rest of the neighborhood on board. They worked jointly to explain that by being in the community, they were not bringing probationers with them; they were already there. They also helped explain that by being in the community, they may be able to maintain closer supervision of probationers, while taking steps to help the community in which they reside.

The probation department was able to rent office space from a local church to serve as their community office. The church had been turned into a community center, and the new probationers helped to maintain it. In return, the space was rented for very little money. For example, after receiving the office space, the probationers helped put a new roof on the church. The probation officers work directly with the community to identify problems and help alleviate

them. The probationers help with community service. The community, in turn, sees offenders being held accountable to the community, and the community becomes more vested in the program as the probationers feel some ownership of the neighborhood.

Essentially, with regard to the history of the probation community partnership, the partnership began on two fronts: the neighborhood began a movement to organize and seek grants to improve their neighborhood, and probation began a movement toward community or "beat supervision." Cooperation between the groups, therefore, was fairly seamless, but took a few years to develop.

DESIGNATION OF THE PROBATION PARTNERSHIP AS A "SUCCESSFUL" PARTNERSHIP

To date, the Coronado-probation partnership has not been formally evaluated. However, a small evaluation was conducted by Arizona State University in 1995-1996 to evaluate the first year of implementation of the larger CCP partnership. The evaluation found that both violent and nonviolent crime dropped in Coronado between 1995 and 1996, compared with a similar neighborhood as well as the entire city of Phoenix (Vandergrift, Fernandez, and Humphrey 1997). At this time, the probation partnership was fully operational. The probation partnership also has been deemed a model[8] community justice program by research experts in the community justice field (see Karp and Clear 2002).

THE PARTNERSHIP IN PRACTICE

As of the end of 2003, the partnership between GCNA and Maricopa County adult probation has been in place for nine years. The key goal of the partnership is to reduce crime and recidivism

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[8] Karp and Clear (2002) state that the case studies described in their book illustrate new, encouraging ways of doing business. They recognize that the partnerships may not be perfect, but nonetheless believe that these partnerships hold much promise.

through a community problem-solving model where offenders are held accountable to their community. The local probation office has been housed at the church since the start of the partnership, and there have been no lapses in the program. The Coronado community is made up of 12,000 residents, predominately single-family, owner-occupied homes (Clear and Cannon 2002). However, there are distinct demographic differences within the community including varying income levels and Spanish-speaking and English-speaking residents. The local probation office has three probation officers who work out of this unit. They supervise approximately 235 probationers who reside in Coronado (Clear and Cannon 2002).

The Greater Coronado Neighborhood Association is a 501(c)3 nonprofit association. It is self-sustaining and holds a number of events and benefits yearly to raise funds. The Association charges $5.00 per year for membership, and it is open to anyone within the neighborhood (Coronado Neighborhood Dispatch, Nov. 2003). The neighborhood sponsors GAIN (Getting Acquainted In your Neighborhood) every year and probation officers and police come out to mingle with residents. A free monthly newsletter, The Coronado Neighborhood Dispatch, is distributed throughout the neighborhood. The newsletter is self-supporting with advertisements and is created by a volunteer. The web site is also supported by a volunteer from the neighborhood.

After the CCP funding ceased, many residents within the neighborhood wrote letters to help get the probation department to fund the satellite office. The department was able to reallocate its staff and funding, so that it does not cost the department any more money to have the office within the neighborhood. Since they have been in the neighborhood, the probation officers have had a representative at every neighborhood meeting, and they have been responsive

to neighborhood issues. The neighborhood sponsors a monthly community service day, which the probation officers and probationers attend.

The feelings of mutual respect shared by the Neighborhood Association and the probation officers were evident during interviews. Both agencies contribute to the partnership in varying ways. According to residents, the probation officers are vested in the project and go above and beyond their regular duties within the neighborhood. The probation officers also spoke very highly of the neighborhood residents, specifically a few of the members of the Neighborhood Association. The probation officers told us that every government official knows the Coronado neighborhood and what they are doing; council members often come to community meetings. Together the probation office and the neighborhood are still applying jointly for grants. In 2002, a block watch grant, written by one of the probation officers after attending a grant-writing workshop, was funded.

THE SITE VISIT

The Urban Institute research team visited the Greater Coronado Neighborhood Association in November of 2003, met with probation officers and the local police contact, and spoke at length with a number of community residents. The partnership between Maricopa County Adult Probation and the Coronado neighborhood remains strong, even as other partnerships that began with the CCP grant have ceased (Juvenile Probation has moved out of the neighborhood). Three officers still work directly out of the office within the church. These officers only supervise probationers in the Coronado neighborhood. The probation officers attend all the community meetings and participate in all community events.

Partner Members

There are two formal partners at this time: the Greater Coronado Neighborhood Association and
Maricopa County Adult Probation (see Table B-3). At the time of the CCP grant, there were
several agencies directly involved including the Phoenix Police Department, Phoenix Parks and
Recreation, Modest Means (a group of lawyers offering legal advice and aide), and a Job
Training Program. When the grant money ceased, most of the partners left the partnership.
Currently, a Community Action Officer from the Phoenix Police Department is assigned to the
Coronado neighborhood, and he works with the probation department as much as possible.

The probation department remains committed to the partnership—a commitment that
involves a contribution of in-kind resources—the probation department never received money
from the CCP grant. Probation modified their internal staffing patterns to commit officers to the
neighborhood.

Greater Coronado Neighborhood Association	1	Nonprofit, membership-based
Maricopa County Adult Probation	2	Government, local

Partner Agency Leadership

Both partners have had little turnover within the course of the partnership. At the frontline staff
level, the probation department only places people into this position who apply and have a
sincere interest in working with the neighborhood and extending beyond the traditional roles of
probation. One probation officer had been at the location for over 3 years; the leadership at
probation headquarters has not changed; and despite minor staffing changes at headquarters, the
Maricopa County Adult Probation Department remains committed to community justice
initiatives. In the neighborhood, the same core residents have led the Coronado neighborhood

during the last decade. The two key leaders that have been vital to this partnership since the very

beginning are a husband and wife who reside in the neighborhood. They helped form the

Neighborhood Association and continually encourage residents to become involved in

neighborhood activities. Each person with whom we spoke told us that this couple has been the

driving force within the neighborhood, and many mentioned that they were not sure if the

program would have been as successful without them.

Greater Coronado Neighborhood Association	Same residents throughout the partnership	Time, Neighborhood Website, Newsletter, Community Service, Supplies
Maricopa County Adult Probation	Little turnover among probation officers	Manpower, Time, Equipment and supplies for the office

Partnership Characteristics

Structural Complexity

The partnership has a *simple* structure because it involves only two key partners.

Lead Agency Type and Leadership

Because of its simple structure and the nature of collaboration between the two partners, there is

no lead agency, and hence, no "leader" for this partnership. The executive director of GCNA is

the key leader who is most involved from the community association, and the line probation staff

who work out of the church office are the key contacts for probation.

Vertical and Horizontal Integration

Both vertical and horizontal integration are strong across the partnership.[9] The partners formed a close relationship throughout this partnership and each spoke with a great amount of respect for the other. The partner agencies are viewed as equals and they work together to problem solve. By placing the probation office directly in the community, each partner felt that they were able to maintain close relationships because probation is easily accessible. Residents often stop into the office to talk with the officers, and the officers attend all community functions. This keeps the lines of communication open, and information is always being shared, which also aids in direct probationer supervision. Both partners spoke of the ease of information sharing between themselves and with the police. The neighborhood residents will often approach the probation officers about problems or issues within the neighborhood and the probation officers are known to assist residents in various ways. Staff interviewed stated that the residents recognize that the probation officers cannot share all information with residents, but the residents trust that they are doing everything possible to keep the residents safe.

Residents are very involved in the partnership. As mentioned above, a core group of residents are very involved in problem solving and increasing neighborhood capacity to problem solve. The core group attends all the neighborhood meetings and all the community service projects. They mobilize other residents to become involved. There are approximately 300 neighborhood association members (fee-paying members) and around 30–35 people who attend the monthly neighborhood meetings. At each meeting the association focuses on particular issues that have arisen and try to form a consensus, and focus on a solution. Neighborhood residents stated that they felt that everyone in the neighborhood had a similar agenda—to keep the

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[9] Within a partnership with a simple structure, vertical and horizontal integration are closely entwined.

neighborhood safe. Clear and Cannon (2002) tell the story of a probationer who's neighbors suspected him of violating his probation and selling drugs. The neighbors informed the police and probation. Instead of merely arresting the probationer, probation, some neighbors, and some of his family members set up an intervention and let him know that others knew what he was doing in hopes of getting him to stop before they had to arrest him. Also, the probation officers and the police have learned to share information through this partnership. Probation officers will go along with police on arrests of a probationer and officers will go to the probation office if they are having a problem with a probationer.

Funding and Resources

The Neighborhood Association has been able to obtain several grants over time. However, the partnership between probation and the neighborhood has never been based on grant funding. Each partner spoke about times in which they had to "beg, borrow, and steal" to get supplies, personnel, or space. A probation staff person mentioned that they received supplies from both the neighborhood association and the probation office. Both partners were key in finding the resources they needed to survive and they have been able to shift resources so that they have not needed extra funding. The neighborhood association, along with the probation office, has received several grants, which they worked on together, including a Block Watch grant in 2002 and Fight Back money in 2003. They have used this money to improve the community, such as starting Spanish and English language classes within the Church Community Center.

It is important to note that the neighborhood association has always been proactive about seeking grants. Residents stated that a reason the neighborhood is so successful in obtaining grants is because they had a resident who worked for the city and knew the appropriate

procedures to apply for grants. This grant writer wrote a number of grants for them over the years (Clear and Cannon 2002).

COMMUNITY CONTEXT

Across the two square miles of the Coronado neighborhood, the demographics of the population vary widely. Overall, the majority of households report an annual income under $30,000. Coronado is part of inner city Phoenix, and some particular areas of the neighborhood are in steady decline. Relevant to partnership success is the strength of the Greater Coronado Neighborhood Association. GCNA actively pursued the CCP grant and contributed their own time and funds to developing community capacity to address the needs of citizens and promote active neighborhood associations. In addition to having a strong community association, Maricopa County government agencies seem to have a community justice focus on developing healthy neighborhoods. The probation department appears very committed to working closely with communities. Maricopa County's Justice System Activities Report for Fiscal Year 2002-03[10] discusses the philosophy of the county's justice agencies as "therapeutic jurisprudence" which seeks to address the underlying causes of crime. In addition, the specific activities report for the Adult Probation Department includes a number of "restorative justice indicators" in their performance reporting. Furthermore, the findings of Clear and Cannon (2002) mirror our perception of the county's community justice-oriented philosophy.

SUSTAINABILITY

The Greater Coronado Neighborhood Association Maricopa Adult Probation Neighborhood Office partnership has been maintained for a number of years now, without the

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[10] The report is available online at www.maricopa.gov/justice_activities.

need for outside funding. The partnership has been supported through reconfiguration of probation staff and a dedicated commitment to neighborhood supervision, as well as a strong commitment by neighborhood residents. The Maricopa County Adult Probation Department has reallocated a small amount of funding to support the office and rent, while the neighborhood helps with supplies, and on all community service projects. Since the formation, they have applied for and received several grants, which they have used to develop neighborhood programs or beautification projects. For example, they created a neighborhood garden behind the probation office, which is maintained by probationers.

Essentially, sustainability resulted from a dedication to nontraditional public safety strategies. The realization of the strategy was achieved through re-allocation of resources without the need for specialized or programmatic funding. The probation department does not perceive the partnership to be an add-on program, but an institutionalized way of doing business in high crime neighborhoods.

Contextually, it is also important to note that at the time the partnership was being developed, the Maricopa County Probation Department had been seeking to rearticulate their mission in effort to improve their effectiveness. An agency-wide development process resulted in a vision statement that incorporated a community focus on achieving public safety and increased community well-being. This refocusing of the agency's mission likely set the groundwork for a strong partnership with committed partners.

PARTNERSHIP SUMMARY

Looking at the continued success of the partnership, those we interviewed stressed the collegial, collaborative relationship that has existed for years between the two partners. They believe that the best way to build capacity within the neighborhood is to have strong leaders and

those who were committed to the same goals. Furthermore, the strong leadership from the neighborhood association has helped develop consensus in the neighborhood on the importance of having the probation office in the neighborhood. At the same time, the probation office has shown that the probationers can help improve the community. Each partner that we interviewed agreed that the partnership has increased the capacity of the neighborhood with regard to developing strengthened formal and informal networks of social control.

Looking across the conceptual framework components, there are a number of key variables that helped the Coronado-probation partnership become a community justice partnership model of success:

Partnership context
- Pre-existing neighborhood collaborative with dedication to a common goal
- Strong community geared toward capacity building and problem-solving

Partner Members
- Government agency committed to principles of community justice
- Stability of leadership within organization and government agency—no turnover
- Commitment of neighborhood residents
- Community agency knowledgeable about fundraising

Partnership characteristics
- Reallocation of resources—no outside funding or specialized funding needed
- Neighborhood probation office with committed probation officers
- Strong vertical and very strong horizontal integration—equality in problem-solving efforts

In addition to the successes within the partnership, staff interviewed reported a few challenges, though most of the reported obstacles were overcome through the commitment of the partner agencies. Challenges include obtaining resident buy-in to the partnership and continually keeping the community involved as new residents move in. The partnership is sustained through the commitment of a few key individuals, and many involved have stated concerns should any of these individuals leave their positions.

The Reentry Partnership, Baltimore, Maryland

BACKGROUND INFORMATION

The Maryland Reentry Partnership Initiative (REP) was developed as an integrated array of services designed to link offenders returning from prison to selected neighborhoods in Baltimore. As initially conceived, REP provides both pre- and post-release programming, housing assistance, substance abuse treatment, mental health counseling, vocational, occupational, educational, and other training to released prisoners to facilitate reentry in the community, reduce recidivism and enhance public safety.

The program identifies inmates as they approach their official release date, including those to be released under supervision and those to be released without supervision. The key eligibility criteria for participation in REP is that the inmate will be returning to one of three neighborhoods in Baltimore, as defined by the zip code where the offender will live upon release. Primary goals of REP include:

- Enhancing public safety by reducing recidivism among the ex-offender population;
- Increasing offender accountability and community reparation; and
- Increasing community and correctional capacity to adequately assess offender needs and identify community resources to match assessed needs.

These goals include outcomes at the *individual*, *community*, and *systems-level*.

Incorporating lessons learned from research and strategies over the years REP:

- provides a continuous support structure of programs and services to assist returning offenders in the reintegration process (*individual*);
- includes the local community, strengthening the community through its active role in the process and building informal social control (*community*); and,
- has a structure that is based on an inter-organizational partnership between the Maryland Division of Corrections, the Enterprise Foundation, the Mayor's Office on Criminal

Justice, the Maryland Division of Parole and Probation, and local community organizations, among others (*systems*).

The REP program is a community justice partnership joining criminal justice and other public agencies with local community organizations to provide continuous support and services to soon-to-be released prisoners and released prisoners throughout the process of prisoner reentry. Each partner within this collaborative relationship has specific roles and responsibilities related to the key programmatic objective of strengthening ex-prisoners' human capital and communities social capital to assist them in becoming productive members of the community. REP began in 1999, as a grassroots initiative with little funding, to address the growing problems associated with prisoner reentry in Baltimore. The program has grown and evolved over time. Initially, program operations served prisoners returning to three communities within the city of Baltimore. With the availability of federal funding under the Serious Violent Offender Reintegration Initiative (SVORI), REP received funding to expand to two additional communities in 2003.

By engaging the community as active partners in the process of reintegration, REP envisions the development of stronger communities and stronger community organization that can exercise informal social controls. To do this, the initiative focuses on augmenting the community's capacity to exercise informal social control by more effectively and efficiently utilizing its current structure and resources. REP established partnerships with correctional agencies and community organizations that expanded the communities' ability to both monitor and support returning offenders' activities through targeted efforts. Through collaboration and cooperation, REP works to ensure that efforts are strategic and targeted; an released prisoner can easily access the programs and services that best address his short- and long-term needs; and strong oversight of a returning prisoner's activities is administered, which thereby increased

offender accountability and community reparation. Therefore, these partnerships are geared toward expanding the capacity of the community to ensure a prisoner's successful reentry by identifying needs, matching resources that address identified needs, and providing greater supervision throughout the long-term transition process.

DESIGNATION OF REP AS "SUCCESSFUL" PARTNERSHIP

Although REP has not been evaluated, Enterprise staff are tracking recidivism rates of REP clients. In September 2003, we were given the following statistics for clients from the three neighborhoods: Of 209 REP clients to date (from the inception of the program), only 2 percent had committed new crimes, 5 percent had technical violations and 7 percent had "noncompliance" orders issued. In addition to keeping recidivism low among clients, REP has been successful in instituting systems change. Prior to REP, there was a perception that there was overlap between services and agencies, duplication of efforts, and gaps in service. Through these new coordinated efforts, new positions, and structured reentry process, staff indicated that the agencies have become more efficient in serving soon to be released and returning prisoners.

THE PARTNERSHIP IN PRACTICE

At the time of our site visit in August 2003, REP was beginning to expand their model statewide, but also remained focused on serving returning prisoners in four targeted zip codes that encompass three Baltimore neighborhoods—Druid Heights, Sandtown-Winchester, and Greater East Baltimore. At that time, the program served approximately 15-20 returning prisoners per month per neighborhood. These sites were chosen by REP because of the disproportionate number of offenders returning to these areas. Due to the number of partners involved and the variation in strategic efforts across the three neighborhoods, we chose to focus on only one of the three neighborhoods—Greater East Baltimore.

REP's model is based on incorporating a pre-prison release plan into a strong post-release plan. While incarcerated, soon-to-be-released prisoners attend an exit orientation, which is designed to introduce them to both the available resources and their expected responsibilities upon release. At the time of release, clients meet with a "buddy" or case advocate to assist in the immediate transition process. REP then links the released prisoners to a number of services through the Chance Center, a centralized one-stop shop that connects individuals with a variety of services. There are generally four individuals that serve as the core team to assist the client with his reentry plan: the parole officer, a case manager that is part of the East Baltimore Community Corporation's (EBCC) Ready Work Grow (RWG) program, an employment specialist through EBCC's GATE program (Gaining Access to Training and Employment), and the case advocate. In addition, inmates are expected to take an active role in developing and implementing their plans. The REP strategy includes two years of intensive case management.

The client is usually qualified to come into the GATE program immediately upon release from prison. The client goes through an intake and assessment process at both RWG and GATE. Express Jobs is a service offered through GATE that establishes immediate employment (albeit temporary) for the ex-offender.

THE SITE VISIT

During the month of August (2003) we visited a number of key partners involved in REP in Greater East Baltimore. At the time, the partnership was fully operational. The neighborhoods of Greater East Baltimore span most of East Baltimore and include a number of smaller communities. The overall population is 21,052; 89 percent of the residents are African-American. There are a total of 7,557 households, of which 44 percent are single-parent

households. In 2000, the median household income was $19,427 with 32 percent receiving public assistance.

The Partner Members

East Baltimore REP is comprised of roughly 14 partners, the majority of which are government agencies. The East Baltimore Community Corporation (EBCC) serves as the main community agency within the partnership. The East Baltimore Community Corporation functions as the umbrella organization for 26 neighborhood groups and has been in existence since 1969. EBCC is a very large organization with over 150 full- and part-time staff. EBCC was created as an outgrowth of the East Baltimore Dunbar High School Charette, a comprehensive community school. The school was established in response to community concerns with respect to drug abuse, housing, and family issues. EBCC provides support for unions and businesses to come together to increase community capacity and economic development. The other nonprofit that is part of the partnership is Empower Baltimore Management Corporation, which is tasked with implementing Baltimore's empowerment zone strategy. REP also utilizes two research partners that provide support in developing performance measures and a more comprehensive evaluation plan that can be used to provide formative feedback to program partners. The research partners are not evaluating the partnership, but, instead, help the partnership develop research-based strategies for evidence-based programming.

When we asked key leaders if there were any partner agencies missing from the partnership, a few stated that the Division of Pretrial Services had decided not to participate in the partnership. Table B-5 lists the key partnership members and their institutional sector.

Partner Agency Leadership

Each of the government agencies had leaders who were committed to collaboration around the development of a reentry strategy. Of all the government agencies, the Maryland

Division of Correction (MDOC) is the central partner agency. A number of high-ranking executives at the MDOC initiated the ideas for developing new reentry programming. The Assistant Commissioner in the Division at the time and the Commissioner were dedicated to reentry planning and worked to "sell" the idea to the frontline and management staff. The

Table B-5. Key Partnership Members, East Baltimore REP		
Partner	**Level**	**Institutional Sector**
Maryland Division of Correction (MDOC)	3	Government, State
Maryland Division of Parole and Probation (DPP)	3	Government, State
Mayor's Office on Criminal Justice (MOCJ)	2	Government, Local
The Enterprise Foundation	3	Private foundation
The Mayor's Office of Employment Development	2	Government, Local
Baltimore Police Department	2	Government, Local
The Mayor's Domestic Violence Coordinating Committee	2	Government, Local
Empower Baltimore Management Corporation	1	Nonprofit
State's Attorney's Office	3	Government, State
Governor's Workforce Investment Board	3	Government, State
Department of Juvenile Services	3	Government, State
The Department of Health and Mental Hygiene	3	Government, State
East Baltimore Community Corporation	1	Nonprofit
Research Partners: (a) Urban Institute (b) Bureau of Governmental Research	2	

MDOC had entered into discussions with leaders at the Enterprise Foundation and together, the MDOC and the Enterprise Foundation began to bring in other government partners that included the Baltimore Police Department, the Maryland Division of Parole and Probation and the Mayor's Office of Criminal Justice. Key leaders of each of these agencies began to meet

regularly. To date, the key leaders are still very involved and there has been little turnover in these key leader roles with regard to the government agencies.

In addition to the MDOC's committed philosophy of prisoner reentry, the Division of Parole and Probation was simultaneously adopting a philosophy of proactive community supervision. Proactive community supervision is a problem-solving model of offender management that focuses on the development of a strong relationship between the field supervision officer and client. The model incorporates drug testing, treatment, sanctions, and incentives into its framework. This framework can be seen as a strong complement to a restorative justice approach to serving returning prisoners.

Partner Agency Resources

For the first few year of the partnership, all agencies were mostly donating their time and resources to the partnership. Each team member brought a variety of resources, but at the onset, the donated resources mainly comprised the time taken to meet regularly to develop a strategic plan. The Enterprise Foundation was the first to contribute with a small amount of money, followed by the Mayor's Office of Criminal Justice. Additional resources included a wide range of assistance from the Office of Justice Programs (OJP). Basically, OJP helped "manage" a national reentry partnership demonstration that involved eight jurisdictions—including Baltimore, but did not attach any funding to the initiative. The OJP put forth a basic reentry infrastructure that emphasized collaborative involvement of corrections, probation/parole, law enforcement, and various community organizations and service providers. The OJP helped facilitate information sharing and provided on-site reviews by federal justice staff, and support for multi-site cluster conference meetings. After a short time, the Baltimore partners realized that a full-time project director was needed for such a large effort and began to search for funding in hope of hiring a dedicated project director. Together, the partner agencies applied for a Byrne

Grant and for funding from the Abell Foundation. When funding came in, a project director was hired. The project director at the time was an employee of the Mayor's Office of Criminal Justice who had been very involved in other problem solving, crime prevention collaboratives such as the federal HotSpots initiative and Weed and Seed. She expressed her interest in the position and was soon hired. Because the partner members felt that the partnership would be strengthened by having an intermediary with community contacts as the lead agency, the new project director was hired as staff of the Enterprise Foundation.

The lead community agency, the East Baltimore Community Corporation (EBCC), is well connected to the community and has a large budget that includes roughly 5 to 8 million dollars for direct provision of human services and 7 to 10 million dollars for development. EBCC has a wide range of programmatic resources that it can offer returning prisoners and the larger community. Through the Chance Center, and in partnership with other organizations and institutions such as Johns Hopkins University, EBCC helps to provide preventive and comprehensive health care, substance abuse treatment, job development, GED courses, literacy courses, and youth initiatives such as in-school vocational training programs for high school students, mentoring, and after-school programs.

The strategic planning process of the partnership (described in later sections) was designed to pinpoint particular gaps in neighborhood resources available to serve returning prisoners. At the outset of the partnership, a few key agencies, with limited resources, came together to create a detailed plan to develop the full breadth of resources that would be needed to successfully serve returning prisoners.

Partner Agency Orientation

The EBCC was a natural partner for REP. The Executive Director of EBCC sat on the Board of the Enterprise Foundation and had a strong history of working to encourage the

development of community capacity. In addition, EBCC had a pre-existing relationship with the Division of Parole and Probation prior to REP. Staff stated that this relationship has evolved and grown even stronger as REP has grown.

The Enterprise Foundation, which serves as the intermediary to the partnership, has a strong reputation for supporting Baltimore communities in providing affordable housing, safer streets and access to jobs and childcare. As a result, all key partners agreed that the Enterprise Foundation was the most appropriate to serve as lead agency. Furthermore, a few people interviewed stated that because the Enterprise Foundation was trusted by community agencies, the instant credibility instilled by these strong relationships helped with transition the community agencies to working with the government agencies.

A few staff interviewed mentioned that the MDOC, in particular, did not have a history of working with community agencies. Key leaders mentioned that there was tension at the outset of the partnership when community services providers and the MDOC were first brought together, but the tension soon dissolved as the MDOC, the local police and other government agencies demonstrated their commitment to providing a comprehensive reentry strategy.

Partnership Characteristics

Structural Complexity of the Partnership

REP-Greater East Baltimore is a *complex* partnership involving two very large community agencies and a large number of both state and local government agencies. There is one lead *community* agency—Greater East Baltimore Community Corporation—that helps to rally resident support and encourages ties to a variety of community service providers. In addition to the direct services provided by EBCC's Chance Center, a host of services are provided by a number of loosely affiliated service providers that span various service sectors such as substance abuse treatment, health, and employment. Staff indicated that there were a few

notable absences from the partnership. As indicated earlier, the Division of Pretrial Services opted to not participate in the partnership. In addition, a number of staff suggested that support from housing agencies or corporations that can provide low-income housing or housing for at-risk populations was sorely needed.

Lead Agency Type and Leadership

The Enterprise Foundation serves as the lead agency for REP and basically acts as an intermediary to manage the partnership. The Enterprise Foundation has a dedicated project director for REP. Those interviewed stressed that the role of the intermediary helped the partnership learn to better leverage resources and provided a strong link to reestablish communication or overcome obstacles when setbacks occurred. Respondents said such a lead agency is necessary to bring different organizations together, as well as leverage additional skill sets that are needed but not presently represented. The Enterprise Foundation has allowed competent partners to take on more roles and responsibilities, while other partners took time to build up their resources and begin to contribute as they could when they were ready and able.

Other respondents stated that the Enterprise Foundation, as a strong leader, has the ability to act as an arm that will function on a national level and impact policy and the allocation of funds. The Enterprise Foundation pays attention to information coming from the partners and knows how to leverage the necessary resources and delegate funding fairly to agencies and for needed activities.

Although the Enterprise Foundation acts as the partnership lead agency, the principles of REP are organized around a strategic planning process that allows full involvement and representation by all partners. REP's formal planning process conceptualizes the goals and objectives of the program and helps the program respond to both challenges and opportunities in a consistent, proactive way. The planning process also focuses on mechanisms that will allow for

ongoing assessment of the programs goals, activities, and outcomes at the individual, program, and community levels. The strategic plan assists REP in developing detailed information about key program characteristics including:

- organizational characteristics;
- inter-organizational linkages;
- procedures for service delivery;
- gaps in service delivery; and,
- community and participant characteristics.

The *REP Steering Committee* consists of representatives and agency heads from government organizations, local nonprofit, and other community based organizations—these are the policy decision makers within their respective organizations, or the oversight level. However, this is a broad group of over 15 organizations. A similar smaller group, the *REP Operations Committee,*[11] meets in a forum to make decisions about program strategies, action plans, and timelines. The representatives in this subcommittee are from both the oversight and supervisory level. This group consists of the DOC, DPP, Mayor's Office on Criminal Justice (MOCJ), the Enterprise Foundation (EP), and local community groups. The *Community Public Safety Subcommittee* is a sounding board of local community stakeholders—from local ministers to community leaders, and members of law enforcement. This group monitors the program from the community perspective. Finally, the *Service Provider Network* meetings are where the direct service providers meet to improve the logistics of what they do, such as improving the information exchange network, improving communication and problem solving, sharing resources, and generally improving the linkages between the various systems.

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[11] The Operations Committee is comprised of members from MDOC, DPP, MOCJ, EF, and community-based organizations.

As described, the partnership is supported by committees at every organizational tier: direct services (line staff); the program level (supervisory); and the policy, strategy, and organizational level (oversight). Research has shown that commitment at each level is theoretically imperative in these types of initiatives. The oversight level guides the partner integration and is the level where policy decisions are undertaken. The program level provides operational decision-making, and the direct service level activates the service model. The REP structure has committees at each level that meet quarterly or more often to discuss REP and solve problems.

Vertical and Horizontal Integration

As described above, REP's formal strategic planning process encourages a very vertically integrated partnership. REP utilizes a logic model that has been developed with input from all key partner staff. The logic model facilitates the creation of specific performance indicators that are linked to the programs goals and objectives and allows for the measurement of project activities, inputs, and outputs. Once in place, these measures are used by the program to modify program activities in response to new opportunities and challenges. Each partner agency volunteers for particular roles and activities to implement objectives and overcome any obstacles that have arisen.

Staff interviewed indicated that communication and collaboration is strong throughout the partnership. Partners communicate regularly, and in turn, information sharing to bring about positive changes at ground level occurs often. For instance, prior to REP, in Maryland, critical information about the inmate usually did not follow the inmate, comprehensive treatment plans were uncommon, and there was little communication between agencies. To address this problem, REP created an organizational structure where various governmental and community-based organizations meet at different intervals; they discuss problems and solutions and share

resources. They created mechanisms of working together so that information could flow without being lost. In addition, the partnership utilized memoranda of understanding (MOU) to facilitate understanding of roles for each partner agency. At the beginning of the partnership, some organizations and agencies were very obstinate about the language of the MOUs and partners will unwilling to sign. However, over time, the key partner leaders convinced the agencies of the necessity of MOUs and each agency signed an MOU. Most key leaders felt the MOUs helped eased communication lines and avoided possible squabbles down the road, particularly in the event of staff turnover at the upper executive levels. However, it should also be noted that one partner felt that verbal agreements were more important then written agreements because partnerships evolve and grow and as a result, MOUs can become dated quickly.

Funding and Resources

As the partnership grew and moved from the planning stages to implementation, staff interviewed stated that funding was necessary to staff a number of key positions within REP. First and foremost, funding was used to support a dedicated project director. Second, funding supported case managers within the target neighborhoods that could work with offenders pre-release as well as post release. The partnership also realized as they began serving clients that more than half of REP clients had nowhere to live upon release. Funds were designated to support transitional living programs and rent for subsidized housing.

In general, many partners stated that as the partnership grew, so did the funding. Key partners wrote grants together and leveraged resources in every way possible. As REP began to be held up as a national reentry model, the state of Maryland decided to focus on reentry issues. As a result, the REP project director was asked to take a position as the state liaison for reentry efforts. Although REP lost its strong project director, the success of the program was boosted

even further by the state expansion and the prominence of reentry as a state priority. The state

agencies now (2004) are backed by full support from the Governor's Office.

COMMUNITY CONTEXT

Many key leaders noted that the Baltimore community was "ready" to tackle the issue of

prisoner reentry when the partnership began forming. Some noted that few, if any, households

had not been impacted by prisoner reentry. "There is an enhanced sensitivity to the by-products

of criminal justice involvement when so many people in the community are somehow involved

in the criminal justice system." In addition, the partnership worked hard to educate constituents

and expose them to important political issues so that they could advocate for themselves.

Furthermore, the East Baltimore Community Corporation was already serving ex-offenders in

numerous capacities and as a result, the community did not have to "buy in" to the effort.

The partnership idea behind REP is not Baltimore's first attempt at interorganizational

crime reduction partnerships in these communities. Baltimore's communities in general have a

long history of partnering, as a Comprehensive Community Partnership (early 1990s), Maryland

HotSpot Communities (late 1990s-present), Weed and Seed (late 1990s–present), and probation-

focused partnerships such as Proactive Community Supervision (PCS) and Breaking the Cycle

(BTC). Lessons learned from comprehensive initiatives (information-sharing, collaboration), and

reentry initiatives (individualized treatment plan, continuity of care) were combined to enhance

reentry services in Baltimore.

Essentially, everyone we interviewed stated that community readiness was key to the

success of the REP partnership. The executive level commitment from the MDOC and other

government agencies, combined with community agencies' history of working with ex-offenders

set the groundwork for a strong partnership that was committed to systems change for cohesive and comprehensive prisoner reentry programming.

SUSTAINABILITY

Given the broad financial, political, and programmatic support REP has received from numerous public and private institutions, many staff interviewed felt that sustaining support for continued, and expanded, REP programming is not expected to be problematic. However, many staff also cautioned that the "average person" may not care about ex-offenders, so with each new MDOC commissioner or mayor, great lengths have to be taken to re-educate officials about the need for the partnership and its success in the community. Similarly, the partnership is very active in building and maintaining community awareness around and support for prisoner reentry.

To improve chances for sustainability, the Enterprise Foundation has implemented a five-year plan to move the intermediary out of the partnership relationship. Each year, the community agencies must contribute more of their own resources to the partnership. After five years has passed, REP staff positions, with the exception of the project director, should be fully funded by community agencies.

PARTNERSHIP SUMMARY

Below, we list the key dimensions that were repeatedly mentioned by partnership staff as influencing the success of REP. The variables are outlined below across three main areas: (1) partnership context, (2) partner members, and (3) partnership characteristics.

Partnership context
- Community readiness to tackle the issue at hand
- Baltimore's strong prior experience with problem-solving crime reduction partnerships focused on neighborhoods coupled with strong neighborhood groups

Partner Members
- Strong, stable leadership of partner members
- Dedication of the Division of Correction to demonstrate that they can take on nontraditional roles and activities (e.g. partnering with community agencies)

Partnership characteristics
- Strong lead agency (strong leader); Designation of a community foundation as lead agency
- Involvement by all key agencies needed to achieve goals
- Strong leveraging of resources
- Strong vertical and very strong horizontal integration achieved through project oversight structure and strategic planning process

In addition to strengths, a number of partnership issues existed. The issues were mostly related to larger issues relating to community contextual conditions. For instance, partner members indicated that some of the services that were most needed for returning prisoners were the most difficult to provide. The need for safe and drug free housing was enormous, and there were few opportunities to provide housing. The partnership began to develop new strategies for finding transitional housing once they realized that a large portion of the REP budget was being devoted to pay rent for newly released offenders.

In addition, due to budget cuts in corrections, there were few services provided to prisoners while they were incarcerated. A number of staff interviewed stated that perhaps REP could have a greater impact if prisoners received pre-release programming. The REP model was designed to begin while an individual was still incarcerated; yet REP could only provide some assistance to prisoners (such basic information on available community services). On the community end, some staff indicated that REP met with obstacles when there was turnover in staff at the police department. Changes in high-level officials brought changes in policing priorities. As a result, REP met with many changes in the level of dedication of police officers to the partnership.

Maryland HotSpot Communities Initiative, Cherry Hill, Baltimore

BACKGROUND INFORMATION

The Maryland HotSpot Communities Initiative (HSC), launched in 1997 by the Governor's Office on Crime Control and Prevention (GOCCP), under Lt. Governor Townsend, supports comprehensive community-based crime reduction strategies in neighborhoods across the state. The initiative was implemented statewide, allowing every county to target a high crime area and apply for focused funding for that area. The neighborhoods were identified by local jurisdictions as places where there is a disproportionate amount of crime or fear of crime, and where community residents are ready to fight back. Coordination is a key component of the initiative, which aims to integrate services across policing, probation, youth services, the community, and in some sites, addiction recovery, victim assistance, business revitalization, prosecution, and crime prevention through environmental design. The Cherry Hill HotSpot Community was one of the original six HotSpot communities in the city of Baltimore. Cherry Hill applied for, and received, a portion of money from the $10.5 million in state and federal grant funds invested in the original 36 sites over three years. In addition to funds, the sites received targeted operational and technical assistance for team building, technical troubleshooting, and problem-solving. The sites also received priority consideration for other federal and state programs such as Americorps, teen pregnancy prevention programs, and the Drug Early Warning System. In subsequent years, original HSC sites applied for continued funded; they either added more elements to their sites, added more area to their site, or chose another site in the county or city. By 2002, there were 7 planning HSC sites; 41 continuing HSC sites; and 21 Hope HSC sites across the state of Maryland. In 2003, the new Governor Ehrlich,

revealed his new program, Collaborative Supervision and Focused Enforcement (CSAFE), which supplemented the previous administration's HSC initiative. CSAFE draws on many of the successes of the various HSC sites. Some consider CSAFE to be an extension of HSC, as it has similar methods and goals as HSC. However, the new governor has described CSAFE as "unique." It supplemented HSC in that existing HSC sites fought for the limited CSAFE funding—a reduction from roughly $10 million under HSC to $3 million for CSAFE. Only 47 of the existing 61 HSCs were funded as CSAFE sites (including only three of 12 Baltimore sites). The Cherry Hill HSC was one of the three Baltimore sites.

Cherry Hill, Baltimore was originally a planned community, located in the geographically isolated southern section of Baltimore. It was built in the late 1940s and has the largest concentration of public housing east of Chicago. While some of the public housing has been razed, much remains. Cherry Hill is also close-knit community and many families have lived in the neighborhood for generations.

DESIGNATION OF CHERRY HILL HSC AS "SUCCESSFUL" PARTNERSHIP

An evaluation of the Cherry Hill HSC was conducted as part of a larger multi-site evaluation of the Maryland HSC initiative. Woods and colleagues conducted a crime trend analysis from 1996-2000.[12] The researchers analyzed changes in crime rates for Cherry Hill versus for the city of Baltimore as a whole (only non-HotSpot sites). Changes in crime rates were examined for three groups of crimes as shown in Table B-6: (1) all Part I offenses, (2) property crime, and (3) violent crime.

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[12] The Cherry Hill HSC technically began in July 1997; because it was a formal roll-out, all sites received funding at this time and formal partnership meetings began, per the requirements of the grant.

The following data caveats were reported by the authors: (1) the geographic boundaries
of the HSCs do not follow census tracts, therefore it was difficult to estimate population,
therefore they made an assumption of constant populations; (2) the figures in Baltimore were
adjusted for discrepancies in crime reporting (in 1999, numbers were adjusted using a formula
developed by the FBI). Baltimore city comparisons are based on the adjusted figures.

Table B-6. Evaluation Findings, Cherry Hill HotSpots Initiative				
	1996 **Total Offenses**	**1996-1998** **Change in Crime**	**1996-1999** **Change in Crime**	**1996-2000** **Change in Crime**
All Part I				
Cherry Hill HSC	1,311	-29.37	-34.02	-40.20
Baltimore City, Non-HSC	76,113	-15.49	-11.38	-22.07
Property Crime				
Cherry Hill HSC	949	-32.46	-37.93	-45.10
Baltimore City, Non-HSC	60,769	-14.77	-14.24	-24.07
Violent Crime				
Cherry Hill HSC	362	-21.27	-23.76	-27.35
Baltimore City, Non-HSC	15,344	-18.37	-.05	-14.17

THE PARTNERSHIP IN PRACTICE

In August 2003—the time of our site visit—the Cherry Hill HSC initiative was
functioning at a lower level of operation than it had been during the period of state funding.
CSAFE, Maryland's new anti-crime initiative, began on July 1, but the contracts had not yet
been signed. The partners described their partnership status as being in a "funding lull." Weekly
partnership meetings have been temporarily suspended, although the neighborhood police officer
continues to collaborate informally with the neighborhood probation officers.

The main mission of the Cherry Hill HSC initiative is "to fight crime, grime, and increase
quality of life for neighborhood residents." The partnership has a neighborhood-based location

that houses some of the members of the partnership. When the partnership was fully active, the partner members attended monthly "public safety" meetings of all partnership members, in addition to a weekly meeting of key partners to discuss specific cases involving residents or clients recently arrested or under supervision. The weekly meetings involved a type of loose "case management" team, known as the HEAT team, which directly addressed problem cases in the neighborhood and other criminal justice issues. A representative from the Baltimore County Department of Health, Bureau of Substance Abuse sometimes attended to discuss clients in treatment or the number of treatment beds available for new clients. The Heat meetings utilized a rotating Chairperson system.

Over the years, the partnership has been very active in organizing around crime prevention. There are numerous block watches in the community, and apartment residents participate in a "Nosey Neighbor Campaign" that informally reports on suspicious behavior around apartment buildings. The partnership sponsors quarterly neighborhood beautification projects and organizes a large celebration annually for National Night Out—part of the National Association of Town Watches' national campaign to increase awareness of neighborhood crime and drug problems.

Other key projects of the partnership include drug treatment and substance abuse education, as well as other projects that focus on children. The partnership conducts neighborhood walks to bring attention to the large numbers of residents who have been murder victims, holds candlelight vigils, and has developed a safe haven program for youth. The partnership also works with the Enterprise Foundation to sponsor a reading program, which provides books for young children. The program is a six-week program, meant to help children establish a library at home. Parents are required to come with their children to read these books

from 6-9 p.m. The program occurs 3 to 4 times a year. Because of the success of the program, it was expanded to include a Saturday program, called Cherry Blossom Early Reading. The Saturday program brings in artists and illustrators to talk to children and to teach them to draw.

The partnership also offers community service hours for teenagers by having them participate in HSC activities, read to the children, and provide food for the needy. Community service is part of their school requirement. For the senior citizens, the partnership offers a bingo night that involves an escort service for them, bringing them to and from the center if they are worried about walking about at night.

THE SITE VISIT

The research team met with representatives of eight of the partner agencies during August of 2003 and participated in festivities for National Night Out. We had the opportunity to meet clients and talk with residents about their knowledge and perceptions of the partnership. During the site visit we asked key leaders not only to discuss past successes with the HSC initiative, but also to discuss the current status of partnership, additional plans for sustainability, as well as expectations regarding future successful partnership practices.

The Partner Members

The partnership is currently comprised of thirteen key partners that include a lead community agency, two Community Development Corporations, the Enterprise Foundation, one tenant association, a nonprofit health center, the State's Attorney's Office, and representatives from Baltimore County Department of Health, the police department, the Division of Probation and Parole, Department of Housing and Community Development, Juvenile Justice Services, and Department of Labor, Licensing, and Regulation. In addition, the Governor's Office of Crime Control and Prevention serves as the key funding partner, and there are additional agencies that

provide support and services, including the Mayor's Office. The Cherry Hill Ministerial Alliance also informally partners with the initiative. Table B-7 lists the partner members by institutional sector.

Table B-7. Key Partnership Members, Cherry Hill HotSpots Initiative		
Partner	**Level**	**Institutional Sector**
Cherry Hill 2000	1	Nonprofit
Family Health Centers of Baltimore, Inc.	1	Nonprofit
Ministerial Alliance	1	Loose alliance of neighborhood churches
Baltimore County Department of Health/Bureau of Substance Abuse	2	Government, Local
Baltimore Police Department, Southern District	2	Government, Local
Department of Housing and Community Development, City of Baltimore	2	Government, Local
Maryland Division of Parole and Probation (DPP)	3	Government, State
Department of Juvenile Services	3	Government, State
Department of Labor, Licensing and Regulation	3	Government, State
State's Attorney's Office	3	Government, State
Cherry Dale Tenants Association	1	Residents, Community-based
Cherry Hill Development Corporation	1	Nonprofit, CDC
New Creations Community Development Corporation	1	Nonprofit, CDC
The Enterprise Foundation	3	Private foundation
Governor's Office of Crime Control and Prevention	3	Government, State

Staff indicated that there were a few notable absences from the partnership—particularly the local public housing residents' council and housing authority. In addition, staff mentioned the that the current absence of the police department will make it difficult for the HSC partnership to continue in their past form.

Partner Agency Leadership

The leadership of the community-based agencies has remained stable throughout the duration of the HSC initiative. However, there has been a large amount in turnover in key leaders from the various government agencies, most of which stemmed from Maryland electing a new

governor and hiring a new Police Commissioner in early 2003. At the time of our site visit there were no police officers assigned to the partnership and there has been some indication that the new police leadership will not dedicate a police officer to Cherry Hill. Partner members believe this development will have a significant negative impact on crime problems.

Partner Agency Resources

The majority of agencies dedicated their time freely to the partnership. Most agencies were very committed to the partnership and key leaders rarely missed a monthly meeting. A number of staff noted that the diversity of stakeholders enabled the partnership to problem solve issues in a very creative manner, leading to a number of community projects that became very popular with residents. The community agencies brought a unique set of skills to the table in that they were very successful in their outreach to the community. Community residents were familiar with Cherry Hill 2000 and the community development corporations and were eager to be part of a committed partnership.

Partner Agency Orientation

Staff interviewed believed that all partner members were very open to the partnership from the outset, and some stated the community organizations were already well-known and active in the community, thus creating a very open and trusting forum for developing a new, broad partnership initiative. Fighting crime was high on everyone's agenda, (i.e., community was ready) and Cherry Hill 2000 had already been active in mobilizing the community around crime issues. A few partners suggested that the outside state funding facilitated the process of bringing a diverse group of stakeholders together.

Partnership Characteristics

Structural Complexity of the Partnership

Cherry Hill HSC is a *complex* partnership mainly involving one very small community agency, two Community Development Corporations, a faith based alliance, a large number of both state and local government agencies, and a host of other small resident groups. Most of the services provided by the partnership are the result of the partnership itself. Targeted clients also can receive services from a number of government agencies and through the Family Health Center of Baltimore.

Lead Agency Type and Leadership

The lead community agency for the Cherry Hill HSC initiative is Cherry Hill 2000. The state HSC initiative mandated that each HotSpot community have a community agency as the lead agency. Cherry Hill 2000 is a small 501(c)3 nonprofit organization that only has one paid employee—the director. The organization has a 20-member board comprised of volunteers. Their annual operating budget is approximately $50,000 per year.

The director of Cherry Hill 2000 is the partnership leader. Many partner member staff indicated that the director's commitment was central to the success of the partnership. Community residents also recognized the director as a leader in the community who has helped engender trust between residents and government agencies, and in turn, has helped make significant strides in improving the quality of life in Cherry Hill.

The partnership is structured around a very organized leadership process where goals, objectives, and specific meeting agendas are set in advance, timelines are developed, and feedback is provided at all meetings. Roles and responsibilities were established in the planning stages of the partnership. The partnership celebrates all successes, no matter how small.

The weekly meetings rotated chair people to facilitate a decision-making process that is fair. The partnership members with whom we spoke understood that tension was normal, and they mentioned that they worked hard to ensure an equitable partnership process, and convert any tension or conflict into a positive outcome.

The partnership emphasizes outreach to the community and continually discusses how to expand the partnership member base and energize residents to participate in various ways. Basically, all partner leaders agreed that the community must play a key role in the partnership.

Vertical and Horizontal Integration

Community residents and community organizations are integrated into the partnership. Cherry Hill 2000 encourages the community to participate at all levels of the partnership. During the planning stages, the partnership actively recruited churches and community organizations, and held focus groups to determine community priorities. The partnership worked hard to integrate the police and the probation and parole officers into community life at the beginning of the initiative. Staff interviewed stated that before HSC, the community greatly mistrusted the police. But after HSC, the police became involved in the community and started a young men's club. In these forums, outside speakers would present on various topics of interest such as entrepreneurship and career opportunities. The majority of key partners interviewed believed that community has come to trust the police and probation and parole, and that the trusting relationships have helped keep crime levels down in recent years.

Some staff indicated that collaboration was successful because many partner agencies had strong relationships with other partners before HSC began. For instance, one of the tenant councils had been very active it the community since 1989 (eight years before HSC), and had already built relationships with the police department and other government agencies.

All partners indicated that communication and collaboration across partner members were very strong. They indicated that the weekly meetings of the HEAT team had an extremely collaborative atmosphere and facilitated positive relationships with the community. Staff also indicated that partner members communicated regularly outside of the partnership and that general camaraderie was high. Informal communication assisted with identifying neighborhood problems before the problems became unmanageable. Some staff interviewed stressed that having a neighborhood facility to use for meetings significantly contributed to a high level of partnership functioning.

Funding and Resources

During the HSC funding period, which ended in 2002, the initiative had ample resources to create a well-functioning partnership that implemented a number of programs and projects that currently remain active in the community. The partnership relied on funding for the rent of the project space, as well as to provide most of the incidental expenses related to community meetings, focus groups and other expenses associated with a variety of the projects that were implemented. Many agencies contributed staff time as an in-kind resource, but funding was also used to secure dedicated positions for community outreach and mobilization.

Many staff indicated that, at the height of funding, the partnership was highly successful. However, as soon as the state funds ceased, the community organizer position was vacated. One partner reiterated that "even in successful partnerships, the loss of funding can mean a loss of valuable positions…the partnership is still doing what they can, but the extra funds are helpful for things like a full time organizer and a community mobilization fund for local events." A few stated that funding was critical for renting a common space and paying for overhead.

During the state funding period for HSC, the Cherry Hill partnership participated in quarterly meetings with other HSC sites in Baltimore. Many of these meetings were organized as

"site visits" to the various partnerships. The meetings were used to share information on useful strategies and site successes in overcoming any obstacles. A few partners stated that the meetings were very helpful, but some felt that because Cherry Hill had been very successful in bringing a variety of stakeholders together, they were "ahead" of the other sites, and ended up providing help as opposed to receiving help.

COMMUNITY CONTEXT

Cherry Hill is small community somewhat geographically isolated from other neighborhoods on the opposite side of Baltimore's well-known Inner Harbor. Some representatives interviewed stated that Cherry Hill's isolation has a positive side, in that residents know each other and are committed to bettering their community. Residents told stories of hundreds of families residing in the neighborhood for generations. Everyone interviewed talked about his/her community with great pride. In addition, the key leaders interviewed felt strongly that, prior to HSC, community residents and the overall community in Cherry Hill had a solid foundation of community organizing around crime prevention issues. Many indicated that the commitment of the lead community organization was a primary reason that the community worked closely to tackle crime and disorder. Staff indicated that, similar to what we found with the Reentry Partnership, Baltimore neighborhoods had many strong experiences with community collaboratives, which set the foundation for success with the HotSpots Initiative.

It is also important to note that the larger political context had a negative impact on the community in that the partnership saw a great deal of turnover due to changing leadership at the state and local government levels. A number of staff interviewed voiced their uncertainty regarding the future of the partnership.

SUSTAINABILITY

As stated earlier, the partnership was not fully active by the end of 2003. Cuts in state funding led to cuts in staffing, as well as the termination of a number of projects developed by HSC. However, the basic foundation of the partnership is somewhat intact, with the exception of police department involvement. The Cherry Hill HSC was one of the few Baltimore HotSpot partnerships that was successful in sustaining itself (morphing into a CSAFE site) after the initial state funding ceased. As stated above, many leaders interviewed believed that the sustainability of the initiative was due to the dedication (and strong grant writing skills) of the Cherry Hill HSC lead coordinator. In addition, Cherry Hill was somewhat successful in leveraging resources (mostly from service providers) to operate a large-scale program on very little funding. Partnership members recognized the strong commitment level throughout the partnership of all of the members and were eager to continue to be part of a winning effort. At times during the partnership, the police officers involved would update the partnership by displaying crime statistics. The partner members were continually motivated as crime remained low for the duration of the partnership. Basically, receiving regular feedback on crime levels provided the impetus for continued hard work.

Because our research interviews took place as Cherry Hill was waiting for the new state contract for CSAFE, the partner members were speculative about the future of the partnership. Some felt that if the police were to re-commit to the partnership, the initiative would continue to achieve success in keeping crime low. Others stated that it would simply take time to refocus and perhaps create new objectives for a new partnership. A few key leaders we interviewed suggested that, in hindsight, more effort should have been made during the HSC partnership to teach individual partners how to generate their own funds. Almost all partner members stated that funding was the largest barrier to sustainability.

PARTNERSHIP SUMMARY

During the height of HSC, the partnership worked together to provide a variety of service activities for everyone in the community. The combination of the partnership safety meetings and the involvement from the community groups was very powerful. Important activities included direct outreach to at-risk youth, a focus on drug treatment instead of punishment, strong community mobilization, and service to and involvement by senior citizens in the community.

Below, we list the key dimensions that were repeatedly mentioned as influencing the success of the Cherry Hill HotSpots Initiative. The variables are outlined below across three main components: (1) partnership context, (2) partner members, and (3) partnership characteristics.

Partnership Context
- Community readiness to tackle the issue at hand
- Established community group prior to the initiative—Cherry Hill 2000, the umbrella organization in Cherry Hill, was created in 1994, three years prior to the HSC initiative
- Baltimore's strong prior experience with problem-solving crime reduction partnerships focused on neighborhoods coupled with strong neighborhood groups

Partner Members
- Strong, stable leadership of community-based partner members
- Strong grant writing capabilities

Partnership Characteristics
- Strong lead agency (strong leader)
- Involvement by all key agencies needed to achieve goals
- Strong leveraging of resources
- Strong vertical and very strong horizontal integration achieved through co-location of project in neighborhood facility

Although the partnership members reported many successes—strong partnership functioning, reductions in crime, neighborhood beautification and increases in homeownership—there were a number of problems that were encountered. The most reported obstacles were reductions in funding and institutional problems such as changes in upper level police command

staff affecting line staff allocation to initiative, changing state-level priorities, and turnover of

probation staff.

Ft. Myers Public Housing Initiative (Florida)

BACKGROUND INFORMATION

Fort Myers, Florida, located in Southwest Florida in Lee County, has a population of 53,000. Ft. Myers has always been considered a distribution hub for cocaine and crack because it is the "go-between" of Ft. Lauderdale, Miami and Orlando. Interstate Highway 75 runs through the city, facilitating the creation and maintenance of drug markets. In the early 1990s, Fort Myers city officials had pinpointed the public housing developments as driving much of the city's crime rate.

The Ft. Myers Housing Authority (FMHA) consists of seven different housing communities, three of them elderly communities. Michigan Court is the largest development with 350 units, and has often been considered the most problematic development in terms of crime. A Resident Attitude survey conducted by the Drug Elimination Task force in May of 1997 found that 89 percent of residents believed that the use and distribution of drugs was a serious problem (Housing Authority, Drug Elimination Grant Application, August 1997).

To stem rising crime, the then Executive Director of the Fort Myers Housing Authority met with the Police Chief to discuss the possibility of developing a crime prevention partnership. FMHA applied for and received its first Public Housing Drug Elimination Grant (roughly $250,000). From then on, the FMHA received this great every year that it was offered. When the drug elimination grant program was terminated by the U.S. Department of Housing and Urban Development (HUD), the partnership met to devise a strategy to keep the public housing partnership together.

The Ft. Myers Police Department had historically been involved in community policing initiatives such as citizens on patrol, citizen police academy, neighborhood watch, and police

auxiliary officers. During the time of the first Drug Elimination grant, the police department had officers assigned to the housing developments, but they only worked in short shifts. The partnership took a new form when an officer was promoted from Major to Sergeant in 1998 and was assigned to the developments. He took officers off shift work and assigned them to work in specific developments, working more when they were needed during times of high crime. Once assigned to a development, the officers began working one-on-one with the managers of the complexes.

A formal contract between the Housing Authority and the Police Department, first drawn up as part of the Drug Elimination grant, supports police services in the housing developments above baseline services and specifies the role for officers to play. The contract has been revised and expanded over time, most recently after the end of the Drug Elimination grant funding. Currently, FMHA pays $8,000 per month for police services. Most of this money goes toward overtime pay, as the officers in the housing developments are always on call.

DESIGNATION OF POLICING INITIATIVE AS "SUCCESSFUL" PARTNERSHIP

Data on the impact of the partnership is limited. There has been no formal evaluation of the public housing initiative or any formal or informal community surveys. However, internal data supplied by the Fort Myers Police Department, shown below (see Figure B-1), depicts a sharp downward trend in raw numbers of reported crime in the housing developments after 1999, (the time when the partnership was fully implemented). Compared to the city of Fort Myers, the downward trend in crime in the housing developments was much steeper. The percentages shown on the graphs represent the year-to-year change in crime (either positive or negative)

City of Ft. Myers, Part I Crimes
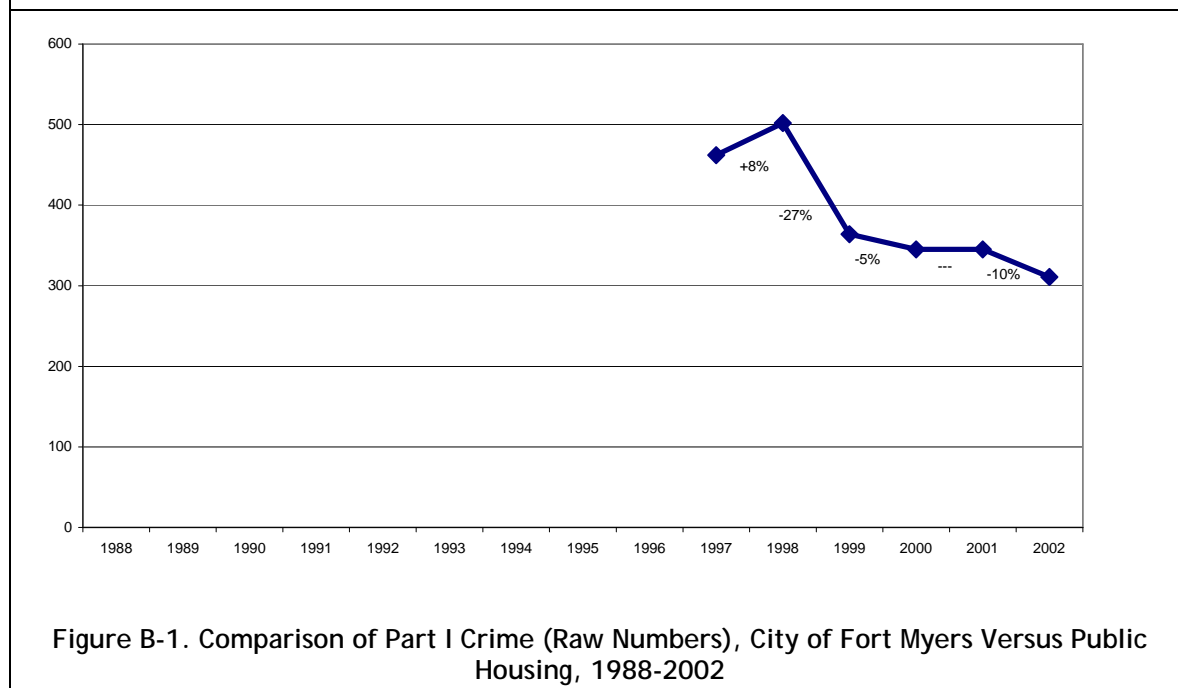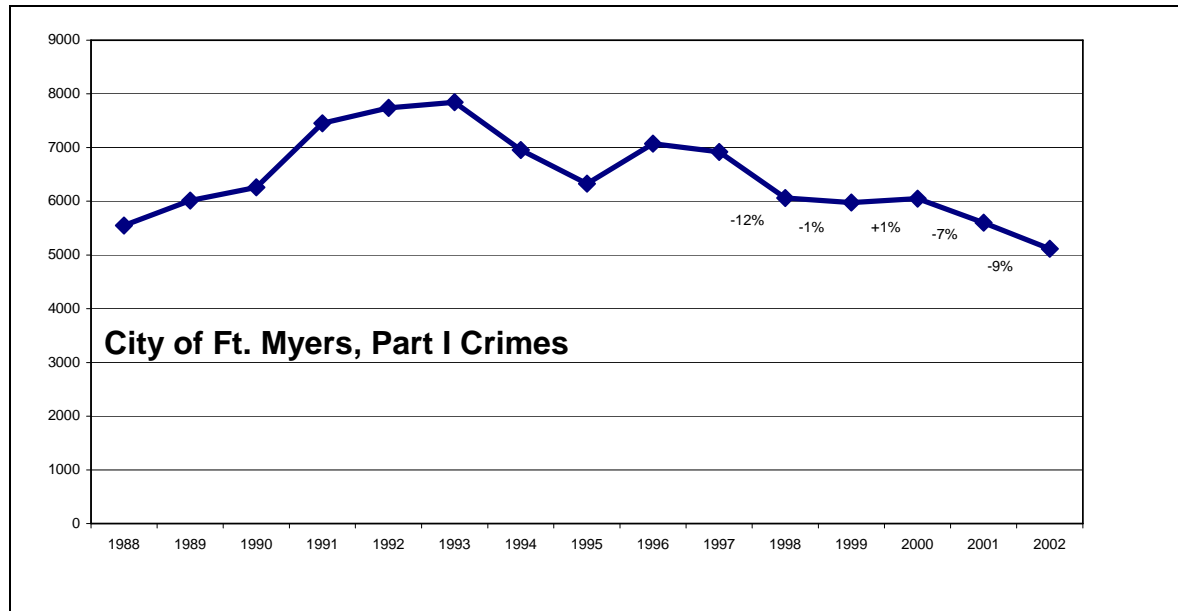
Figure B-1. Comparison of Part I Crime (Raw Numbers), City of Fort Myers Versus Public Housing, 1988-2002

THE PARTNERSHIP IN PRACTICE

When the partnership first began, Ft. Myers Police Department sat down with the housing

authority to develop a strategic plan. First, they assigned officers to work in specific housing

developments. The Institute of Law and Justice helped them institute community policing

practices. The officers began to work with the housing managers directly and began to attend

resident meetings. Officers were able to see that there is a difference in what the officers viewed

as a problem and what the residents believed the problems were. The officers and housing

managers conducted surveys and used the results to prioritize residents' problems and identify

short-term and long-term goals.

To show the community that the officers were working to help the area, they listed even

the smallest of problems and put them on a timeline. Officers used the timeline to account for

their successes and build trust with community residents. "If you go in and all of the problems

are huge, then you'll have meetings and nothing will be accomplished, and people will become

disaffected and stop coming." For example, many residents felt that speeding in the development

was a big problem. The police and housing authority helped arrange for the installation of speed

bumps in the area. This was an immediate step that they could take, and residents expressed

gratitude for these small, incremental improvements.

The officers also began to sit in with the FMHA on the screening process, which is

conducted for anyone who wants to move into the housing developments. As partners, they

performed criminal history background checks and worked with FMHA to recommend residents.

The officer also issued noncompliance letters when residents violated rental agreements. The

officers and housing managers then worked together to help the residents resolve the

noncompliance issues and only evicted residents as a last resort. They meet weekly and have

informal contacts daily. The formal meetings are used to discuss specific problems and issues

with residents.

During the HUD grant funding several programs were developed for children, including

after school programs and day care for parents. After the grant money ceased, these programs

also ceased operating. However, the officers assigned to the areas still patrol the developments during school hours and often pick up truant students and take them to school.

This partnership has helped form a relationship not only between the police and the FMHA, but also between the police and the housing residents. When the partnership started, very few residents came to the community meetings. To engage the residents, officers walked door-to-door, introducing themselves and giving out cards with their pager and work cell phone numbers. They let residents know that they were there to help them and try to get them involved in their own neighborhood. Resident attendance at community meetings increased dramatically because of the work of the officers and housing managers.

The key partners also worked hand-in-hand with the mayor's office, the Housing Board, and the city council to determine the most effective steps to alleviate broader housing problems. Throughout this partnership the executive Director and the chief of police, even when these positions have changed, have met formally every two weeks to discuss issues and determine goals as well as steps to achieve those goals.

THE SITE VISIT

The Urban Institute research team visited Ft. Myers in February of 2004. At this time the partnership was no longer funded by the HUD Drug Elimination grant, but was still formally contracted between the police department and the housing authority.

Partner Members

The Ft. Myers Public Housing Initiative is comprised of three key primary partners, the housing authority, the police department and the resident association, and two secondary partners (see Table B-8).

Table B-8. Key Partnership Members, Ft. Myers Public Housing Initiative		
Ft. Myers Housing Authority	2	Government, Local
Ft. Myers Police Department	2	Government, Local
Public Housing Residents Association	1	Community Organization
Housing Board	2	Government, Local
City of Ft. Myers (Mayor's Office, City Council)	2	Government, Local

Partner Agency Leadership

The executive director, the chief of police, and the police supervisor at the time helped

form the original partnership. However, they were greatly supported by the Mayor, the Housing

Board, and the City Councilwomen. Prior to the partnership, no relationship existed between the

police and housing. However, the transition to partnership developed rather seamlessly. The

then-executive director of the FMHA stated that he went and talked to the chief about what they

had, what they wanted, and what was needed.

The Police Department and the housing authority both described themselves as equal

partners. Both agencies experienced turnover during the partnership in the top leadership

positions (see Table B-9). However, commitment to the partnership has remained high and both

agencies continue to provide leadership and resources.

During the partnership, leadership problems arose in the form of dissatisfaction with the

Housing Board (the Board oversees actions of the housing authority and recommends strategies

for improvement). Residents and the City Council pushed to have the board members replaced

on the grounds that they did not appear to understand the needs of the community and were not

taking steps to help the Housing Authority. The Mayor then asked the board members to step

down. When the board members stepped down, so did the Executive Director of the Housing

Authority. The Mayor recommended a new board to the City Council and they approved. A

nationwide search for a new director ensued. Despite this disruption, those interviewed stated that the partnership between the two major agencies remained firm.

Partner Agency Funding and Resources

The change in the partnership after the termination of the federal grant was mentioned by everyone interviewed. During the grant funding, partners said they were able to "dream." They purchased needed equipment and began programs, such as offering breakfast to school age children before they caught the bus. When the money ran out, the extra programs ceased. There was some pressure for the police department to withdraw from the partnership, but the chief of police saw the partnership as a needed and successful tool to increase public safety. Two City Councilwomen also encouraged the city to keep the partnership.

For the new fiscal year, the housing authority decreased the amount of the contract for above baseline services from $9,800 to $8,000. However, several interviewees stated that even without that money, they believe the partnership would continue because so many people believe in its utility.

Housing Authority	2 Executive Directors	Currently $8,000/month to Police, housing managers
Police	3 Chiefs, 3 Supervisors of Housing, little turnover of officers within housing	Officers, Equipment

Partner Agency Orientation

As stated above, there were no pre-existing relationships before the HUD funding. When the police first started community policing practices in the housing developments, residents were

very reluctant to trust the police. However, over time, trust was built using baby steps that the police officers took to show their commitment to the residents.

Partnership Characteristics

Lead Agency Type

Leadership is shared equally by the police department and the housing authority, although they took slightly different roles during the development stage. The police took a very proactive role in engaging the community members and building a presence in the community, while Housing Authority was described as more reactive. The police often identified strategies needed to address the issues and worked together with partner agencies to implement the strategies.

Communication among the leaders of partner agencies has been a strong point. The Mayor stated that he spoke with the Chief of Police at least once a week and met formally with him every two weeks. Similarly, the executive director of the housing authority meets with the officer in charge of the housing initiative and the other assigned police officers on a weekly basis. There is a consensus among the members of the partnership, and although there are some conflicts, they are able to work past them. The advice of the chief of police is that the housing authority management, the residents, and the police department must have a trusting working relationship.

Structural Complexity

The Ft. Myers initiative has a simple partnership structure in that there are only three key partners: the police department, the housing authority and the residents association. The Housing Board and the City of Ft. Myers are not integral partners in the initiative.

Vertical and Horizontal Integration

The partnership is well integrated. Police and Housing Managers attend all community meetings and address the issues that residents feel are important, such as installing speed bumps to curb speeding. In the past, residential surveys were also conducted to determine the needs of the residents.

Police are available on call and share information regularly with housing managers. Administrative level staff and street level staff communicate with each other regularly within the partnership. As was mentioned above, the Chief of Police and the Mayor meet formally every other week and speak to each other once or twice a week. The Executive Director and the Chief speak to each other often. And the housing police supervisor, and often the Executive Director of FMHA, attend the weekly meetings between the housing managers and police officers.

One important contributing factor to integration was the stability in the policing of the developments. Over the course of the partnership, there was little turnover of the officers who were assigned in the field. Most turnover, when it occurred, was due to retirement or promotion, not simply reassignment to other duties. As a result, several officers have worked in their areas for over six years.

Funding and Resources

The Drug Elimination Grant was the impetus behind the formal partnership. The grant funding provided a host of resources, most of which were lost when the funding ended. However, the foundation for the partnership had been laid, and the partnership remains strong today with the housing managers and residents donating their time to the partnership. In addition, although the FMHA pays the police for above baseline services, it is obvious that the police officers go beyond the terms of the contract in providing services to the residents. Other than

police staffing, few resources are needed. Equipment for the police is funded through the police department.

A successful outgrowth of the partnership was a local curfew developed for the area comprising the housing developments. Community leaders worked with the police department to solicit the city council people for a curfew. Within three months, the curfew was instilled citywide. Many partners interviewed stated that the implementation of the curfew exemplified the positive impact of collaboration.

COMMUNITY CONTEXT

Ft. Myers is a community that appears to be relatively close-knit. Those interviewed stated that there exists a strong feeling of community pride in Ft. Myers and residents believe in adding their voice to community development activities. As was mentioned above, it appears to have been fairly easy for the key administrative leaders to collaborate. In fact, as researchers entering into the community, we noted the ease in which we were able to speak with all key administrators, including the Mayor and Chief of Police. The feeling that emanates from the city is that cooperation is vital to improvement. In fact, when the Mayor took office the first year, he raised taxes 34 percent, but the residents accepted this raise as part of the process of community betterment and well-being.

Another important point to highlight is that crime was at its height in the Fort Myers public housing developments in the mid-1990s. The residents were frustrated with the state of crime and were demanding improvements. A few key leaders stated that the residents, although they may have originally not trusted the police, were anxious for a patrol presence.

SUSTAINABILITY

Although the partnership is no longer providing extensive community services for the residents of the community, the partnership is still strong. The police department and FMHA communicate and work together well. Several of the police department employees stated that even if the Housing Authority ceased the funding for above baseline services, the partnership would continue. The Mayor appears very committed to improving the well-being of residents in public housing and is currently working with city officials to develop proposals to obtain Hope VI funding for public housing redevelopment.

PARTNERSHIP SUMMARY

Below, we list the key dimensions that were repeatedly mentioned as influencing the success of Public Housing Initiative. The variables are outlined below across three main components: (1) partnership context, (2) partner members, and (3) partnership characteristics.

Partnership Context
- Community readiness to tackle the issue at hand
- Federal funding

Partner Members
- Strong, stable leadership of partner members
- Commitment from high-level city executives (mayor, chief of police)
- Dedication of police officers on frontline

Partnership Characteristics
- Involvement by all key agencies needed to achieve goals
- Heavy resident involvement

Appendix C. Measures and Tools
Discussed in Chapter Six

APPENDIX C. MEASURES AND TOOLS DISCUSSED IN CHAPTER SIX (IN ALPHABETICAL ORDER, TOOL NUMBERS CORRESPOND TO TABLE 6-1)

Characteristics of Tobacco Control Coalitions Survey 2002

Monitoring & Evaluation Program

WISCONSIN

UW-Extension
UW Comprehensive Cancer Center
Center for Health Policy and Program Evaluation

Characteristics of Tobacco Control Coalitions Survey – 2002

All questions on this survey refer to characteristics of your coalition during 2002

1. Coalition name _____

2. Coalition coordinator/facilitator's name_____

   _____

3. Name and title of person completing survey, if different from coordinator

   _____

4. When did your current coalition coordinator begin working in their present position? Please give month and year. _____ (month) _____ (year)

5. Which one of the following best describes your coalition coordinator?
   - ☐ Paid as an employee by the local public health dept.
   - ☐ Paid as a consultant or independent contractor to the local public health dept.
   - ☐ Paid as an employee by an agency contracted by the local public health dept.
   - ☐ Other Specify:_____

6. Did you have turnover in the coordinator's position during 2002?   **YES   NO**

7. Did your coalition employ more than one coordinator at the same time during 2002?   **YES   NO**

   If **YES**, how many?____

8. What percent time did the coordinator(s) work for the coalition?_____% _____%

   If you have more than one coordinator, please indicate % each of them worked for the coalition in 2002.

1

9. During the past calendar year (2002), did your coalition receive tobacco control funding in addition to Tobacco Control Board and DPH-CDC funding?   **YES   NO**

   If **YES**, please check all other sources of tobacco control funding received:
   a. ❑ Thomas T. Melvin Program
   b. ❑ WI Cancer Control Grant
   c. ❑ American Cancer Society
   d. ❑ Synar
   e. ❑ Local (hospitals, business, government, foundations)
   f. ❑ Other   Specify _____

10. Please check **YES** or **NO** to the following for your coalition during 2002:

	YES	NO
a. Did you have a formal, written work plan?.....................	❑	❑
b. Did you maintain a list of tobacco control supporters in your community?..	❑	❑
c. Did your coalition have a newsletter or immediate plans to create one? (electronic or print)	❑	❑
d. Did your coalition have formal written guidelines for decision-making and coalition operation	❑	❑
e. Did your coalition have a governing Board or Steering Committee?...	❑	❑
f. Did your coalition have a written mission/vision statement?............	❑	❑
g. Did your coalition use electronic mail (email) to communicate with members and/or supporters?..	❑	❑
h. Did your coalition have a FACT group?	❑	❑
i. Did your coalition develop and use a logic model?........................	❑	❑

   If you did have a logic model in 2002, please attach a copy to this document

11. During 2002, how many people belonged to your coalition in the following categories? (Please count each person only once)
    Active adult members _____
    Supporters _____
    Youth members _____
    Other (specify category and number) _____

12. Of the active members listed in question #11, please list the percent of those members that are primarily:
    a. Professionals representing their agency/employer _____%
    b. Community leaders (business, elected officials) _____%
    c. Interested individuals/volunteers _____%

2

13. At the end of 2002, what % of coalition members belonged to the coalition for one year or longer?
    - ❑ Less than 25%
    - ❑ 25-50%
    - ❑ 51-75%
    - ❑ More than 75%

14. What was the average number of members regularly attending coalition meetings during the past calendar year? (2002)
    - ❑ 1 – 5
    - ❑ 6 - 10
    - ❑ 11 – 20
    - ❑ 21 – 30
    - ❑ 31+

15. During 2002, how often did your full coalition meet? (not subcommittees)
    - ❑ Less than monthly
    - ❑ Monthly
    - ❑ More than monthly
    - ❑ Other Please specify:_____

16. When did your full coalition most often meet? (not subcommittees)
    - ❑ Mornings
    - ❑ Lunchtime
    - ❑ Afternoon
    - ❑ Evenings
    - ❑ Other Please specify:_____

17. Which subcommittees has your coalition formed to date (end of 2002)?
    - ❑ Clean indoor air
    - ❑ Youth
    - ❑ Policy
    - ❑ Health care/cessation
    - ❑ Steering
    - ❑ Media
    - ❑ Planning
    - ❑ None
    - ❑ Other: Please list all other subcommittees you have formed

    _____
    _____
    _____

18. Which of the following assessments did your coalition complete in your community during the past calendar year (2002)?
- ❏ Worksite survey
- ❏ Restaurant survey
- ❏ Municipal/government buildings survey
- ❏ Youth tobacco survey
- ❏ Adult tobacco use survey
- ❏ Communities of Excellence Indicators
- ❏ Compliance checks
- ❏ Other   Specify:

_____

_____

19. In 2002, to what extent was your coalition responsible for the adoption of public policies that otherwise would not have occurred?
- ❏ Never
- ❏ Rarely
- ❏ Sometimes
- ❏ Frequently
- ❏ Always

Specify policies:

_____

20. What types of organizations were represented in your coalition in 2002? (check all that apply)
- ❏ School administration
- ❏ School staff (teachers, counselors, nurses, etc.)
- ❏ Law enforcement
- ❏ Public health departments
- ❏ Social services
- ❏ Media
- ❏ Youth leadership
- ❏ Voluntary health agencies (ACS, ALA, etc.)
- ❏ Medical community (staff from hospitals, clinics etc.)
- ❏ Fire department.
- ❏ Communities of color
- ❏ Business and service clubs
- ❏ Parents/families
- ❏ Faith based community
- ❏ Disabled and mental health community
- ❏ Youth serving organizations (4-H, YMCA, YWCA)
- ❏ Drug and alcohol prevention
- ❏ Interested citizens
- ❏ Elected officials and gov't administrators
- ❏ College/university representatives
- ❏ Other   Specify _____

4

21. For each of the following types of resources, indicate to what extent your coalition had what it needed to work effectively and to achieve its goals during 2002? If you think the coalition did not need a particular resource to work effectively and achieve its goals, please mark the "Not Applicable" box. Select only one response for each item.

	Had all or most of what it needs	Had some of what it needs	Had almost none or none of what it needs	Not Applicable
a. Money	❑	❑	❑	❑
b. Skills and expertise (e.g., leadership, public policy, administration, evaluation, law, cultural competency, training, community organizing)	❑	❑	❑	❑
c. Space	❑	❑	❑	❑
d. Equipment and goods (e.g., computers, food, office supplies)	❑	❑	❑	❑
e. Data and information (e.g., statistical data, information about community perceptions, values, resources and politics)	❑	❑	❑	❑
f. Connections to target populations	❑	❑	❑	❑
g. Connections to political decision-makers, government agencies or other organizations or groups	❑	❑	❑	❑
h. Endorsements that give the coalition legitimacy and credibility	❑	❑	❑	❑
i. Influence and the ability to bring people together for meetings or other activities	❑	❑	❑	❑

22. To what extent did your coalition encounter the following internal challenges as you worked toward achieving your goals in 2002?

	A lot	Some	A little	Not at all	Don't know
a. Problems <u>recruiting</u> essential members	❑	❑	❑	❑	❑
b. Difficulties <u>retaining</u> essential members	❑	❑	❑	❑	❑
c. Difficulties with relationships among members	❑	❑	❑	❑	❑
d. Difficulties motivating members to participate	❑	❑	❑	❑	❑
e. Inadequate or changing leadership	❑	❑	❑	❑	❑
f. Inadequate or changing administrative/management staff	❑	❑	❑	❑	❑
g. Problems with the decision making process	❑	❑	❑	❑	❑
h. Problems moving the coalition from planning to action	❑	❑	❑	❑	❑
i. Difficulties obtaining financial resources	❑	❑	❑	❑	❑
j. Difficulties obtaining non-financial resources	❑	❑	❑	❑	❑
k. Inequitable distribution of funds	❑	❑	❑	❑	❑

THANK YOU FOR COMPLETING THIS SURVEY

Please return in the enclosed postage paid envelope **by March 21st,** fax to (608) 262-2425, or return electronic version as a saved email attachment to Barbara Hill at <u>bhill@uwccc.wisc.edu</u>. Call Barbara at (608) 263-7629 with questions.

BARBARA HILL
University of Wisconsin – Madison
Monitoring and Evaluation Program
502 North Walnut Street
Madison, WI 53726-2335

Civic Index

THE CIVIC INDEX

A NEW APPROACH FOR IMPROVING COMMUNITY LIFE

- Citizen Participation
- Community Leadership
- Government Performance
- Volunteerism and Philanthropy
- Intergroup Relations
- Civic Education
- Community Information Sharing
- Capacity for Cooperation and Consensus Building
- Community Vision and Pride
- Intercommunity Cooperation

NATIONAL CIVIC LEAGUE

NATIONAL CIVIC LEAGUE

iRANT STREET, SUITE 250, DENVER, COLORADO 80203; (303) 832-5615

THE NATIONAL CIVIC LEAGUE

The lifeblood of America's communities is a civic ethic articulating a vision of the common good, balancing and integrating the interests of all citizens. The National Civic League is dedicated to assisting citizens and public and private officials in developing a community culture that is aware of and responsive to its divergent needs. In the spirit of its founding as the National Municipal League in 1894, the League opposes any betrayal of the public trust, whether through corrupt, inefficient or slothful governance. The League promotes constant attention to the working of representative government, the mediation of conflicts, and the building of partnerships between divergent groups as the surest way to make our cities, counties and states stronger socially, and stronger economically.

CIVIC INFRASTRUCTURE

Central to the League's approach to the issue of civic excellence has been the development of the concept of "civic infrastructure". Analogous to physical infrastructure of a community — roads, bridges, buildings — civic infrastructure is equally important to the future of the community and equally in need of periodic maintenance and revision. Why do some cities and metro areas succeed in solving their problems while others don't? Are some cities just luckier? Was success or stagnancy determined by some die cast long ago, or are there steps cities can take to orient their development and redirect their futures?

THE CIVIC INDEX

At the National Civic League we believe cities and regions can exercise considerable control over their futures, but they need the appropriate tools. The League developed the Civic Index as a means to evaluate a community's civic infrastructure. The ten components of the Index serve as a description of the types of skills and processes that must be present for a community to effectively deal with its specific and unique concerns. Whether the specific issue is a quality school system, an air pollution problem, or lack of adequate low-income housing, the need for effective problem-solving skills is the same. A community must have strong leaders, from all sectors, who are able to work together with informed, involved citizens to reach consensus on those strategic issues that face the community and the region around it. Communities must have the capacity to solve the problems they face.

The Civic Index assists communities in developing their problem-solving capacity by providing a method and a process for first identifying and recognizing their strengths and weaknesses and then structuring collaborative approaches to solving shared problems.

Citizen Participation

Citizen participation in local affairs is a critical component in creating a strong, vibrant community. A community without strong citizen participation is a misnomer; it is not so much a community as a shell that people inhabit. Without active participation it is difficult for a community to agree on what problems it confronts and to move forward collectively to solve them.

Citizen participation includes voting in local elections, serving on government boards and commissions, attending public hearings, and being active in neighborhood and civic organizations. Citizen participation includes asking questions and involving oneself in working towards solutions.

Stuart Langton notes that citizen participation is at once the most and least controversial issue of democratic theory today. It is uncontroversial in that "everyone" agrees that citizen participation is requisite to the achievement of social, economic, and political equality in our communities and our nation. The controversy arises over concerns about when, where, and how citizens should participate. A community may in fact be characterized by an abundance of citizen participation, but must problems degenerate to crises before citizens mobilize? Langton offers the idea of a "learning and involved community" which provides for civic stability without inflicting injustice, strong advocacy without polarization, and consensus without exclusion, as a model of citizen participation that seeks to improve the quality of civic life. (Stuart Langton, "Strengthening Citizen Participation," NATIONAL CIVIC REVIEW, Vol. 76, No. 3, May-June 1987, pp. 225-226).

Citizen Participation Checklist

1. Do registered voters turn out in acceptable numbers for local elections?
2. Are there energetic and effective neighborhood and civic groups?
3. Do citizens perceive that their participation in the community has an effect on outcome?
4. Does the range of candidates for public office reflect the diversity of the community?
5. Is the local political process perceived to be open to all citizens?
6. Have citizen groups been successful in devising projects that meet expressed community needs?
7. Does the community have regular, well publicized voter registration drives?

Citizen Participation — Bibliographic Resources

Barber, Benjamin, Strong Democracy: Participatory Politics for a New Age, University California Press, Berkeley, California, 1984. Barber provides a provocative examination of the nature of contemporary democracy, and the interrelationship of liberal theories of representation and the demise of participation and citizenship.

PROGRAMS AND SERVICES OF THE NATIONAL CIVIC LEAGUE

The **40-year old All-America City Award** is a major part of the National Civic League's effort to encourage and recognize civic excellence. The stories of All-America Cities are the stories of citizens, government and business joining together to make their communities better places to live. The All-America City Award serves as a constant reminder that people in a community can work together to identify and solve their common problems.

The **National Conference on Government**, held annually since 1894, is attended by leaders from the public, private, and nonprofit sectors to discuss and learn about current innovations in local and state governance.

CIVITEX — Civic Information and Techniques Exchange — is the League's computerized information and referral service. CIVITEX contains hundreds of detailed profiles describing successful community-building projects and problem-solving efforts in neighborhoods, towns, and cities throughout the country.

The **National Civic League PRESS** has, for 78 years, been publishing the NATIONAL CIVIC REVIEW, a bi-monthly local government policy journal focussing on innovative methods of confronting local and regional challenges. In addition to the NATIONAL CIVIC REVIEW, the Press offers a variety of unique pamphlets, books, and monographs of interest to citizens, civic leaders, and government officials.

Governmental Reform has, for the past 95 years, been a major focus of the League's activities. The League continues to address issues of integrity and effectiveness in government through structural reform. This spring, the League will publish the seventh edition of *Model City Charter*, and this summer will see the release of the second edition of *Model County Charter*. The League keeps members abreast of its reform-oriented activities through its *Civic Action* newsletter.

The **NCL Associates** program is a new League activity designed to match highly skilled and knowledgeable experts with communities and organizations interested in using the Civic Index to evaluate and improve community problem-solving capacity.

For more information on the programs and activity areas of the League, to obtain a catalog of publications, or to become a member, contact: National Civic League, 1601 Grant Street, Suite 250, Denver, Colorado 80203; (303) 832-5615.

Bellah, Robert N. et al., *Habits of the Heart: Individualism and Commitment in American Life.* Berkeley, University of California Press, 1985. Bellah's central theme is the intersection of individualism and commitment in contemporary American life.

Know Your Community, Education Fund, League of Women Voters of the United States, 1730 M Street, N.W., Washington, DC 20036. A guide to help citizens and civic organizations take a good look at the structure and function of their communities, particularly their governments.

Community Leadership

The public, private and nonprofit sectors must all develop leaders who can cooperate with each other in enhancing the long-term future of a community. Each sector needs to develop and focus the skills of a sufficient number of leaders who can communicate and work together in serving the community. Leadership must be results-oriented, willing to take risks, and willing to be self-critical. Leadership must be able to evoke response, elicit support among leaders and followers.

In any discussion of community leadership the question arises, what is good leadership? In the literature there is little agreement about the exact traits, skills and behaviors that constitute good leadership. Some, like Burt Nanus, suggest that we are a society that is "overmanaged and underled" by its public leaders, who sacrifice "foresight and innovation in addressing the future" to administrative detail (Leonard Sayles, *Leadership: What Effective Managers Really Do . . . And How They Do It*, McGraw-Hill, 1979).

There is abundant agreement, however, that the nature of leadership is in flux, and necessarily so. "Leadership . . . increasingly resides in the many rather than the few; in joint rather than individual endeavors; and in the empowerment rather than control of others . . . Improvement (in leadership) will occur as positions are attained by more persons who have a strong sense of self, a large philosophical value system and the ability to empower others to learn and contribute individually and together as co-leaders" (Paul Lorentzen, "Forum: Leadership: Changing Contexts, Flexible Concepts," *The Bureaucrat,* Fall 1986, p. 3).

Finally, community leadership must look to the future in both its daily work and its role in the preparation of tomorrow's leaders. The demographic changes in communities must be reflected in their leadership. To do this, the leaders of today must recruit, develop and empower the leaders of tomorrow. For, "The truth is that major capacities and competencies of leadership can be learned. Whatever the natural endowments we bring to the role of leadership,

they can be enhanced; nurture is far more important than nature in determining who becomes a successful leader" (Warren Bennis and Burt Nanus, *Leaders: The Strategies for Taking Charge*, New York, Harper and Row, 1985).

Community Leadership Checklist

1. Do leaders represent and speak for the diverse interests and needs of the community?
2. Are there forums where citizens and leaders can share information and concerns?
3. Are there community leadership programs that help provide leaders the tools they need to be effective?
4. Are community leaders capable of conveying their vision for the community's future?
5. Are community leaders accountable?
6. Are community leaders able to build consensus around major issues, priorities, and social values?
7. Do leaders from the public, private and nonprofit sectors communicate and cooperate?
8. Are community leaders results-oriented?

Community Leadership – Bibliographic Resources

Burns, James MacGregor, *Leadership*, Harper and Row, New York, 1978. In what has been called the seminal work in the field, MacGregor develops the key concepts of transactional leadership, and relationship-driven (between leader and followers) leadership.

Gilligan, Carol, *In A Different Voice*, Harvard University Press, Cambridge, Mass., 1982. A study of sex differences in moral development, articulating a re-interpretation of the ethic of caretaking.

Gardner, John W., "Leadership Papers, 1-11". Gardner covers the gamut: the tasks of leadership, leader-constituent interaction, leadership and power, the moral aspect of leadership and leadership development. Available for $1/copy; or $12 for the series from the Leadership Studies Program, INDEPENDENT SECTOR, 1828 L Street. N.W., Washington, DC 20036.

Government Performance

Government performance encompasses the answers to the following questions: 1) How responsive is a government to the needs and desires of the community it serves? and 2) How valuable to the community are a government's services? The first question encompasses government effectiveness and the second, government efficiency. Issues of community values and priorities are inherent in both questions. Good value not only means providing the right quantity of high quality service at a reasonable cost. It also means allocating resources and delivering services equitably with respect to

the needs, desires, and value systems of all segments of the community. (Paul Epstein and Suzanne Fass, "Government Performance," NATIONAL CIVIC REVIEW, March/April 1987, p. 137)

Whatever a government's formally delineated responsibilities and whatever its size, it must continually evaluate its effectiveness and efficiency by asking the above questions. New tools such as performance measurement, innovative public-private partnerships, and performance budgeting and auditing, must be proven to be effective and efficient for any given application. For instance, a performance-measurement system effective for a municipality of 60,000 residents might be highly inefficient and ineffective for a town of 600 residents.

The role of innovation in government performance cannot be understated, for it is a government's ability to encourage and integrate innovation that will allow it to take advantage of emerging technologies, strategies, and opportunities. Equally important is a government's ability to provide incentives for performance. The artful blend of these components can assist government in its capacity to solve problems and arrive at creative solutions.

While government cannot solve all community problems, it must be a positive force in addressing community needs and providing services effectively and efficiently. When government works well, it is responsive, professional, accountable, equitable, entrepreneurial, effective, efficient, and free of corruption.

Government Performance Checklist

1. Is local government professional and accountable?
2. Does local government deliver services systematically and equitably?
3. Does the government conduct independent surveys of service-delivery quality?
4. Does local government regularly consider alternative methods of service delivery? Is local government entrepreneurial?
5. Do citizens feel that access to public services is influenced by favoritism or by financial contributions?
6. Is there a high level of trust for public processes in the community?
7. Does government welcome citizen involvement in public policy making?
8. Does government provide information to citizens that facilitates meaningful citizen participation?

Government Performance — Bibliographic Resources

City of Sunnyvale, Office of the City Manager, "Checklist for Well-Managed Cities," Sunnyvale, CA 94086-3707; (408) 730-7480.

Blair, Louis H., et. al., *How Effective Are Your Community Services?* (The Urban Institute, 1977) A thorough procedures manual for the local government practitioner. It provides the reader with the principal measures and measurement procedures for evaluating eight key government services. This text also discusses the uses of and methodology for citizen and business community surveys.

Epstein, Paul D., *Using Performance Measurement In Local Government: A Guide to Improving Decisions, Performance, and Accountability* (National Civic League Press, 1988) This text is a comprehensive tutorial on how to measure efficiency and effectiveness in local government. Epstein utilizes a collection of case studies to illustrate the value of using performance measurement to guide decision making, improve services and facilitate communication with the public. He also provides tips on implementing a performance-measurement program and developing work standards.

Ostrowski, John W., et. al., "Government Capacity Building: Structured Group Process Approach," *Administration and Society* 16:1 (1984) 3-26. This article targets capacity building in the area of policy management. Ostrowski illustrates the utility of structured group processes to city council policy making.

Volunteerism and Philanthropy

"We are caught in an inescapable network of mutuality, tied in a single garment of destiny. Whatever affects one directly affects all indirectly" (Martin Luther King, letter from Birmingham City Jail, 1963). Caring about, and sharing resources to help one another and the community as a whole is essential to community life. Increased social needs combined with limits in government resources call for a greater contribution of time, money and services, from individuals as well as community institutions.

If communities are to meet the dual challenges of increasing needs and dwindling resources, they will need comprehensive strategies to increase and maximize their philanthropic and volunteer capacities. An important prerequisite to the development of strategies is improved lines of communication among all community sectors: private, public and nonprofit. The leadership of the three sectors must work together in this effort.

A community's long and short term volunteerism and philanthropy strategies will include many things: target goals of per capita volunteer hours and average dollar contribution per capita, number of service projects completed, level of private sector support, and meaningful forums in which to express appreciation of volunteers. These are all necessary and vital and will be achievable only if a final ingredient is added to the community's culture — the inculcation of an ethic of giving and sharing as a way of life.

Umbrella organizations like Metro Denver GIVES, which promote the ethic of giving itself, can do this. Another route is the incorporation of a curriculum of giving into primary, secondary and higher educational programs. People can and must be empowered with the knowledge that what they do matters, and that they can make a difference.

Intergroup Relations

As communities experience more ethnic, racial, socio-economic and religious diversity, programs are needed to increase communication and appreciation among groups and within the community as a whole. Communities must ensure that all groups have the skills and opportunities to become actively involved in community affairs.

All communities contain coherent ethnic, racial, or religious "solidarity" groups (as distinct from professional and business associations, ad hoc policy oriented interest groups, or political parties) that may emerge to express and defend their members' basic social interests. The degree to which different "solidarity" groups co-exist in relative harmony and cooperate in resolving shared problems is an essential measure of civic health, particularly as local populations become more diverse.

The value of community groups as a vehicle for peer modeling, self esteem enhancement and cultural pride cannot be overstated. Equally valuable is the group's capacity for peaceful conflict expression, mediation, and resolution. Without conflict management skills, intergroup tensions rule. With conflict management skills, group members are able to assertively express conflict, take responsibility for that conflict, and manage it.

Conflict management skills are one example of the kinds of tools for interaction that community groups can impart to their members. Other examples are communication skills, group cultural history, business skills, civic involvement skills, and leadership skills. Ideally, group members can learn these skills within the group, and then transfer that learning to bigger arenas.

Ultimately and most importantly, healthy intergroup relations are the result of a tolerance and respect for diversity. When this is the case, the fullest positive growth capacity of community groups is realized.

Intergroup Relations Checklist

1. Are there community-wide programs to facilitate ongoing intergroup communications?
2. How does the community recognize and reward groups and residents working toward better intergroup understanding?
3. Do the public and private school systems work to facilitate cooperative intergroup relations in their student populations?
4. Does the community collaborate in celebrating the diverse cultures and heritages of its members?
5. Are there racial incidents in the community?
6. Is the public school system racially integrated?
7. Does the community work together to facilitate both majority-minority and minority-minority relations?

Volunteerism And Philanthropy Checklist

1. Does the community set long-term philanthropic goals?
2. What percentage of the community's residents has volunteered time in the past year?
3. Are there clearinghouses to match volunteers with organizations?
4. Do community organizations work with local media to publicize their needs and goals?
5. Are there effective networks among community organizations?
6. Are there programs to honor volunteers and community philanthropists?
7. Have businesses promoted and fostered a spirit of volunteerism among their employees?

Volunteerism And Philanthropy — Bibliographic Resources

Harman, John D., Editor, *Volunteerism In The Eighties: Fundamental Issues In Voluntary Action*, University Press of America, Inc., Washington D.C., 1982. A wide ranging collection, touching on the philosophy, theory, and practice of volunteerism, with a postscript that looks to volunteerism's future.

Graham, Margaret M., "GIVE FIVE! Dare to Care," NATIONAL CIVIC REVIEW, 77:3, (May/June 1988) pp. 188-193. Describes the strategy behind INDEPENDENT SECTORS's nationwide program to double giving and increase volunteering by 1991.

INDEPENDENT SECTOR, *Daring Goals For A Caring Society: Starting A Coalition In Your Community*, INDEPENDENT SECTOR, 1828 L Street, N.W., Washington, DC 20036. A how-to booklet for organizing a community-wide program to increase giving and volunteering.

Intergroup Relations — Bibliographic Resources

Checkoway, Barry, "Six Empowerment Strategies for Low-Income Communities, NATIONAL CIVIC REVIEW, 76:5 (September/October 1987) pp. 403-408. Outlines strategies for empowerment of low-income communities.

Hallman, Howard W., *The Organization and Operation of Neighborhood Councils, A Practical Guide*, Praeger Publishers, New York, 1977. A comprehensive theoretical and how-to guide.

Walker, Richard, "Including the Excluded: Four Models," NATIONAL CIVIC REVIEW, 76:5 (September/October 1987) pp. 413-421. Four programs that affirm and work with community diversity are highlighted: Tennessee's Highlander Center, the Boston Rainbow Coalition, Glide Church, and the San Francisco Community Boards Program.

Keys to Consensus, Volume 77, Number 4 (July-August 1988) of the NATIONAL CIVIC REVIEW, concentrates on Intergroup Relations and consensual approaches to community problem solving. Incorporating articles, book reviews, and resource guides, it is a handy conflict-management desk reference. Available from the National Civic League Press.

Civic Education

To develop and preserve a strong civic infrastructure, all citizens need to develop knowledge, values and skills to contribute to community life. A community's schools, churches, government, and businesses can provide civic education to community members. Too often civic education is narrowly defined as a course offered to secondary school students, to learn the mechanisms of government. Civic education can be, and must be, much more than a senior year elective course.

"Civic education in its simplest form is the way in which we learn the lessons or modes of behavior that enable us to be a part of the culture we live in. It is, in this regard, education for both the head and the heart . . . While the study of our public tasks is a necessary part of the civic arts, it is not wholly sufficient as civic education. These lessons must also be part of our emotions. They must dwell in our heart and at times be something we feel strongly but cannot explain completely. They must include an attachment to justice, a willingness to serve beyond self-interest, an openness to all those who share the ranks of citizen, and a perspective that reaches beyond the generation living to those unborn." (Edward O'Neill, "Civic Education: The Problems and Potentials, NATIONAL CIVIC REVIEW, 76:4, July/August 1987, pp. 302-307)

The private, public and nonprofit sectors in a community must each take responsibility for contributing to the community's civic educational culture. How could, for instance, an individual business make a positive contribution to community civic education? One way is to ensure that information about local and national government and politics is accessible to employees, perhaps posted on a bulletin board, or available in a lounge area. Businesses can also sponsor public affairs forums for the discussion of current events and issues, or permit leaves of absence allowing employees to contribute time to community service. The creative opportunities and possibilities follow the intent and commitment.

As each sector takes responsibility for the task of civic education and acts on that responsibility, the fabric of the community's civic life will evolve. Comprehensive civic education can lead to increased citizen participation, which can lead to stronger community leadership, and more. Citizens who are educated about their community, their government, and their history will come to believe that their actions matter and that they can make a difference.

Civic Education Checklist

1. Does the public school system offer a civics curriculum?
2. Does the public school system provide avenues for students to participate in community service?
3. Does the public school system include the community in the planning and implementation of its civic education program?
4. Do local media take an active role in providing civic information to the community?
5. Do the public, private and nonprofit sectors cooperate in promoting civic values in the community?
6. Does local government provide civic education opportunities for the youth of the community?
7. Are there ongoing community civic education programs?

Civic Education — Bibliographic Resources

Boyte, Harry C., *Community Is Possible: Repairing America's Roots*, Harper and Row, New York, 1984. Boyte's stories and case studies, his efforts to "listen in on places where people have begun to have serious discussions about those things that matter the most, an alternative to 'politics as usual,'" are both illuminating and inspirational.

Council for the Advancement of Citizenship, *Citizenship Education News*. Includes news of CAC's activities, as well as in-depth interviews with experts. A good source of what is current in the field of civic education. Council for the Advancement of Citizenship, 1724 Massachusetts Avenue, N.W., Suite 300, Washington, DC 20036.

Atlanta Public Schools, "Atlanta Public Schools Community Service Requirement: Duties to the Community," Course No. 959050 (1984). Planning and Expanded Services, 2960 Forrest Hill Drive, S.W., Atlanta, Georgia, 30315. Describes the Atlanta Public Schools Community Service Program, whereby high school seniors are required to donate 75 service hours to the community.

Capacity for Cooperation and Consensus Building

The growing number and complexity of problems faced by local communities demand that government, business and the nonprofit sector work closely together in setting common goals and working together to achieve them. As disagreements arise in the community, neutral forums and processes are needed where all opinions can be heard and consensus encouraged.

"As anyone who has attempted it knows, convincing diverse interests to work together for the common good can be a thorny task. Hyper-specialization and our profoundly individualistic culture give priority to protecting one's own turf — however small it may be — while tending to neglect 'joint venture' problem solving. Yet, for certain, critical purposes, better collaboration is the only practical answer" (Editor's Comment, NATIONAL CIVIC REVIEW, 77:4 (July/August 1988), pp. 281-284).

In recent years a number of processes have emerged to help communities achieve better capacity for cooperation and consensus, such as mediation, negotiated investment strategy, and the community-based working group. All of these tools must have the flexibility to adapt to a given community's needs. "New approaches to dispute resolution get people together to face their conflicts, help them devise workable problem definitions and discover ways to resolve their differences. Employing them can facilitate problem solving, and at the same time, strengthen communities" (Christine M. Carlson, "Creating the Climate for Conflict Resolution in Communities," NATIONAL CIVIC REVIEW, 77:4 (July/August 1988), pp. 387-398).

Ideally, representatives and leaders from all sectors of the community must work together to identify serious local needs, agree upon goals and action plans, and contribute to successful implementation.

Capacity For Cooperation And Consensus Building Checklist

1. Do leaders from the public, private, and nonprofit sectors meet regularly to discuss common community concerns?
2. Have leaders from all sectors come together for joint community projects?
3. Are there forums to address issues of community conflict?
4. Is the community characterized more often than not by cooperation, or by confrontation?
5. Are there effective public/private partnerships within the community?
6. What organizations have emerged to link the three sectors in problem solving?
7. Do local educational institutions provide forums for bringing representatives from the three sectors together for the purpose of community building?

Community Information Sharing

Whether it is the media, a civic organization, a university, or a school system, communities must have mechanisms for generating and sharing information, and educating the public on major issues. Community information sharing is the composite of all of these mechanisms. Without comprehensive and accessible information sharing a community's ability to work towards cooperation and consensus, make balanced judgments, and head off contentious disputes is impaired.

Futurists say our society has left the industrial age and entered the information age. John Naisbitt names the industrial-to-information-age transformation as one of the major trends shaping the present and the future in *Megatrends: Ten New Directions Transforming Our Lives*. Information users, or receivers, will have increasing power over what information they choose to receive. "In the future, editors won't tell us what to read: We will tell editors what we choose to read" (John Naisbitt, *Megatrends*, Warner Books, Inc, New York, 1982, p. 26).

The link between information access and selection and citizen participation is irrefutable. Citizens must understand the vital issues of their communities so that they can make informed decisions. Just as it is the responsibility of local media and government to make information readily available to citizens, citizens have a similar responsibility to search out a true cross-section of opinions and viewpoints. The responsibility is reciprocal.

Community Information Sharing Checklist

1. Are there institutions in the community that serve as forums for presenting and addressing local issues and concerns?
2. Have the public, private and nonprofit sectors developed mechanisms for sharing pertinent information?
3. Does local government make information about government services and processes available to citizens?
4. Do local media outlets present a balanced point of view?
5. Do the media report on the activities of all sectors of the community?
6. Do citizens consider themselves well-informed on the critical issues of the community and region?

Community Information Sharing — Bibliographic Resources

David Arnold, Christine Becker and Elizabeth Kellar, *Effective Communication: Getting The Message Across*, International City Management Association, 1983.

Neuman, W. Russell, "Knowledge and Opinion in the American Electorate," *Kettering Review*, Winter 1987, 56-64. Neuman looks at the problem of citizen inattention to the political media.

Reich, Robert B., Ed, *The Power Of Public Ideas*, Ballinger Publishing Company, Cambridge, Massachusetts, 1988. In Chapter Nine, "The Media and Public Deliberation," Martin Linsky explores the role of media in public policy making and deliberation.

Capacity For Cooperation And Consensus Building — Bibliographic Resources

Axelrod, Robert, *The Evolution Of Cooperation*, Basic Books, Inc, New York, 1984. Axelrod explores cooperation through a gamesmanship paradigm in asking the question, "Under what conditions will cooperation emerge in a world of egotists without central authority?

Carpenter, Susan and W.J.D. Kennedy, *Managing Public Disputes*, Jossey-Bass, Inc, San Francisco, 1988. Step-by-step guidelines for designing workable conflict-management strategies and successfully carrying them through to resolution.

Yankelovich, Daniel and Sidney Harman, *Starting With The People*, Houghton Mifflin Company, Boston, 1988. The authors make a case for the need to develop an effective national consensus based upon the "political will of the many, rather than the "technical cleverness of the few."

Community Vision and Pride

Communities that deal successfully with the challenges they face have developed a clear picture of where they want to go and also have a clear sense of their past. To establish vision for the future and pride in past accomplishments there must be broadly participatory strategic planning activities. These activities can take many forms. "Goals for" or "Year 2000" projects are examples of processes that have been undertaken across the country.

"A growing number of places are using the term 'vision' to describe the first step of the long-range planning process. Starting with a vision implies seeking agreement about the desired outcome of the plan, visualizing and articulating the kind of community residents want it to be in the future, which might be defined as five or ten or even twenty years hence" (International City Management Association, *Taking Charge: How Communities Are Planning Their Futures*, ICMA Office of Data and Information Services, Washington, D.C., 1988, p. 7).

When citizens are brought into the community vision-creation process they become invested; the community vision that emerges is theirs and they become stakeholders in their community's future. "Vision plans are helping to make planning for the future a civic activity. The technical work necessary to manage and implement the public policy recommendations of the plan may be delegated to professionals, but citizens develop the objectives and strategy" (ICMA, *Taking Charge*, p. 32).

Sharing in problem-solving and planning for the future as a community is an empowering experience that raises the community's collective self-esteem. With good self-esteem comes healthy pride in oneself. Accordingly, as citizens become stakeholders, as they invest in their community's vision, community pride is a natural consequence.

Community Vision And Pride Checklist

1. Has a vision for the community's future been articulated? How? Was it developed by one group or through a community-wide process?
2. Are there mechanisms for long-range community planning?
3. Is a community needs/future vision survey built into the community planning process?
4. Is there a comprehensive planning document for the community that projects a minimum of ten years into the future?
5. How would most community residents rate their quality of life?
6. Would most people say that things are better or worse than they were five years ago?
7. Are most residents in agreement or disagreement with the community's direction?

Community Vision And Pride — Bibliographic Resources

Stevens, Marilyn, "Regeneration: You Can't Keep the Spirit Down," NATIONAL CIVIC REVIEW 77: (September/October 1988) pp. 428-435. Examples of successful regenerative efforts around the nation, the key being the strategic selection of programs that promote a community's vision of its own future.

Walter, Susan and Pat Choate, *Thinking Strategically: A Primer For Public Leaders*, The Council of State Planning Agencies, Washington D.C., 1984. A primer on strategic thinking that focuses on the importance of cultivating vision.

Matteson Associates, *The Twenty-Ten Report*, Bennington, Vermont, 1987. "Keys to the Future. The report of the comprehensive citizen planning process looking ahead to the year 2010.

Intercommunity Cooperation

Cutbacks in federal funds and destructive economic competition among regions are two factors driving neighboring cities, towns and counties to look for new avenues of cooperation. Local communities are no longer competing with each other as much as they are competing with other regions in the national and international marketplace. Individual communities need to cooperate with each other in planning for their future and addressing regional needs.

An additional factor that has spurred intercommunity cooperation is the emergence of issues that are more regional than local in nature: land use, hunger, homelessness, economic development and environmental issues. Such problems clearly cross jurisdictional boundaries, and so must the solutions. For example, to what avail does a town clean up its river basin if the towns upstream continue to allow industrial wastes to be dumped into that river?

The approaches a community can take toward fostering intercommunity or regional cooperation range from informal agreements to formal political

restructuring. "Informal cooperation is the easiest and probably the most widely practiced approach to regionalism. It generally involves collaborative and reciprocal activities, but not fiscal transactions. The hardest approaches to metro regionalism are complex consolidations and restructurings, which create new, area-wide levels of government, reallocate local government powers and functions, and disrupt the political and institutional status quo" (David B. Walker, "Snow White and the 17 Dwarfs: From Metro Cooperation to Governance," NATIONAL CIVIC REVIEW 76:1 (January/February 1987), pp. 14-28).

Communities need a flexible, open approach to determine how intercommunity cooperation can assist in solving local as well as regional problems. The level of cooperation among community leaders, and their ability to translate that cooperation into each community's vision, will be the key.

Intercommunity Cooperation Checklist

1. Are local governments working together to address and plan solutions for shared problems?

2. Does the community have a process whereby it can evaluate when regional cooperation is necessary and appropriate?

3. Does the community enter into regional cooperation agreements as needed?

4. What are the issues that have resulted in intercommunity agreements?

5. What are some recent intercommunity cooperation success stories?

6. How are intercommunity disputes handled?

7. Do citizens have a sense of living in a region as well as in their town/city and state? That is, do they think of themselves as "regional citizens?"

Intercommunity Cooperation – Bibliographic Resources

National Association of Regional Councils, Washington, D.C. "An Outline On The Future Of Regionalism In The United States With Special Attention To Regional Councils And Their Roles." A prescriptive listing of the rationale for regionalism.

Walker, David "Intergovernmental Relations and the Well-Governed City: Cooperation, Confrontation, Clarification." NATIONAL CIVIC REVIEW 75:2 (March/April 1986) pp. 65-87. Walker makes the case that a basic feature of the well-governed city (or county or town) is its capacity to sustain a variety of continuing as well as new intergovernmental relationships.

Strategic Partnerships, Volume 78, Number 1 (January-February 1989) of the NATIONAL CIVIC REVIEW, focuses on recent experimentation with collaborative, intercommunity approaches to solving issues that cross jurisdictional boundaries. Available from National Civic League Press.

Community Coalition Activity Survey

Monitoring & Evaluation Program

WISCONSIN
CONTROL BOARD

UW-Extension
UW Comprehensive Cancer Center
Center for Health Policy and Program Evaluation

Community Coalitions Activity Survey
(January – June, 2003)

Coalition Name: _____

Name & title of person completing survey: _____

This survey is being conducted as part of the Coalition Reporting System (CRS). CRS includes the Characteristics Survey and the Activity Survey. All coalitions completed previous Activity Surveys for the years 2001 and 2002. This survey covers activities for the first half of 2003. Survey results are shared with training and technical assistance staff to better assist them in their work with the coalitions. Activities listed on this survey represent a sample of nearly every activity that could be undertaken by a coalition. The list is intended to be comprehensive. No coalition is expected to do all or even most of these activities.

PLEASE RETURN THIS SURVEY BY AUGUST 4TH. You may complete and return it electronically or by mail If you complete the paper version of the survey, please return it in the enclosed postage paid envelope. . If you prefer to complete the survey electronically, you will find an easy to complete and submit version at http://www.medsch.wisc.edu/mep/ Please contact Barbara Hill, at (608) 263-7629 or bhill@uwccc.wisc.edu with any questions. Thank you for your participation.

SECTIONS A – E: ACTIVITIES

The following is a list of many activities undertaken by tobacco control coalitions. For each activity, place a check in the "Check if Yes" column if your coalition (coordinator, volunteers, members) has worked on this activity in the past six months (January 1, 2003 – June 30, 2003). For this survey, working on an activity means a commitment of time and coalition resources. Include all activities your coalition has worked on, not just those paid for with Wisconsin Tobacco Control Board funding. If your coalition has not worked on the activity, leave the "Check if Yes" column blank.

ACTIVITY	Check if Yes
A. Coalition Development and Management	
1. Recruit representatives of community organizations, agencies and institutions to become members of the coalition.	
2. Recruit individuals in the community who support tobacco control but are not affiliated with an agency or organization.	
3. Orient new coalition members to tobacco-related issues and tobacco control strategies through formal training sessions.	
4. Develop a short-term community tobacco control strategy that includes a logic model or similar method of planning.	
5. Write press releases on coalition activities and contact media.	

1

ACTIVITY	Check if Yes
6. Develop sub-committees or work groups.	
7. Evaluate coalition development activities including coalition operations.	
8. Assess community needs and assets regarding tobacco control.	
9. Develop by-laws or other governing documents.	
10. Publicize coalition activities using free/earned media.	
11. Write and distribute newsletter on coalition activities.	
12. Manage coalition activities, e.g., plan meetings and develop agendas.	
13. Create and maintain a list of community supporters.	
14. Other Coalition Development & Management activities (please list): •	
•	
B. Eliminate Exposure to Secondhand Smoke	
1. Educate coalition members about the effects of secondhand smoke.	
2. Assess county and municipal policies and ordinances on smoking in public buildings.	
3. Educate city and county officials and policymakers about the effects of secondhand smoke in public buildings.	
4. Conduct campaign to implement policies prohibiting smoking in county and municipal buildings.	
5. Plan events to gain media attention to increase public awareness of effects of secondhand smoke in homes.	
6. Educate and mobilize local agencies for community campaign to eliminate exposure to secondhand smoke in homes and vehicles.	
7. Establish goal of eliminating smoking in specific number of homes.	
8. Educate public on the effects of secondhand smoke in restaurants through media advocacy practices such as creating "media events", issuing studies or reports and press releases.	
9. Educate restaurant owners to accommodate non-smokers.	
10. Encourage individual restaurants to voluntarily become smoke-free.	
11. Provide awards and other community recognition to smoke-free restaurants.	
12. Organize a broad community-wide committee in support of a municipal smoke-free restaurant ordinance.	
13. Develop a formal plan to conduct community-wide campaign in support of smoke-free restaurant ordinance.	
14. Discuss approaches to reducing secondhand smoke exposure in restaurants with municipal officials and policymakers.	
15. Work with college youth, administrative staff and faculty on establishing smoke free campuses or campus buildings.	
16. Participate in smoke free committee activity to conduct campaign to pass and implement an ordinance prohibiting smoking in restaurants.	
17. Educate employers about benefits of restrictions on smoking in the workplace.	
18. Conduct general community awareness campaign on secondhand smoke and reducing exposure using non-media strategies such as public speaking, meetings with officials, etc.	

2

ACTIVITY	Check if Yes
19. Conduct survey and tally data of the public's opinion on smoking policies in restaurants and support for clean indoor air policy.	
20. Conduct survey of restaurants and drinking establishments to determine smoking policies.	
21. Write, publish and distribute a smoke-free dining guide of local restaurants.	
22. Conduct survey of workplaces to determine smoking policies.	
23. Collect pledges or petitions for smoke-free homes and vehicles.	
24. Evaluate coalition secondhand smoke activities.	
25. Organize support by agencies and organizations for smoke-free homes.	
26. Other ETS related activities (please list): ●	
●	
●	
C. Reduce Youth Tobacco Use	
1. Educate youth about tobacco use through direct educational services such as guest speakers, exhibits and presentations.	
2. Discuss tobacco education curricula with school administrators and health educators.	
3. Discuss implementation of CDC best practices guidelines with school district administration.	
4. Train teen volunteers as peer educators in tobacco for programs such as TATU.	
5. Conduct educational campaign that promotes media literacy for youth.	
6. Work with a youth group to develop a plan for youth activism, such as FACT.	
7. Work with youth group to assist in implementation of plan for youth activism, such as FACT.	
8. Conduct "Operation Storefront", "Community Ad Watch" or similar activity to increase community awareness of retail advertising.	
9. Organize, conduct or sponsor youth sports activities.	
10. Develop and implement a campaign to pressure retailers to reduce or eliminate indoor and/or outdoor tobacco advertising.	
11. Conduct compliance checks to determine level of sales to minors.	
12. Advocate with City Council to increase license fees to sell tobacco.	
13. Educate retailers and/ or clerks about policies regarding tobacco sales.	
14. Work with retailers and law enforcement to eliminate illegally placed vending machines.	
15. Enlist support of community and businesses to ask retailers to place tobacco behind the counter.	
16. Promote ordinances/policies to fine youth for possession of tobacco.	
17. Participate in tobacco court diversion project for youth.	
18. Conduct alternative smoke-free activities for youth such as recreational programs.	
19. Promote or teach "Life Skills Training" or other refusal-skills program.	

ACTIVITY	Check if Yes
20. Survey youth in middle and/or high schools on tobacco use.	
21. Evaluate coalition youth activities.	
22. Work with law enforcement to fine youth that violate possession laws.	
23. Educate law enforcement on retailer compliance.	
24. Earn media coverage in coalition youth activities through press releases and media contacts.	
25. Fine tobacco retailers who sell tobacco to youth.	
26. Other activities related to youth (please list):	
•	
•	
•	
D. Promote Quitting Among Youth and Adults	
1. Place CTRI Quit Line materials in a variety of venues to reach the target audience.	
2. Promote knowledge of the Quit Line in service agencies and organizations.	
3. Implement public education campaign to increase awareness of Quit Line.	
4. Work with WIC and PNCC service agencies to promote cessation services for pregnant women and new mothers.	
5. Organize/administer N-O-T or other youth cessation programs through local schools.	
6. Organize and/or administer other cessation programs for adults (e.g., cessation courses for WIC clients, support group for smokers).	
7. Contact local employers to encourage tobacco cessation campaigns.	
8. Encourage and assist health care providers in developing cessation programs.	
9. Work with youth groups such as FACT and B-Free to promote cessation.	
10. Sponsor and promote "Quit and Win" contests.	
11. Evaluate coalition cessation activities.	
12. Conduct B-Free Dance(s) for Middle School students.	
13. Develop anti-tobacco billboards and place in community.	
14. Provide cessation services for adults.	
15. Provide cessation services for youth.	
16. Distribute materials promoting cessation in libraries and other public places.	
17. Participate in community health fairs.	
18. Promote Quit-line and other cessation activities through the media.	
19. Other activities in support of cessation services and promoting quitting (please list):	
•	
•	
E. Other Activities	
1. Organize and conduct "Legislative Breakfasts" or other periodic formal meetings with elected state officials.	

4

ACTIVITY	Check if Yes
2. Conduct special outreach campaigns for non-majority populations in the community that are primarily focused ...on education.	
3. Conduct special outreach campaigns for non-majority populations in the community that are primarily focused ... on provision of cessation services.	
4. Conduct special outreach campaigns for non-majority populations in the community that are primarily focused ... on policy change.	
5. Organize and conduct local activities in support of state legislative program such as ...increasing tobacco control funding.	
6. Organize and conduct local activities in support of state legislative program such as ...reducing youth access.	
7. Conduct local programs in support of state mass media counter-marketing campaign.	
9. Other activities not described above (please list):	
•	
•	

Please estimate the percent of time your coalition spent (coordinator, volunteers, members) on the activities you checked for each of the sections above (A – E) and record them in the table below. The total for all five sections should equal 100%, even if you are a part-time coordinator.
(For example, you may have checked four activities in Section A and Section A activities are about 25% of your total coalition activities.)

ACTIVITIES	% TIME SPENT ON ACTIVITIES
A. Coalition Development and Management	
B. Eliminate Exposure to Secondhand Smoke	
C. Reduce Youth Tobacco Use	
D. Promote Quitting Among Youth and Adults	
E. Other Activities	
TOTAL	100%

5

SECTION F - PROGRESS

Please give your opinion regarding your local coalition's progress during the past six months (January – June, 2003) toward each of the following Tobacco Control Board goals.
Check the box that applies using the following:
Not working directly on this goal
Minor progress
Moderate progress
Major progress
Already Completed (use this category ONLY if your coalition completed work on this Board goal prior to the January – June 2003 time period covered by this survey. **Please note this does not refer to completion of your DPH negotiated objectives**).

BOARD GOAL	PROGRESS CODE				
	Not working on goal	Minor Progress	Moderate Progress	Major Progress	Already Completed*
Reduce tobacco use by middle and high school youth by 20%					
Reduce adult tobacco use by 20%					
Reduce tobacco consumption by 20%					
Establish smoke-free restaurant ordinances in 100 or more municipalities					
Establish 100% smoke-free municipal government-owned buildings					
Establish smoke-free environments in 90% of all workplaces					
Encourage 70% of all homes to voluntarily establish smoke-free environments					

* For any goal you mark as Already Completed, briefly describe the details in the ACCOMPLISHMENT section

SECTION G - ACCOMPLISHMENTS AND CHALLENGES

1. Please briefly describe your coalition's KEY ACCOMPLISHMENTS in the past 6 months.

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2. **Please briefly describe your coalition's MAJOR CHALLENGES during the past 6 months.**

THANK YOU FOR COMPLETING THIS SURVEY. Please return in the enclosed postage paid
envelope **by August 4th,** fax to (608) 262-2425, or complete the electronic version.

BARBARA HILL
University of Wisconsin – Madison
Monitoring and Evaluation Program
502 North Walnut Street
Madison, WI 53726-2335

Community Key Leader Survey

Tri-Ethnic Center for Prevention Research
Community Key Leader Survey

The <u>purpose</u> of this brief survey is to quickly gauge your assessment of childhood and youth injury prevention in your community. This information will be important for contextualizing the data collected in the Think First for Kids Evaluation Project. Please circle the responses that apply to the current childhood and youth injury prevention efforts in your community. The questionnaire should take approximately 15-20 minutes to complete. Once you have completed the questionnaire, you can either return it by mail, using the addressed envelope enclosed in this package, or you can fax it to the St. Michael's Hospital Injury Prevention Research Office at (416) 864-5017. If you have any questions about this questionnaire, please do not hesitate to contact Dr. Michael Cusimano at the Injury Prevention Research Office by phone at (416) 864-5312 or by e-mail at injuryprevention@smh.toronto.on.ca.
Your involvement in this project is essential to a better understanding of how injuries can be prevented.

SECTION I: Directions: *For the following questions, circle the response that __best fits your answer.__*

	Not at all True	Slightly True	Moder-ately True	Very True
1. I am aware of programs in my community which address childhood and youth injury prevention	1	2	3	4
2. I spend time collaborating with others concerning the prevention of childhood and youth injuries in my community.	1	2	3	4
3. I don't know why childhood and youth injury prevention is so important for communities to address.	1	2	3	4
4. I am interested in learning more about community-related childhood and youth injury prevention programs.	1	2	3	4
5. I believe injury prevention among children and youth is important.	1	2	2	4
6. I am not certain why some individuals consider childhood and youth injury prevention important.	1	2	3	4
7. I am not interested in becoming actively involved in improving childhood and youth injury prevention programs in my community.	1	2	3	4
8. I don't know what programs in my community address childhood and youth injury prevention.	1	2	3	4
9. I am interested in more information on the time and energy commitments that a community-related childhood and youth injury prevention program would require.	1	2	3	4
10. I know which childhood and youth injury prevention programs serve my community.	1	2	3	4
11. I can distinguish the type of services offered by the childhood and youth injury prevention programs in my community.	1	2	3	4
12. I am concerned about whether my community has sufficient childhood and youth injury prevention programs.	1	2	3	4
13. I am not involved with the childhood and youth injury prevention programs in my community.	1	2	3	4

Tri-Ethnic Center for Prevention Research
Community Key Leader Survey

SECTION II: Directions: *For the following questions, circle the response that* ***best fits your answer.***

	Decreased a Lot	Decreased a Little	Not Changed	Increased a Little	Increased a Lot
14. In the last 12 months, my personal concern for childhood and youth injury prevention in my community has:	1	2	3	4	5
15. In the last 12 months, my personal knowledge of the risk factors that contribute to childhood and youth injury has:	1	2	3	4	5
16. In the last 12 months, my personal knowledge of community programs that address childhood and youth injury prevention has:	1	2	3	4	5
17. In the past 12 months, my personal involvement in organized activities for the prevention childhood and youth injury has:	1	2	3	4	5

Directions: *For the following questions, circle the response that* ***describes your organization (e.g. school)***

	Not at all True	Slightly True	Moderately True	Very True	Don't know enough to judge
18. My organization is involved with childhood and youth injury prevention programs in our community.	1	2	3	4	5
19. Members of my organization are currently learning which childhood and youth injury prevention programs exist in our community	1	2	3	4	5
20. My organization has a written policy concerning the use of childhood and youth injury prevention by employees.	1	2	3	4	5
21. In general, staff in my organization know which childhood and youth injury prevention programs serve our community	1	2	3	4	5
22. As part of its mission, my organization is concerned with the prevention of injury among childhood and youth.	1	2	3	4	5
23. Members of my organization are assigned to collaborate with others concerning the prevention injury in our community.	1	2	3	4	5
24. My organization is interested in information on the time and energy commitments that a community related child and youth injury prevention program would require	1	2	3	4	5

Tri-Ethnic Center for Prevention Research
Community Key Leader Survey

	Not at all True	Slightly True	Moderately True	Very True	Don't know enough to judge
25. In general, staff in my organization can distinguish the types of services offered by different child and youth injury prevention programs in our community.	1	2	3	4	5
26. In general, staff in my organization is aware of community programs that address child and youth injury prevention.	1	2	3	4	5

SECTION III: Directions: *For the following questions, circle the response that **best fits your answer.***

	Decreased a Lot	Decreased a Little	Not Changed	Increased a Little	Increased a Lot	Don't know enough to judge
27. In the past 12 months, our organization's involvement in our community for addressing child and youth injury prevention has:	1	2	3	4	5	6
28. In the last 12 months, our organization's exchange of information with other organizations concerning the prevention of child and youth injury has:	1	2	3	4	5	6
29. In the last 12 months, our organization's referrals to or from other organizations concerning the prevention of child and youth injury has:	1	2	3	4	5	6
30. In the last 12 months, our organization's sharing of resources (e.g. equipment, supplies) with other organizations concerning the prevention of child and youth injury has:	1	2	3	4	5	6
31. In the last 12 months, our organization's co-sponsoring events with other organizations concerning the prevention of child and youth injury has:	1	2	3	4	5	6
32. In the last 12 months, our organization's coordinating services with other organizations concerning the prevention of child and youth injury has:	1	2	3	4	5	6
33. In the last 12 months, or organization's undertaking joint projects with other organizations concerning the prevention of child and youth injury has:	1	2	3	4	5	6
34. In the last 12 months, our organization's participation in media coverage concerning the prevention of child and youth injury has:	1	2	3	4	5	6

Tri-Ethnic Center for Prevention Research
Community Key Leader Survey

SECTION IV: Directions: *For the following questions, circle the response that best fits* **_your personal opinion._**

	Not at all True	Slightly True	Moderately True	Very True
35. I am aware of specific programs offered to employees and their families in the workplace which address child and youth injury prevention.	1	2	3	4
36. I am aware of specific programs offered to employees and their families in the workplace which address child/youth and spouse injury prevention.	1	2	3	4
37. It is very effective to offer child and youth injury prevention resources to employees and their families at their workplace.	1	2	3	4
38. It is very effective to offer child/youth and spouse injury prevention resources to employees and their families at their workplace.	1	2	3	4
39. My organization would be quite willing to make available child and youth injury prevention resources to employees and their families.	1	2	3	4
40. My organization would be quite willing to make available child/youth and spouse injury prevention resources to employees and their families	1	2	3	4

SECTION V: Directions: *For the following questions, circle the response that best fits* **_your personal opinion._**

	Very Significant Concern	Significant Concern	Some Concern	Little Concern	Not a Concern
41. How significant a concern do you feel that childhood and youth injuries are in your community?	1	2	3	4	5
42. In your opinion, how much of a concern do the leaders in your community view childhood and youth injuries in your particular community?	1	2	3	4	5
43. In your opinion, how much of a concern does the general public in your community view childhood and youth injuries in your particular community?	1	2	3	4	5

Tri-Ethnic Center for Prevention Research
Community Key Leader Survey

SECTION VI: Directions: For the following questions, circle the response that best fits **your personal opinion.**

	Very Strongly Supportive	Strongly Supportive	Somewhat Supportive	Not Very Supportive	Not Supportive at all
44. In your opinion, how supportive are the leaders in your community of the childhood and youth injury prevention programs?	1	2	3	4	5
45. In your opinion, how supportive are the general public in your community of the childhood and youth injury prevention programs?	1	2	3	4	5
46. How supportive is the community of childhood and youth injury prevention in terms of volunteerism?	1	2	3	4	5
47. How supportive is the community of childhood and youth injury prevention in terms of providing financial resources?	1	2	3	4	5

48. Which of the following statements best describes your organization?
- ☐ Injuries are a fact of life and they are a normal part of it.
- ☐ There is no problem with injuries in the community.
- ☐ The problem can't be changed because injuries are inevitable.
- ☐ People recognize the injury issue but are not presently planning to address the problem.
- ☐ The injury problem is recognized and people are planning to address the issue.
- ☐ One or two programs are operating.
- ☐ A number of programs are operating.
- ☐ Many programs are in place with effective training programs, implementation strategies, ongoing evaluation with the opportunity for revisions and long-term sustainability.

49. Who provides resources and services to deal with childhood and youth injury prevention? (Please check all the answers which apply. Of the answers you have checked, please underline the group that is most supportive of childhood and youth injury prevention in your community.)

- ☐ Public Health Units
- ☐ Schools
- ☐ Community Centers
- ☐ Police
- ☐ Fire Department
- ☐ Social Services
- ☐ Health Clinics
- ☐ Hospitals

- ☐ Safe Communities Organizations
- ☐ Neighborhood Watch
- ☐ Service Clubs (i.e. Rotary)
- ☐ Religious Groups
- ☐ Youth Groups
- ☐ Other _____

Tri-Ethnic Center for Prevention Research
Community Key Leader Survey

50. Are you aware of any policies or other measures taken within your community to reduce childhood and youth injuries, such as playground safety policies or traffic calming measures? If so, please list the policy or measure and the organization(s) responsible for these?

51. Are there other groups or individuals involved in childhood and youth injury prevention in your community who you feel we should contact? (Please list name, telephone number and e-mail address)

52. Are there any additional comments that you would like to highlight regarding childhood and youth injury prevention needs, programs and resources in your community?

Tri-Ethnic Center for Prevention Research
Community Key Leader Survey

SECTION VII: Directions: Please take a moment to circle the answers to the following questions about yourself.

53. **GENDER** - Which one describes your sex?
1. Male
2. Female

54. **AGE** - Which of the following categories includes your age?

1. Under 35 years old
2. 36 to 45 years old
3. 46 to 60 years old
4. 61+

55. Who provides resources and services to deal with childhood and youth injury prevention? (Please check all answers which apply. Of the answers checked, please underline the group that is **most supportive** of childhood and youth injury prevention in your community.)

☐ Public Health Units
☐ Schools
☐ Community Centers
☐ Police
☐ Fire Department
☐ Social Services
☐ Health Clinics
☐ Hospitals
☐ Safe Communities Organizations
☐ Neighborhood Watch
☐ Service Clubs (i.e. Rotary)
☐ Youth Groups
☐ Other_____

56. **OCCUPATION** - Which of the following categories describes your occupation? (Circle the best one choice)

Education
Health
Executive, Director or Services Manager
Professional
Technical
Sales
Administrative support (e.g., clerical, secretarial)
Service
Industrial
. Homemaker
. Unemployed
. Other (please specify) _____

57. TYPE OF ORGANIZATION - Which of the following categories describes your organization? (Circle the best one choice)

1. Private Business (for profit)
2. Government Agency
3. Non-Profit Private Social Agency
4. Religious Organization
5. School
6. Other (please specify) _____

Tri-Ethnic Center for Prevention Research
Community Key Leader Survey

58. **EDUCATION** - What is the highest level of education that you completed? 1. Eighth grade or less 2. Some high school 3. High school graduate 4. Vocational school beyond high school 5. Some college 6. College graduate education 7. Some graduate education 8. Graduate degree	**59**. **LENGTH OF TIME IN CURRENT POSITION** Which of the following categories describes the length of time you've been in your current position? (Circle the <u>best one choice)</u> 1. Less than 1 year 2. 1-2 years 3. 3-5 years 4. 5-10 years 5.10-20 years 6 More than 20 years

60. List five pieces of information that you would have to know about your community to develop an effective injury prevention strategy.

    1.

    2.

    3.

    4.

    5.

61. How would you use information about local injury issues for preventative initiatives?
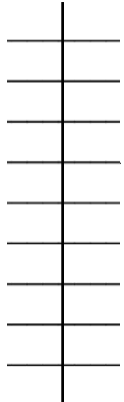
62. What kind of resources do you need related to injury prevention to do your job?

Tri-Ethnic Center for Prevention Research
Community Key Leader Survey

INSTRUCTIONS: For the following six questions,
mark an X along the continuum
(as in the sample diagram at right)
to best describe your community.

Dimension A: Community Efforts
(Programs, Activities, Policies, etc.)
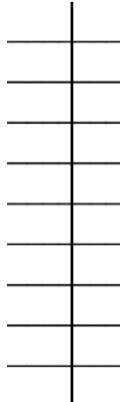
No community awareness for the need safety programs/activities and no programs are available.

The community is aware of the need for safety programs/activities and they are currently being planned.

Programs/activities are available and evaluation plans are often used to test how effective these efforts are by using a wide range of people. New programs and activities are being developed based on evaluation data.

Dimension B: Community Knowledge of the Efforts

The community has no knowledge of the need for efforts addressing youth and child injury prevention.

Some members of the community have basic knowledge about local injury prevention efforts (i.e. purpose).

Community knows that programs are being evaluated, how programs are evaluated and how well the different local efforts are working, including their benefits and limitations.

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Community Key Leader Survey

Dimension C: Leadership
(Includes appointed leaders and influential community members.)

Community leaders do not recognize that reducing injuries is an issue.

Leaders are part of a committee or committees and are meeting regularly to consider alternatives and
make plans toward preventing injuries among children and youth.

Leaders are continually evaluating the programs and reviewing evaluation results of the efforts and are modifying support accordingly.

Dimension D: Community Climate

The prevailing attitude is that injuries to children and youth happen and it is an accepted part of community life.

The attitude in the community is "this is our problem" and they are beginning to reflect modest support for efforts.

All major segments of the community are highly supportive, and community members are actively involved in evaluating and improving safety efforts and demand accountability.

Dimension E: Community Knowledge about the Issue

Injury prevention is not viewed as an issue.

Community members know that child and youth injuries occur locally and general information about injury prevention is available.

Community members have detailed information about injury prevention issues as well as information about the effectiveness of local safety programs.

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Community Key Leader Survey

Dimension F: Resources Related to the Issue

There is no awareness of the need for resources such as people, money, time, or space, to deal with safety issues.

Some members of the community are aware of available resources for this issue and a proposal has been prepared, submitted, and may have been approved.

There is continuous and secure support for programs and activities, evaluation of the programs is routinely expected and completed, and there are substantial resources for trying new efforts in preventing injuries.

Thank you for your time and effort.

Please place survey in return envelope. If you wish to participate in the telephone interview, please see the yellow information sheet and consent form and return one signed copy in the enclosed envelope. No postage is necessary.

All responses are treated with confidentiality.

Community Organizational Assessment Tool

COMMUNITY ORGANIZATIONAL ASSESSMENT TOOL

This assessment tool can help guide a group discussion about how a board of directors, organization, or committee is functioning.

First respond to the question by checking either yes or no in the first column. Then indicate the amount of improvement you feel is needed. There are no right or wrong answers. It is your perception of the organization that you are sharing with others..

Mission, Purpose, and Goals		**Needs Improvement**		
	Yes/No	**None**	**Some**	**Much**
1. Is there...				
a. a clearly written, updated mission statement?	___	___	___	___
b. an annual process for setting/renewing goals?	___	___	___	___
c. a strategic plan?	___	___	___	___
2. Are the goals of the organization...				
a. written, agreed upon, and clear to all?	___	___	___	___
b. written in achievable language?	___	___	___	___
3. Does the board/steering committee agree on what it should accomplish short term (2 years)?	___	___	___	___
4. Does the board/steering committee agree on what it should accomplish in the long term (3-10 years)?	___	___	___	___

Organizational Structure

	Yes/No	**None**	**Some**	**Much**
5. Do committees...				
a . have a clear statement of purpose?	___	___	___	___
b . have clear written goals and objectives?	___	___	___	___
c . function?	___	___	___	___
d . have specific roles and responsibilities that all members of the organization understand?	___	___	___	___
6. Are the committee structure and membership reviewed annually for their relevancy?	___	___	___	___
7. Are the organization's bylaws up-to-date?	___	___	___	___
8. Is there a mechanism requiring short- and long term planning for the board and its committees?	___	___	___	___
9. Do terms of office provide for stable yet renewing leadership?	___	___	___	___

Board Participation

	Yes/No	**None**	**Some**	**Much**
10. Does the organization currently have...				
a. committed and active members?	___	___	___	___
b . enough people to carry out its purposes and, goals?	___	___	___	___
c . diverse community interests and perspectives?	___	___	___	___

		Needs Improvement		
	Yes/No	None	Some	Much
d. board members with the right mix of skills to lead/direct?	____	____	____	____
e . a system for recruiting members for specific needs?	____	____	____	____
f. an orientation session for new members?				
g. a drop-out or non-attendance problem?	____	____	____	____

Membership Participation

11. Does the organization currently have...

	Yes/No	None	Some	Much
a. committed and active members?	____	____	____	____
b. enough people to carry out its purposes and goals?	____	____	____	____
c. sufficient skills and diverse community interests and perspectives?	____	____	____	____
d. a system for recruiting members for specific needs?	____	____	____	____
e. an orientation session for new members?	____	____	____	____
f. a drop-out problem?	____	____	____	____

Group Relationships

12. Do board members...

	Yes/No	None	Some	Much
a. trust each other?	____	____	____	____
b. get along well with each other?	____	____	____	____
c. avoid conflicts of interest?	____	____	____	____
d. act as a team by working together?	____	____	____	____
e. enjoy the organization's meetings and activities?	____	____	____	____

13. Are board members'

	Yes/No	None	Some	Much
a. talents being fully utilized?	____	____	____	____
b. individual contributions recoanized?	____	____	____	____
c. collective efforts acknowledged?	____	____	____	____
d. able to help the board and its committees examine and improve its processes?	____	____	____	____

14. Are general members...

	Yes/No	None	Some	Much
a. talents being fully utilized?	____	____	____	____
b. individual contributions recognized?	____	____	____	____
c. collective efforts acknowledged?	____	____	____	____

Leadership Effectiveness

15 - Are board decisions usually made by...

	Yes/No	
a. the board?	____	
b. the officers?	____	How much improvement does your
c. executive director?	____	decision-making process need?
d. the committees?	____	(Please answer on line below)
e. specific individuals?	____	____ ____ ____
f. the membership?	____	
g. combination of above?	____	

		Needs Improvement		
	Yes/No	**None**	**Some**	**Much**

16. Does the leadership of the board and its committees effectively...

	Yes/No	None	Some	Much
a. encourage different points of view in discussion?	___	___	___	___
b. minimize personality differences?	___	___	___	___
c. deal with power struggles and hidden agendas?	___	___	___	___
d. provide and participate in educational/ leadership development opportunities for you?	___	___	___	___
e. encourage teamwork?	___	___	___	___
f. instill enthusiasm for work to be accomplished?	___	___	___	___
g. identify and celebrate milestones?	___	___	___	___

17. Has the board...

	Yes/No	None	Some	Much
a. clearly identified its roles and responsibilities as a board?	___	___	___	___
b. clearly identified the roles and responsibilities of the executive director, and his/her relationship to the entire board?	___	___	___	___
c. developed a means for minimizing the communication of conflicting board members' expectations to the executive director?	___	___	___	___
d. established a process for obtaining staff input for board decision making?				

18. Do board and committee meetings...

	Yes/No	None	Some	Much
a. have agendas announced in advance?	___	___	___	___
b. follow these agendas?	___	___	___	___
c. proceed efficiently and effectively?	___	___	___	___
d. have timely minutes prepared and distributed?	___	___	___	___

19. Does the leadership ensure that action goes forward in an orderly manner by seeing to it that...

	Yes/No	None	Some	Much
a. decisions are actually made?	___	___	___	___
b. all members understand that decision?	___	___	___	___
c. someone takes responsibility?	___	___	___	___
d. those persons clearly understand their assignment and specific tasks?	___	___	___	___
e. visible results occur?	___	___	___	___
f. results are reported to the group?	___	___	___	___

Fiscal Resources

20. Are the organization's resources...

	Yes/No	None	Some	Much
a. sufficient to achieve its goals?	___	___	___	___
b. being used effectively?	___	___	___	___

	Yes/No	Needs Improvement None	Some	Much

2 1. Is the organization driven primarily by its ... (choose one)

	Yes/No	None	Some	Much
a. budget?	___	___	___	___
b. goal s/strategic plan?	___	___	___	___
c. environment (outside) factors?	___	___	___	___

Community Networking and Coalition Building

22. Does the organization relate to other community groups / governmental units...

	Yes/No	None	Some	Much
a . through ongoing, working relationships?	___	___	___	___
b . by seeking out new relationships and building coalitions of mutual interest?	___	___	___	___
c . by having input into public policy?	___	___	___	___
d . by marketing itself to relevant organizations?	___	___	___	___
e . through appropriate media use?	___	___	___	___
f. at the regional, state, national, and international levels?	___	___	___	___

Organizational Assessment

23. Does the organization periodically assess its...

	Yes/No	None	Some	Much
a. mission, goals, and strategic plan?	___	How much improvement does your		
b. committee structure and performance?	___	assessment process need?		
c. board and general membership participation?	___	(Please answer on line below)		
d. quality of group relationships?	___	___	___	___
e. provision for leadership development?	___	___	___	___
f. follow through on individual and group commitments?	___	___	___	___
g. budget/goal setting process?	___	___	___	___
h. fit in the community?	___	___	___	___

Consultation Opportunity List

Consultation Opportunity List Instructions

This tool is both a planning document and a way to let community stakeholders and DHS know more about potential ATOD prevention partners in the entire area served by your agency's program. The tool is designed to help you identify opportunities to infuse ATOD into existing services, not to find places to start up new services.

The list will need to be periodically updated, as it was a required task to develop this initial list in FY01. This list should assist your agency in planning consultation activities for section II of your work plan.

DHS recognizes that some of you may have very large service areas and may need to create the list for individual communities. For this reason, even though it would benefit you to have a Consultation Opportunity List for your entire service area, your agency may select a specific area or community to identify organizations to include in the listing. When selecting a specific community, you should select a community with strengths already in place where ATOD services could be infused. Please keep in mind that the purpose of the tool is to help you find natural networks and resources within the community to bring on board for ATOD prevention efforts. You should not select a community solely because it is an under-served area. If you have a completed list for 1 area in your service area, you may chose and create a new list for an additional area.

Please submit whatever information you have collected through December 31, with your Semi-Annual Evaluation Progress Report due January 25. The Consultation Opportunity List should be fully completed and enclosed with your year-end Evaluation Progress Report due July 25. Please do not attach the list to your reports, just submit it with the reports.

Rating Scales *(for use in columns 3 and 4 on the following page)*

Column 3 - "History of Contact"		Column 4 - "Level of Readiness"	
0	No contact between our prevention services and organization	0	No contact between our prevention services and organization
1	Minimal contact between our prevention services and organization	1	Little awareness of ATOD prevention issues, or lack of interest from organization
2	Regular contact between our prevention services and organization	2	Organization is committed to receiving ongoing ATOD prevention training and consultation, if we provide it
3	Coordinated programs / services between our prevention services and organization	3	Organization already includes some ATOD prevention content as a result of the consultation provided
4	High level of collaboration between our prevention services and organization	4	Organization consistently includes best ATOD practices within their prevention policies and programs, without our involvement

Agency Name:_____   # Consultation Opportunity List

Community or Area Selected:

If you have selected one community rather than your entire service area, please explain why you chose this community by indicating strengths and needs:

The list should include organizations from each of the following types: schools (private and public), faith organizations with youth groups, youth recreation programs, youth social organizations, parent organizations, media outlets, and other community organizations that seem relevant to you (civic groups, law enforcement, professional groups, government bodies etc.).

Name and Type of Organization	Contact Person Address Phone	History of Contact	Level of Readiness	Note any additional information regarding the contact between the organization and prevention staff from your agency.

History of Contact Rating Scale: 0) No contact, 1) Minimal contact, 2) Regular contact, 3) Coordinated programs/services, 4) High level of collaboration

Readiness Rating Scale: 0) No contact, 1) Little awareness of ATOD issues, 2) Committed to receiving ongoing ATOD consultation, 3) Already includes some ATOD prevention content as a result of consultation, 4) Consistently includes best ATOD practices

Agency Name:_____

Name and Type of Organization	Contact Person Address Phone	History of Contact	Level of Readiness	Note any additional information regarding the contact between the organization and prevention staff from your agency.

History of Contact Rating Scale: 0) No contact, 1) Minimal contact, 2) Regular contact, 3) Coordinated programs/services, 4) High level of collaboration

Readiness Rating Scale: 0) No contact, 1) Little awareness of ATOD issues, 2) Committed to receiving ongoing ATOD consultation, 3) Already includes some ATOD prevention content as a result of consultation, 4) Consistently includes best ATOD practices

Agency Name:_____

Name and Type of Organization	Contact Person Address Phone	History of Contact	Level of Readiness	Note any additional information regarding the contact between the organization and prevention staff from your agency.

History of Contact Rating Scale: 0) No contact, 1) Minimal contact, 2) Regular contact, 3) Coordinated programs/services, 4) High level of collaboration

Readiness Rating Scale: 0) No contact, 1) Little awareness of ATOD issues, 2) Committed to receiving ongoing ATOD consultation, 3) Already includes some ATOD prevention content as a result of consultation, 4) Consistently includes best ATOD practices

Agency Name:_____

Name and Type of Organization	Contact Person Address Phone	History of Contact	Level of Readiness	Note any additional information regarding the contact between the organization and prevention staff from your agency.

History of Contact Rating Scale: 0) No contact, 1) Minimal contact, 2) Regular contact, 3) Coordinated programs/services, 4) High level of collaboration

Readiness Rating Scale: 0) No contact, 1) Little awareness of ATOD issues, 2) Committed to receiving ongoing ATOD consultation, 3) Already includes some ATOD prevention content as a result of consultation, 4) Consistently includes best ATOD practices

Effective Collaboration: Roles that make it work

Effective Collaboration - Roles that Make It Work

In order for any of the objectives listed in *Effective Collaboration Self-Assessment Tool* to be accomplished effective meetings must take place. This is often the first and foremost obstacle for coordinators who take on all of the work at every level for meetings. Let's break down some of the tasks and look more closely at signs of success!

Collaborative and Task Groups - Meetings

Active Participation During Meeting

Effective Collaborative Component Sub task/objective	Evidence	Qualities Required to Accomplish & Who could do it…
Talking	Participants feel their presence and contributions are important to the group, its work and success as indicated by the fact that EACH PARTICIPANT contributes at least once during the course of the meeting. Conversation is active and flowing, though thoughtful silences and times of contemplation are accepted and welcome.	Ability to think about project issues and a willingness to express own ideas. Ability to be quiet and listen if one is talkative and/or has lots of ideas. Ability to speak up when one has thoughts to share if s/he is a quiet person. Willingness to come to the meeting, focus on it's agenda and be 'on' even when there is lots to do outside the meeting room. WHO: EVENTUALLY EACH AND EVERY MEMBER OF THE GROUP.
Asking questions	Participants feel their presence and contributions are respected and appreciated by all the group members as indicated by the fact that EACH PARTICIPANT raises difficult questions regardless of positions of authority in the room. Furthermore, THE QUESTIONS THAT EVERYONE IS THINKING ARE BEING ASKED.	Ability to think critically about the various aspects of the work. Willingness to risk comfortable relations to ask the questions that get to the heart of issues, challenge status quo and encourage open, honest and respectful communication. Ability to frame questions respectfully. WHO: EVENTUALLY EACH AND EVERY MEMBER OF THE GROUP.
Acknowledging and Resolving Conflict	Participants are able to put the highest good of the group and its common goals above individual agendas as indicated by the fact that THE 'ELEPHANTS' IN THE MEETING ROOM ARE UNVEILED AND TALKED ABOUT. In other words, there are not several "meetings outside the meeting" where the real concerns are being discussed.	Ability to identify and separate out personal agendas and issues from those of the whole group. Willingness to listen to another person's perspective and respond with respect and compassion. Ability to state inconsistencies without blame. Ability to change one's mind. Ability to accept responsibility for one's own issues or mistakes. Commitment to the common goals and outcomes of the overall project. WHO: EVENTUALLY EACH AND EVERY MEMBER OF THE GROUP.

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Effective Collaborative Component Sub task/objective	Evidence	Qualities Required to Accomplish & Who could do it....
Clear decision making processes	No one leaves the room wondering what 'just happened' or 'so now what?'. Everyone understands why a decision was made and agrees to support it even if it doesn't go *exactly* as they would have liked.	Alert attentiveness during key moments of the meeting. Ability to speak up when issues are not clear. Presence of mind and clarity with one's perspective and the issue at hand. Willingness to hold one's opinion and position without "going with the flow" and at the same time commitment to the common goals and good of the project. WHO: EVENTUALLY EACH AND EVERY MEMBER OF THE GROUP.
Making decisions	Participants know where the process is at, what work is completed and what work needs to be done.	Ability to truly hear an opposing view. Ability to change one's mind. Ability to see a concept or idea in a new light or perspective. Commitment to participate in the decision making process and then to stick by a decision once the group has made it. WHO: EVENTUALLY EACH AND EVERY MEMBER OF THE GROUP.
Volunteering for tasks	There are seldom long silences (or any silences) when the facilitator is asking who will do what.	An understanding of one's own strengths, interests, and resources. A willingness to contribute to the group process and the project work. Ability to say, " I will do that." WHO: EVENTUALLY EACH AND EVERY MEMBER OF THE GROUP.
Bringing information back to the group	Participants have key information, in the time frame allotted to present back to the group. (See linking key participants to appropriate agenda items above.)	Ability and willingness to do the work one has volunteered for in a timely manner and bring back to the group. WHO: EVENTUALLY EACH AND EVERY MEMBER OF THE GROUP.
Holding each other to commitments	There are no meetings outside the meeting about individual people or work. The work is getting done. Members are comfortable with the timeframes and the manner in which the work is getting done.	Ability to address concerns with a fellow team member (one on one and/or at group level) when someone has said one thing and done another(regardless of an individual's status or authority). Ability to identify and address discrepancies in verbal and written communications and in work one has done. WHO: EVENTUALLY EACH AND EVERY MEMBER OF THE GROUP.

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Effective Collaborative Component Sub task/objective	Evidence	Qualities Required to Accomplish & Who could do it…
Equalizing power	Non-English speaking members of the group participate as much or more than English speaking members. Members with more evident positions of authority or those who possess more 'clout' participate 'elbow to elbow' with others. Parents and students feel VERY comfortable sharing their perspectives and asking questions.	Ability to address concerns with a fellow team member (one on one and/or at group level). An understanding of ones own strengths, interests, and resources. Ability to truly hear an opposing view. Ability to identify and separate out personal agendas and issues from those of the whole group. Ability to be quiet and listen if one is talkative and/or has lots of ideas. Ability to speak up when one has thoughts to share if s/he is a quiet person. Ability to accept responsibility for one's own part. Willingness to put the greater good of the group process and project work first. WHO: EVENTUALLY EACH AND EVERY MEMBER OF THE GROUP.
Note-taking	Participants have in hand, in proper language, a clear and accurate written record of groups work to date (key decisions and agreements) and any other pertinent information.	Understanding of purpose of meeting and goal of work/project. Light Clerical Skills. Access to materials. Ability to record key ideas, decisions and agreements clearly and succinctly in writing. Confidence to ask questions when information is not clear and/or group not on track. Ability to work with translator who will create non-English written copy of group records. WHO: Anyone connected to the project with above skills.
Facilitation – is a means to an end. Good facilitation skills will serve the group much better than in depth knowledge of the work and a preconceived idea of where it needs to go.	Meeting begins and ends on time, unless extended by group consent. EACH PARTICIPANT understands the purpose, content, order and flow of business as indicated by active participation, thoughtful/helpful comments and input. Key ideas and issues are addressed in some way (immediately, 'parking lot', tied to another agenda item, etc.) Everyone participates. Facilitator is not the only person talking during the meeting. Is able to introduce a topic and let the conversation flow, tying up ends as they are presented.	In-depth knowledge of group facilitation. Clear, loud, well paced verbal communication skills. Ability to listen objectively, patiently and compassionately. Enough understanding of the project to tie together input and comments to the common purpose and work of the meeting and the overall goals. Ability to separate out for the group issues that arise related to group process, current agenda or to other work and goals. Ability to be silent and not rescue the group when people need to take responsibility for participation and input. Ability to draw out quiet participants and hold off overly active participants respectfully. WHO: Anyone with the above skills. (Note: It may be helpful if this person is outside the group membership as an objective observer and facilitator of the group process.)

Emerging Leadership Practices

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Becoming a Community of Learners: Emerging Leadership Practices

The following questions will help you reflect on your leadership and practices in your school. This checklist has the benefits and limits of all checklists. While comprehensive, it cannot cover all of the special issues that make up the unique context of your school. This checklist that we offer is not provided with the intention of making you feel guilt or shame at what you're not doing. Rather we have designed this checklist to stimulate your thinking about what you are doing and what you might consider doing in the future. Thus, we view this checklist as a catalyst for flexible action, rather than as a straitjacket to make you conform to an image of the "good principal."

Lynn J. Stinnette, Director, Urban Education, NCREL with Kent Peterson, University of Wisconsin, Madison, and Philip Hallinger, Vanderbilt University

Ways of Leading and Managing	always	frequently	sometimes	never
Have we worked together to articulate a shared purpose and educational vision focused on learning?				
Do leaders protect the vision and make it visible to others?				
Do leaders communicate their values and mission in the things they do, how they spend their time, and what they consider important?				
Do we take collective responsibility for school practices and outcomes ?				

Do leaders in our school emphasize power through people rather than power over people?				
Is authority in our school based more on professional knowledge and competence than on position and rules?				
Do leaders in our school facilitate, guide, and coach others to adopt practices that advance student performance? academic and social?				
Do leaders provide social support for high academic achievement?				
Do leaders communicate their passion for learning by challenging ineffective practices?				
Do leaders create a culture that supports risk-taking and encourages innovation?				
Approaches to Problem Solving and Decision Making	always	frequently	sometimes	never
Are discussion and inquiry common and accepted practices in our school?				
Do we share information and make decisions together?				
Do we solve problems collaboratively?				
Are we open to multiple approaches and solutions rather than reliance on single answers and past practices?				
Do leaders try to gain many points of view before solving important problems?				

Is decision making consensual and inclusive as opposed to top-down and nonparticipatory?				
Do leaders provide formal and informal means for staff and students to raise and solve problems in the school?				
Do leaders accept conflict as "normal" and use it as a stimulus for change, or is it viewed as "bad" and something simply to be controlled?				
Concerning Learning	**always**	**frequently**	**sometimes**	**never**
Are learning goals clear, understood, and accepted?				
Do leaders protect academic time and support teachers in keeping students engaged in learning?				
Do students acquire essential skills and knowledge at high levels?				
Do we engage students as active learners and co-constructors of knowledge?				
Do classroom practices develop thinking skills for all children rather than emphasize rote acquisition of basic skills?				
Do classroom practices provide opportunities to apply and use knowledge in a variety of contexts?				
Do we provide opportunities for students to direct and be responsible for their				

own learning?				
Do we use cooperative learning groups and other alternative methods rather than relying solely on independent work and competition?				
Are some learning experiences interdisciplinary?				
Do learning experiences in our school incorporate resources outside of the classroom?				
Do we use valid, multiple assessments to gauge student learning and progress?				
Is there time and support for professional development that improves curriculum, instruction, and student learning?				
Do leaders model life-long learning for others by sharing new learning, successes, and failures ?				
Structural Conditions	**always**	**frequently**	**sometimes**	**never**
Are roles in our school flexible and interdependent rather than rigid and hierarchical?				
Do teachers have considerable autonomy and discretion to plan curriculum and organize instruction within an overall framework?				
Do we use teams to plan and implement school improvement?				
Are there opportunities for dialogue and planning across teams,				

grades, and subjects?				
Is communication in our school open and fluid as opposed to regulated by traditional chains of command?				
Do we create small, "communal" arrangements that personalize learning and maximize student-teacher and student-student interaction?				
Do we create an environment that is safe, supportive, and conducive to learning?				
Relating to the Community	always	frequently	sometimes	never
Do we encourage widescale participation of stakeholders parents, community members, and students?				
Do we empower parents and community members to participate in decisions about our school?				
Do we forge partnerships with community organizations, agencies, and businesses to address the needs of children and families?				
Are we linking a variety of health and human services to our school?				
Are local businesses involved with our school?				

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Evaluation Guidebook, for Programs Funded by S.T.O.P. Formula Grants: Chapter 10

EVALUATION GUIDEBOOK

FOR PROJECTS FUNDED
BY S.T.O.P. FORMULA GRANTS
UNDER THE VIOLENCE AGAINST WOMEN ACT

By:

Martha R. Burt
Adele V. Harrell
Lisa C. Newmark
Laudan Y. Aron
Lisa K. Jacobs
and others

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Urban Institute
2100 M Street, N.W.
Washington, DC 20037
(202) 833-7200
http://www.urban.org

Table 10.1
Community Collaboration, Goal 1:
Establish an Effective, Stable, and Continuing Community Response to VAW

Objectives	Specific Measures	Data Collection Procedures	Caveats
Commitment (Willing to collaborate)	Are agencies and their representatives dedicated to community collaboration? —Do they believe that violence against women is a community-wide problem that needs to be solved by the community? —Are they willing to make changes in their own agencies if necessary in order to further community-wide goals?	Interviews/surveys with key agency staff re. actual and planned participation in collaborative efforts and willingness/ability to change policies/procedures as needed.	
Presence of established formal/informal collaborative structures (Ability to collaborate)	What type(s) of organizational structures has existed in the community (formal task force, interagency lunch group)? How long has it been in place? How often does it meet? What is its focus? How does the structure support collaboration?	Interviews/surveys with actual (and potential) collaborating participants, as well as outside sources. Task force/committee/group agendas, minutes, memos, other documents.	
Presence of new committees or nonprofit organizations (Ability to collaborate)	Types, numbers, and purposes of secondary organizational structures. Reasons for the formation of new group (e.g., none other existed, focus of original group too narrow, membership of original group restricted, etc.). Activities of organizations and areas they cover (e.g., health services, law enforcement, etc.).	Interviews with original committee members. Interviews with new organizations.	
Achieve diverse membership in collaborative structure (engage diverse players in other collaborative efforts)	Appropriate types and numbers of members/players with respect to issue (DV and SA), systems (law enforcement, prosecution, corrections, advocates), and community (reflecting demographics of community). Each subcommittee or task force reflects the diversity of the whole collaborative structure. Length of time various members have been involved.	Committee membership records. Self-reported member/participant surveys.	

Table 10.1
Community Collaboration, Goal 1:
Establish an Effective, Stable, and Continuing Community Response to VAW

Objectives	Specific Measures	Data Collection Procedures	Caveats
Level/positions of participating collaborators.	Are collaborators in positions within their respective agencies to: make changes and influence policy? to implement changes in service practice (i.e., line workers)? to understand barriers to success and how to overcome them? Are those who are in power in the relevant agencies supportive of VAW efforts? Have they: (a) taken an active role in; (b) been ambivalent toward; or (c)opposed VAW efforts? Why have/haven't certain people joined the efforts?	Track record of participants, e.g. have they delivered what they've promised? Observation: determine which agencies/political players have/have not shown an interest in or taken an active role in VAW efforts. Agency heads or public relations staff can be contacted to determine reasons for supporting/not supporting efforts.	It may be difficult to get government officials to admit on the record why they don't support efforts. Informal contacts with agencies and political players may be useful to determine reasons for refusal of support.
Engage active participants	Share of work time devoted to collaboration. Number of tasks each participant initiates, plans, and completes. Number of meetings attended by participant.	Self-reported participant surveys and interview with committee coordinator. Minutes of committee meetings.	
Opportunities for involvement	Nature and level of involvement of various members (set agenda, participate fully, observe only). Who makes major decisions? Who leads activities? If there is one leader, does he/she delegate authority to other members? Are all participants involved in the decision-making process? Number of policy changes that participants try to install in their own agencies. Success of such attempts.	Observation of meetings. Surveys of participants. Examination of activities: determine who was responsible for prioritizing and organizing the task and completing the work.	
Level/source of support	What is the highest level of support for VAW efforts? State? Region? Locality? Do the efforts also have support at the grassroots level? How has the collaboration benefited from this support (e.g., funding, media attention)	Observation; interviews with participants. Funding records of collaborative partners; press clippings.	

Table 10.2
Community Collaboration, Goal 2:
Achieve System Level Outcomes

Objectives	Specific Measures	Data Collection Procedures	Caveats
Achieve frequent, positive communication among members	Frequency of inter-agency contact: one time, as-needed, regularly scheduled. Type of contact: referrals only, telephone, meetings, conferences, training sessions. Level of contact: directors/senior managers, trainers, line workers. Basis of contact: individual initiative, contractual, formal agreements, memoranda of understanding. Nature of contact: hostile, reluctant, indifferent, cordial, amicable. Are participants informed about actions of the group/committee? Do participants provide updates on their activities for other members?	Labor intensive approach: Committee members and coordinator keep a general log of the people they contact, how often, the nature of the contact, etc. Members listed in logs may also be interviewed in order to double-check this information and account for possible differences in perception. Much less labor intensive approach: Periodic interviews (e.g., every quarter) with committee members and others involved in collaborative effort. Use questions with quantitative answer categories such as: "how often in contact with X…daily, weekly, monthly, etc."	The communication logs can provide information on both member and non-member contacts, but in this case only members would be interviewed. It is not likely that people will comply with the log approach, as it takes a lot of time and will contain a good deal of extraneous information. A quarterly interview is probably "good enough" to track changes in interaction patterns.
Create an informal communication networks (non-member contacts).	Number of non-member agencies or organizations contacted. Frequency of non-member contacts. Length of relationship.	This information can be obtained from the general communication logs. Non-members with whom contacts were made may be interviewed in order to compare information.	
Provide opportunities for feedback from general community.	Number of meetings open (and published materials made available) to the general public. Frequency with which community feedback is incorporated into decisions and/or projects.	View committee records. Survey of community members to determine if they are aware of committee's activities, have had opportunities to give feedback and have done so, and whether or not that feedback was incorporated into committee decisions and/or projects.	

Table 10.2
Community Collaboration, Goal 2:
Achieve System Level Outcomes

Objectives	Specific Measures	Data Collection Procedures	Caveats
Develop a shared vision.	Do committee members have a clear and consistent perception of their roles and the roles of others? Have they been able to put differing opinions aside and agree upon a shared vision or primary goal?	Interviews with members and coordinator. Observation of meetings, records.	
Create a written mission statement and/or strategic plan.	Does the mission statement or strategic plan exist? Does it represent the opinions of the majority of the members?	Examination of the mission statement. Interviews/surveys of members and committee coordinator.	
Establish a mechanism for conflict resolution and feedback among members.	Number/share of committee conflicts that are resolved. Number of opportunities available for members to voice objections and/or give feedback. Frequency with which member feedback is incorporated in committee's activities.	Review of minutes; observation of meetings. Interviews/surveys of collaboration participants.	
Establish a system for evaluation of programs/ achievements.	Does a formal program evaluation system exist? If so, how many programs (and/or what percentage) are evaluated? How often are they evaluated? Who is evaluator? Does the group monitor general achievements?	Interviews/surveys of collaboration participants. Examination of committee records. Review evaluation results (if available).	
Develop trust and mutual respect.	How do group members perceive each other? Is there a general feeling of trust?	Surveys implemented initially and after the collaboration has been in existence for a substantial period.	

Table 10.2
Community Collaboration, Goal 2:
Achieve System Level Outcomes

Objectives	Specific Measures	Data Collection Procedures	Caveats
Engage in joint planning, prioritizing, and implementation of tasks; co-location.	Number/types of members and/or agencies involved in these activities. Number of these activities.	Observation of meetings. Examine joint activities; document who is involved. Interviews/surveys of participants.	
Create formal reporting procedures.	Is there a formal written report produced by the committee? If so, how often, what type of format, who receives the report, total number of reports distributed, specific and general effects of publishing the report.	View written document. Interview those receiving document and record their opinions regarding the usefulness and validity of report. Record direct and indirect results of publishing report (e.g., change in funding, attention from media, community interest).	It may be difficult to document results of publishing the report, but this may be achieved by interviewing recipients of the report (e.g., funders, media) and seeking their opinions.
Increase funding.	Are any new funding sources available as a result of community collaboration? Are you able to take better advantage of existing funding sources because of collaboration? Do collaborative structures have any responsibility for distributing/ allocating funds within community?	Review major sources of funds for VAW; identify roles and responsibilities of collaborative structures and collaborating agencies in terms of use and allocation of funds.	

Table 10.3
Community Collaboration, Goal 3:
Achieve Ultimate Outcomes

Objectives	Specific Measures	Data Collection Procedures	Caveats
Permanent policy changes.	Have the collaboration efforts resulted in permanent changes in agency procedures and/or laws (e.g., guidelines for arrest of abusers, new training curricula)?	Check legislative history of state/city/locality. Interview collaborating participants.	
Consistent treatment of victims and perpetrators.	Are the same options available to victims at all points of entry to the system? Are perpetrators consistently held accountable by all parts of the system?	Interview/survey personnel of various agencies (e.g., victim services, law enforcement, courts, child welfare). Survey victims using services. Interview law enforcement agencies and court personnel. Examine court records and/or newspapers to determine sentencing patterns for convicted rapists/abusers.	
More options and resources for victims.	More options: what types of services are available to victims and perpetrators in the justice and human service systems? Increase in number of referrals. Better options: standards written, standards meet criteria of model programs, standards enforced on programs throughout the community. Duplication: where does duplication of services occur?	Check state, city, and agency records. Review hotline records, comparing need stated/requests made to information given Review STOP subgrant award reports	
Increased knowledge in general community re VAW; increased use of services.	How many people are aware of: --the problem of violence against women; --services that are available; --laws pertaining to victims and abusers. How many people and/or what percentage of the population in need are actually using services and/or reporting violence?	Survey residents. Records of service agencies and law enforcement offices. Survey victims and their families/friends. See Chapter 11 for some survey resources.	

Evaluation's Role in Supporting Initiative Sustainability

EVALUATION'S ROLE IN SUPPORTING INITIATIVE SUSTAINABILITY

Heather Weiss, Ed.D.
Julia Coffman
Marielle Bohan-Baker

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Harvard Family Research Project

Harvard Family Research Project
Harvard University Graduate School of
Education
3 Garden Street
Cambridge, MA 02138
617-495-9108
www.hfrp.org

ABSTRACT

A common complaint about foundation-funded initiatives is that "foundations too often fail to do enough, early enough, to ensure sustainability" (The Cornerstone Consulting Group, 2002, p.9). This paper offers ideas for the roles that evaluation can play in helping foundations ensure a discussion about sustainability is started early enough and maintained throughout an initiative. It proposes that evaluation can support initiative sustainability by:

1) **Supporting sustainability through strategy** – Evaluators and evaluation can advise and facilitate initiative strategy development. In doing this, evaluators can help foundations to build in a direct and deliberate focus on sustainability as foundations contemplate the formation of the initiative's strategy, engage in strategic planning, and manage the initiative's implementation.

2) **Supporting sustainability with evaluation** – Evaluation practice should treat sustainability as an outcome, track its progress, and feed back regular information that can be used to ensure sustainability is on course, and if not, to point to opportunities for midcourse corrections. Sustainability is not just about continuous funding, however, and it can be operationalized and tracked in a number of ways.

The ideas presented in this paper are based on Harvard Family Research Project's (HFRP) broad spectrum of experience in the past two decades with foundation initiatives. Illustrative examples are offered from HFRP's five-year evaluation of the W.K. Kellogg Foundation's (WKKF) large-scale Devolution Initiative (DI).

Harvard Family Research Project · Harvard Graduate School of Education · 3 Garden Street · Cambridge, MA · 02138
Website: www.hfrp.org · Email: hfrp@gse.harvard.edu · Tel: 617-495-9108 · Fax: 617-495-8594

Table 1. Ways to Build Sustainability into Strategy Development

		Ways to Incorporate a Sustainability Focus
STRATEGIC ANALYSIS	Needs Assessment /Environmental Scan	- Obtain upfront grantees' perspectives about their organizational and initiative-specific sustainability needs and wants.
	Analysis of Funding Trends	- Get a sense of what other funders are supporting or are willing to support and whether that matches with the initiative's focus. - Get a sense of the availability of public/private funds now and in the future. - Decide whether the initiative's focus is a short- or long-term foundation trend. - Identify regional or community foundations in grantee geographic locations.
	Evidence About What Works	- Include sustainability as a criterion when gathering evidence about "what works." - Focus the search on what works in terms of sustainable practice.
	Theory of Change	- Estimate how long the foundation needs to commit to the initiative or its focus in order to make a difference.
	Theory of Leverage	- Choose programming and grantmaking tactics that fit with the initiative's lifespan.
	Theory of Sustainability	- Determine what aspects of the initiative need to be sustained. - Determine what needs to be in place to achieve sustainability. (E.g., Do long-term large grants engender dependency? Should funding be tapered in the initiative's final years?)
STRATEGIC PLANNING	Goals/Objectives	- Make sustainability an initiative goal and establish objectives for getting there.
	Grantee Selection	- Develop grantee selection criteria that fit with both the theory of change and the theory of sustainability. (E.g., David (2002) suggests looking at organizational spirit, values, niche, and capacity.) - Make clear upfront grantee expectations and the foundation's role in sustainability. - Have grantees include a plan for sustainability in proposals.
	Initiative Structure/ Tactics	- Provide structure that can support sustainability (e.g. matching funds, technical assistance, funder outreach, public relations). - Include grantees whose role it is to provide sustainability support. - Include direct funding for sustainability activities (or core operating support). - Implement tactics that will support sustainability (e.g., outreach and marketing, regional funder meetings, communications events). - Give the foundation a role in achieving sustainability (e.g., outreach to community foundations, institution building, spin-offs, endowments).
	Evaluation Design	- Make sustainability an outcome to be tracked to feed back formative and summative information on progress. - Incorporate opportunities to report back on sustainability throughout the initiative. - Track contextual variables that will impact sustainability (e.g., funding trends).
STRATEGIC MANAGEMENT	Evaluation Reporting	- Build in opportunities to reflect on and make midcourse changes in the strategic plan based on what is being learned about sustainability. - Build in points to ask: Does this initiative deserve to be sustained?
	Grantee Reporting	- Develop periodic reporting mechanisms that can help grantees assess where they are in their sustainability efforts.

Goodness of Collaboration: All Participant Survey

THE GOODNESS OF COLLABORATION
All participant survey

You are currently part of _____, a collaborative working in your community. These questions
are about that collaborative.

**1. Members of collaboratives participate for many different reasons. Think back to when your
collaborative was in its beginning stage. How important was each of the following as a reason for
your participation at that time? (Check the best box.)**

	Very Important	Pretty Important	Not Very Important	Not Important At All
a. curiosity	☐ 1	☐ 2	☐ 3	☐ 4
b. afraid would miss some opportunity	☐ 1	☐ 2	☐ 3	☐ 4
c. asked by supervisor	☐ 1	☐ 2	☐ 3	☐ 4
d. invited by colleague	☐ 1	☐ 2	☐ 3	☐ 4
e. looking for money	☐ 1	☐ 2	☐ 3	☐ 4
f. interested in improving youth services	☐ 1	☐ 2	☐ 3	☐ 4
g. looking for a vehicle of change	☐ 1	☐ 2	☐ 3	☐ 4
h. protecting own interest or agency interests	☐ 1	☐ 2	☐ 3	☐ 4
i. other (please describe):_____	☐ 1	☐ 2	☐ 3	☐ 4

2. What about now? Please check how important each reason is now.

	Very Important	Pretty Important	Not Very Important	Not Important At All
a. curiosity	☐ 1	☐ 2	☐ 3	☐ 4
b. afraid would miss some opportunity	☐ 1	☐ 2	☐ 3	☐ 4
c. asked by supervisor	☐ 1	☐ 2	☐ 3	☐ 4
d. invited by colleague	☐ 1	☐ 2	☐ 3	☐ 4
e. looking for money	☐ 1	☐ 2	☐ 3	☐ 4
f. interested in improving youth services	☐ 1	☐ 2	☐ 3	☐ 4
g. looking for a vehicle of change	☐ 1	☐ 2	☐ 3	☐ 4
h. protecting own interest or agency interests	☐ 1	☐ 2	☐ 3	☐ 4
i. other (please describe):_____	☐ 1	☐ 2	☐ 3	☐ 4

3. Here are some dimensions of collaborative interaction. Please select the response which best characterizes your group now.

a. meeting frequency
☐ held on a regular schedule
☐ held sporadically
☐ held infrequently
☐ no meetings

b. meeting attendance
☐ consistent with a regular group
☐ pretty consistent with a regular group
☐ pretty consistent but the group varies
☐ poor attendance

c. participation in meetings
☐ everyone participates
☐ most people participate
☐ the same people talk all the time
☐ only a very few people talk

d. communication in meetings
☐ participants are not invited to make meaningful contributions
☐ participation is invited but very few communicate
☐ participation is invited but meeting style hampers free-flowing communication
☐ participants make meaningful contributions and there is much discussion

e. information sharing at meetings
☐ no significant information is shared
☐ little information is shared
☐ some information is shared
☐ a lot of information is shared

f. decision making at meetings
☐ no decisions are made
☐ few decisions are made
☐ some decisions are made
☐ lots of decisions are made

g. communication outside of meetings
☐ none occurs
☐ little occurs
☐ some occurs
☐ a lot occurs

h. interagency staff relationships
- [ ] none or very few
- [ ] some exist but non-productive
- [ ] some productive relationships exist
- [ ] many productive relationships exist

i. sense of ownership
- [ ] agencies avoid being identified with this effort
- [ ] one agency has ownership
- [ ] multiple agencies take some ownership
- [ ] multiple agencies feel emotional investment and sense of ownership for the whole initiative

j. knowledge of each other's groups
- [ ] collaborative members do not know much about other groups in the collaborative
- [ ] collaborative members know a few things about other groups in the collaborative
- [ ] collaborative members know some things about other groups
- [ ] collaborative members have a very good knowledge of each other's groups

k. politics
- [ ] we have unfriendly competition among members and behind-the-scenes maneuvering
- [ ] members basically ignore one another
- [ ] some members compete but others collaborate with each other
- [ ] all members work together and are open to the addition of other members

l. conflict
- [ ] we have serious and abiding conflicts among members of the collaborative
- [ ] we have a few conflicts but we try to avoid them
- [ ] we have some conflicts and some of them get resolved
- [ ] we have conflicts but they are openly discussed and resolved as they arise

m. community participation (we mean community residents, not professionals who work in the community)
- [ ] we have no participation in our decision-making by residents of the community
- [ ] we have little participation in our decision-making by residents of the community
- [ ] we have some participation of residents in decision-making
- [ ] we have active and broad participation of residents in our collaborative

n. direction of action
- [ ] most of the ideas and the direction come from the head of the collaborative
- [ ] most of the ideas and the direction come from the head of the collaborative, but others add to and modify these ideas
- [ ] ideas and direction come from lots of different members
- [ ] most of the ideas and direction come from community residents or "grass roots" members, but everyone adds and modifies these
- [ ] most of the ideas and direction come from community residents or "grass roots" organizations

BARRIERS TO THE WORK OF YOUR COLLABORATIVE

4. Collaboratives experience a variety of barriers to their work and progress. Please check off how much of a barrier each of the following has been to your collaborative and what progress you believe has been made in addressing this barrier.

BARRIER	Major Problem	Somewhat Of a Problem	A Slight Problem	Not At All A Problem	Lots of Progress	Some Progress	Little Progress
Agency policies	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
state policies/laws	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
Federal policies/laws	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
Community opposition	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
Credentialing requirements	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
Union issues	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
Funding issues	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
Amount of funding available	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
Collaborative members not really understanding what collaboratives are	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
credit for joint work among collaborative members	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
confidentiality	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
turf problems among collaborative members	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
personalities	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
control issues	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
low morale among collaborative members	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
time restraints on participation	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
difficulty of professional groups in understanding one another's standards, practices, or "world views"	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
other barrier:	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3
other barrier:	☐ 1	☐ 2	☐ 3	☐ 4	☐ 1	☐ 2	☐ 3

4a. Now please read back through the list above and if there is <u>one</u> of these that you would say has been <u>the</u> major barrier for your collaborative, please circle it.

4b. We would appreciate any information you would like to provide about how you overcome barriers. Please share anything you believe would be helpful to others.

_____

_____

_____

_____

5. Which of the following assets would you say characterize your collaborative?

	Major Strength	Strong Asset	Some Asset	Not an Asset
dedication to a common goal	☐ 1	☐ 2	☐ 3	☐ 4
experience of members	☐ 1	☐ 2	☐ 3	☐ 4
availability of funds to do our work	☐ 1	☐ 2	☐ 3	☐ 4
the good collaborative relationships we have with each other	☐ 1	☐ 2	☐ 3	☐ 4
good leadership	☐ 1	☐ 2	☐ 3	☐ 4
a community that is working well with us	☐ 1	☐ 2	☐ 3	☐ 4
support of the local press	☐ 1	☐ 2	☐ 3	☐ 4

6. What other strengths can you mention?_____

7. At this point in time to what degree do you think collaborative members are in agreement about:

	High Agreement	Some Agreement	A Little Agreement	Not Much Agreement at All
What a collaboration really is?	☐1	☐2	☐3	☐4
What your particular collaborative should do?	☐1	☐2	☐3	☐4
How decisions should be made?	☐1	☐2	☐3	☐4

8. Please take a minute to describe for us the most outstanding accomplishments of your collaborative so far.

_____

_____

_____

_____

9. If you were beginning over again, and knew what you know now about the successes and failures of your collaborative's efforts so far, what would be done differently?

_____

_____

_____

_____

10. What would you definitely repeat, if you had it to do over again?

_____

_____

_____

_____

Handbook on Coalition Building

HANDBOOK ON COALITION BUILDING

Older Americans Act
NATIONAL ELDERCARE CAMPAIGN

Strategies for Maintaining the Coalition

Flexibility is the essential condition of a successful collaborative enterprise.
No matter how carefully goals are defined at the outset, they are routinely
challenged, making goal reassessment an on-going necessity. Early "fiascos"
or "aborted efforts" demand flexibility in responding to failure and the
recontouring of collaborative activities. The most effective collaborations
appear to be strengthened, rather than defeated, by disappointments and
challenges.

Coalitions need to exist only as long as it is useful to its members. However,
when it disintegrates before achieving its goal, it usually has fallen victim to
one of these defects:

1. *Failure to keep all members informed* about the policies and actions
of the organization. Lack of information is a prime reason for believing the
coalition has been ineffective and therefore for dropping out. To keep the
information following, it is often necessary to publish newsletters, set up
telephone-calling networks, or hold frequent discussion meetings - even when
no decisions have to be made.

2. *Lack of interim rewards* for members. The failure of a coalition to show
some concrete results short of ultimate victory often discourages its members.
To provide interim reinforcement, it may be necessary to turn to social events:
boat cruises, cocktail parties, and picnics.

3. *Loss of key leaders*. An organization may develop a serious vulnerability
if one dominant leader prevents others from sharing power. In a well-structured
alliance, the leadership role is sufficiently diffuse so that the loss of any one
person would not be fatal.

4. *Serious* irreconcilable *splits* over the coalition's direction. Such splits
often suggest that the coalition was weak to begin with, perhaps because it
lacked one of the requirements for cohesion, such as ideological ties. Splits
tend to occur during moments of crisis when two seemingly attractive policy
alternatives present themselves, or a frustrating defeat is suffered.

5. *Delay*. Unless a coalition is of the special kind which is intended to be
permanent, the members expect it to achieve its main objective within a
reasonable time.

Coordination and Recording of Meetings

A decision should be made early in the planning process to set up some kind
of mechanism for sending out notices of meetings and recording and dissemi-
nating meeting minutes. The careful recording of meeting minutes is
important in order to clearly communicate key ideas that have been discussed
and document resolution of difference and other important actions taken.

It is not always possible for everyone to attend all the meetings, so minutes
should always be sent to the members. Keeping everyone informed about how
the coalition is developing will accomplish a great deal to keep communication
channels open.

Use of Volunteers　　The greatest single pool of unused resources for meeting human service needs
is the pool of untapped volunteer time and energy. The Gallup Polls indicate
that a large majority of both older and younger Americans are ready and
willing to give volunteer time for community service.

＋　　Every day volunteers and other social practitioners and people-helpers
develop innovative, creative, experimental ways to help their constituents.
Usually, however, they have no way to document their new practices. They
simply exchange them verbally and informally, and many get lost. It is
estimated that thousands of inventive social practices are lost each year for
want of a good way to get hold of them.

Organizations using volunteers need to develop methods for bringing these
social inventions to the light of day. One method might be to hold a
cross-agency conference for volunteers in a particular field. Using a little
interview schedule, they can quiz each other about what they have found to
be successful in working with the aged.

Summary　　The elderly consumer and community organizations recruited into the coali-
tion; the support for, and where this support comes from in the community;
and the design, form the structure of the coalition. These need to be planned
with purpose in mind so the coalition can be a successful venture for all
involved.

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Purpose: Promoting Collaborations Through State Action, Education
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Thomas Hart. Building Coalitions for Support of Schools, Oregon School
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COALITION FUNCTIONING

(A Committee in Disguise)

Objective   To demonstrate use of committee skills and functions in developing and
maintaining coalitions.

Introduction   Starting and maintaining a coalition is no big mystery. It is similar to starting
and maintaining a **committee** where there is a need and people interested in
finding a solution.

However, even though the functions of starting and maintaining a committee
and a coalition are very similar, the word "committee" may need to be avoided
because of the negative comments commonly stated about committees.

**Elements for
Successful
Functioning of a
Coalition (Committee)**

▲   **Common Goals** - What is the expressed need that the group agrees is a
priority, and what is the desired change? These need to be understood by
all involved.

▲   **Communication** - Common language that all can understand -stay
away from professional jargon: each needs to know what is taking place
and what is expected (no surprises from within!!).

▲   **See Themselves as Important to the Coalition** - Each participant
should be able to perceive themselves as an important part of the whole,
contributing to its success.

▲   **Chance to Participate** - All should have input into goals, methods and
decisions.

▲   **Ownership** - All should feel a part of the coalition and responsible for a
portion of the action.

▲   **Delegation** - Delegate to each entity a part that they can control, and that
will provide a chance for individual success as well as contribute to
coalition success.

▲   **Efficient - Effective Meetings** - Keep the meetings of the group "on
track toward the agreed goals. Each meetings should show progress
toward the overall goal(s), and participants should perceive this progress
when they leave each meeting.

▲   **Process** and **Pattern** for conduct of meetings and for making decisions.
This needs to be established early in the development of the coalition.

▲   **Shared or Situational Leadership** - It is important that many persons/
groups share leadership responsibilities.   ✦

Summary   This fact sheet is intended to give an understanding of principles related to
effective coalition functioning and how they coincide with the principles of
effective committee functioning with and on behalf of the elderly.

References   Ronald Lippitt, University of Michigan, and Jon Van Till, Rutgers University
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"Issues, Imperatives, Potentials," Journal of Voluntary Action Research,
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COALITION GOAL SETTING

Your Road Map to Success

Introduction   A coalition should have a plan for where they want to go and how they want to get there. This fact sheet will help you as a coalition to be successful in your endeavors.

The purpose of this fact sheet is to:

1. Provide a process for aging coalitions to develop a course of action for establishing realistic goals/objectives.

2. Provide a method in accomplishing realistic goals set by the coalition.

Definitions   The following are definitions that are important for you to understand as you work with coalition members to develop your goals.

Goal/Objective. A specific end result you want in a certain amount of time.

Short Term Goal. Component to accomplish over a short period of time. It may also lead to accomplishment of a long term goal of the coalitions. Short term goals may include the individual goals of the different organizations.

Long Term Goal: Component to accomplish over a long period of time. The long term goal should include the overall goals decided by the coalition.

Group Goal: A goal, decided on by members of the coalition, that will further the cause of the group.

Individual Goal: A goal, decided on by an individual coalition member, that will be their contribution to the over all goal of the coalition.

Characteristics of Goals   It is important that members of the coalition keep certain characteristics in mind as they develop their goals. As goals are developed, put them to the test. Do they include the following characteristics?

Goals must be:

1. Believable - They should describe situations or conditions that the coalition thinks they can achieve.

2. Attainable - Members of the coalition must believe that is possible to achieve the goal in the designated time.

3. Tangible - capable of being understood with measurable goals.

4. On A Timetable - A completion date should be included in the goal
statement.

5 Win-Win - The goals must allow all members of the coalition to be
successful

Establishing Coalition Goals

By the time goal setting takes place members/organizations should have
already participated in a needs assessment. From this the group then:

1. Develops a list of priorities.
2. Shares what problems or needs are being addressed by their
agency organization.
3. Identify group goals.
   -new problems to address
   -enhancing present work on problems

Remember that group goals need to be a blend of individual goals. It is also
vital that all members of the coalition participate in the development of the
goals. This will:

▲ Help meet members' needs and interests.
▲ Demonstrate how individual action can lead to group goals.
▲ Stimulate cooperation and commitment.

It is also important for all coalition members to -

1. Allow each group member to keep their identity/specialties. Draw on
each others strengths.
2. Not allow hidden agendas to jeopardize the work of the coalition.
Members should be honest, up-front, and willing to modify their ideas
for the goals of the coalition.
3. Recognize everyone for their involvement. A coalition is a cooperative
effort to address a problem and the same is true for the recognition.

Turning Goals Into Action

We turn goals into action by working from the long term to the short term.
Decide what must be achieved and in what order. Next decide what you will
do during a specific period of time . Now design small, specific 'bite-size"
programs and activities that support your short term goals. If order is
important, decide a sequence for your activities. Here are some questions that
will help:

▲ Where does the group want to be in one year? Six months?
▲ What "bite-size" programs or activities will move the coalition toward
this position?
▲ What program or activity should be done at the next meeting?

Summary   The overall goal of your coalition is the creation of positive change in aging
individuals and programs. By developing sound goals your coalition will have
a road map that will enable them address issues of today and those in the
future.

References   Hartford, Margaret E. (1971) <u>Groups in Social Work</u>. (pp 139-158). New
York: Columbia University Press.

Hull, Lorie, (Speaker). <u>Goalsetting: Your Road Map to Success</u> (Cassette
Recording No. 332). National Press Publications, Inc.

Interorganizational Network Survey

RWJF Integrated Health Outreach Projects Evaluation

INTERORGANIZATIONAL NETWORK SURVEY

Purpose

The purpose of this survey is to find out some background information on the steering committee that will serve as a foundation for our future understanding of how the steering committee is operating. Thus, we'll be talking about where you were before the steering committee began, about your experiences with the steering committee so far, and with your expectations for the future.

The findings will help the "Integrated Health Outreach Project" funded by the Robert Wood Johnson Foundation and the Health Resources and Services Administration, to better design and evaluate activities to increase access to health care services.

Confidentiality

All of the information you provide will be kept **strictly confidential**. Your responses will be combined with the responses of other Hidalgo County partners. Neither your name nor your organization's name will be identified in any published reports and directly linked to this date.

Instructions

You can answer most of the questions by circling the number that represents your response or by filling in a blank. The survey takes about **12 minutes** to complete. Your participation is voluntary. You do not have to answer any questions that you do not wish to answer and you may withdraw at anytime.

1.   Please rank order the following problems in Hidalgo County from 1-representing the most important issue, to 5-representing the least important of the five issues. Please write in the number from 1-5 that represents your personal opinion of the relative importance of the following five issues.

a. access to jobs

b. transportation   _____

c. access to health care   _____

d. water supply   _____

e. environmental hazards   _____

Directions: Circle the number of the response that best fits your *personal opinion.*

	Not at all a problem	Not much of a problem	Somewhat of a problem	Very much a problem
2. In your opinion, how much of a problem is each of the following for people in Hidalgo County:				
a. access to jobs	1	2	3	4
b. transportation	1	2	3	4
c. access to health care	1	2	3	4
d. water supply	1	2	3	4
e. environmental hazards	1	2	3	4
3. In your opinion, how much of a problem is each of the following for <u>low income people</u> in Hidalgo County:	Not at all a problem	Not much of a problem	Somewhat of a problem	Very much a problem
a. access to jobs	1	2	3	4
b. transportation	1	2	3	4
c. access to health care	1	2	3	4
d. water supply	1	2	3	4
e. environmental hazards	1	2	3	4

Directions: Circle the number of the response that best fits your *personal opinion.*

	Not at all True	Slightly True	Moderately True	Very True
4. I am knowledgeable about factors that contribute to lack of access to health care for low income people.	1	2	3	4
5. I believe access to health care services is an important issue for communities to address.	1	2	3	4
6. I am aware of programs in my community which address access to health care among low income families.	1	2	3	4
7. I am concerned about whether my community has sufficient programs that address access to health care.	1	2	3	4
8. I am involved in organized activities to increase access to health care for low income families.	1	2	3	4
9. I am knowledgeable about ways of increasing access to health care for low income families.	1	2	3	4
10. I know about services offered by different organizations in my community to increase access to health care for low income people.	1	2	3	4
11. I am interested in obtaining more information on programs to increase access to health care by low income people.	1	2	3	4
12. I spend time working with others on programs to increase access to health care among low income families.	1	2	3	4

13. What do you see as the major obstacles to increasing access to health care by low income families in South Texas? List up to three.

a. _____

b. _____

c. _____

14.   You have been identified as a leader in South Texas. Which of the following parts of the community best represents the organization you work for?

(Circle only one)

Communication (tv, radio, newspaper, etc.)	1
Economic (business, worksites, unions, etc.)	2
Health (hospitals, clinics, health departments, health professionals, etc.)	3
Education (public schools, colleges, technical schools, etc.)	4
Political (city, county, state government, etc.)	5
Religious (churches, interfaith councils, etc.)	6
Social Welfare (human services, mental health, etc.)	7
Voluntary Groups (American Heart Association, advocacy groups, etc.)	8
Other Community Groups (Lions Club, youth groups, neighborhood associations, etc.)	9
Other (please specify) _____	10

☐ I don't work for an organization ⇒ Go to Question 33 on Page 6

15.   Which of the following categories describes the length of time you've been in your current position? (Circle the **best one choice**)

1. Less than 1 year
2. 1 - 2 years
3. 3 - 5 years
4. 6 - 10 years
5. More than 10 years

Directions: The next set of questions asks about your organization. For the following questions, circle the number of the response that best describes your organization.

	Not at all True	Slightly True	Moderately True	Very True	Don't Know/ Not Applicable
16. In general, staff in my organization are aware of community programs to increase access to health care by low income people.	1	2	3	4	DK
17. In general, staff in my organization are knowledgeable about services to increase access to health care by low income families offered by other organizations in Hidalgo County.	1	2	3	4	DK
18. As part of its mission, my organization is concerned with the increasing access to health care by low income people.	1	2	3	4	DK
19. My organization is involved with increasing access to health care by low income people.	1	2	3	4	DK
20. Members of my organization are assigned to work with other organizations to increase access to health care by low income people.	1	2	3	4	DK
21. My organization has donated resources to programs to increase access to health care by low income people.	1	2	3	4	DK
22. My organization is interested in becoming more actively involved in increasing access to health care by low income families.	1	2	3	4	DK

4

Directions: For the following questions, circle the number of the response that best fits your answer.

	Not At All Active	Not Very Active	Somewhat Active	Very Active	Don't Know/ Not Applicable
23. In the last 12 months, how active was your organization in working with other organizations to increase access to health care by low income people?	1	2	3	4	DK
24. In the last 12 months, how active was your organization in exchanging information with other organizations about programs to increase access to health care by low income people?	1	2	3	4	DK
25. In the last 12 months, how active was your organization in referral of clients to or from other organizations concerned with increasing access to health care by low income people?	1	2	3	4	DK
26. In the last 12 months, how active was your organization in sharing resources with other organizations involved in increasing access to health care by low income people (e.g. equipment, supplies) with other organizations?	1	2	3	4	DK
27. In the last 12 months, how active was your organization in co-sponsoring public events with other organizations concerned with increasing access to health care by low income people?	1	2	3	4	DK
28. In the last 12 months, how active was your organization in coordinating services with other organizations involved in increasing access to health care by low income people ?	1	2	3	4	DK
29. In the last 12 months, how active was your organization in undertaking joint projects with other organizations involved in increasing access to health care by low income people ?	1	2	3	4	DK
30. In the last 12 months, how active was your organization in working with other organizations to increase media coverage of the importance of increasing access to health care by low income families ?	1	2	3	4	DK

Directions: Please take a moment to circle the answer to the following questions about yourself.

31.   GENDER - Which one describes your gender?

   a. Male
   b. Female

32.   AGE - Which of the following categories includes your age?

   a. Under 20 years old
   b. 20 to 29 years old
   c. 30 to 39 years old
   d. 40 to 49 years old
   e. 50 to 59 years old
   f. 60 to 65 years old
   g. Over 65 years old

33.   EDUCATION - What was the **highest level** of education **that you completed**?

   a. Less than high school graduate
   b. High school graduate
   c. Vocational school beyond high school
   d. Some college
   e. College graduate
   f. Some graduate education
   g. Graduate degree

Finally, I would like to ask you about your organizations relationships with other organizations in the community. The first set of questions asks to what extent various organizations in the community work together. In the table below, you will find a list of organizations within the community. For each one please indicate how often your organization collaborated with them in the last 12 months. If your organization did work with them in the last 12 months, then you'll be asked three questions about whether your organization has collaborated in the past to address health-related issues facing the uninsured and underserved residents in nearby colonias.

To clarify, please review the definitions below. The presence of any or all of these activities would be an indication that your organization has collaborated with another organization to address the problem.

Sharing information: This specifically refers to receiving or providing data, updates on health related programs or services, educational materials, news letters and/or other types of information related specifically to health issues or problems facing residents of the colonias.

Jointly plan, coordinate or conduct an activity, training, event or program designed to address a particular health issue or concern for uninsured or underserved residents in the colonias: This specifically refers to things like coordinating referrals or follow-up health services for the underserved residents, planning a health education workshop, developing a program to reach at-risk groups within the colonias for various diseases (e.g., diabetes), writing a collaborative grant, co-sponsoring a community meeting or health fair .

Sharing tangible resources: this refers to sharing or exchanging resources such as staff, space, equipment, or funds. This may involve formal working arrangements between organizations, like contracts, subcontracts, resolutions or memoranda of agreement.

7

For each question, consider activities that occurred during the past 12 months. Please answer with respect to activities occurring throughout your entire organization, rather than simply regarding activities you have engaged in personally. **In the row where your organization is listed, just strike out or mark through the row.**

Name of Organization	How often in the last 12 months did your organization exchange or **share information** regarding health related problems or possible solutions for the colonias residents?	In the last 12 months, how often did your organization **jointly plan, coordinate, or implement** an activity, training, event or program to address these issues?	In the last 12 months did your organization share or exchange **tangible resources** with ___ to address these issues? If yes, what was it you shared?	If yes to previous question, did your organization have a formal memoranda of agreement or contract with ___ regarding the shared resource?
1. Nuestra Clinica del Valle	0=Never 1=Once or Twice 2=Every Few Months 3=Mo/Almost 4=Wkly/Almost 5=Daily/Almost Don't know	0=Never 1=Once or Twice 2=Every Few Months 3=Mo/Almost 4=Wkly/Almost 5=Daily/Almost Don't know	1=Yes 2=No _____	1=Yes 2=No
2. El Milagro Clinic	0=Never 1=Once or Twice 2=Every Few Months 3=Mo/Almost 4=Wkly/Almost 5=Daily/Almost Don't know	0=Never 1=Once or Twice 2=Every Few Months 3=Mo/Almost 4=Wkly/Almost 5=Daily/Almost Don't know	1=Yes 2=No _____	1=Yes 2=No
3. Planned Parenthood	0=Never 1=Once or Twice 2=Every Few Months 3=Mo/Almost 4=Wkly/Almost 5=Daily/Almost Don't know	0=Never 1=Once or Twice 2=Every Few Months 3=Mo/Almost 4=Wkly/Almost 5=Daily/Almost Don't know	1=Yes 2=No _____	1=Yes 2=No
4. Migrant Health	0=Never	0=Never	1=Yes	1=Yes

Promotion

1=Once or Twice	1=Once or Twice	2=No	2=No
2=Every Few Months	2=Every Few Months	_____	
3=Mo/Almost	3=Mo/Almost	_____	
4=Wkly/Almost	4=Wkly/Almost	_____	
5=Daily/Almost	5=Daily/Almost	_____	
Don't know	Don't know	_____	

5. Center for Housing and Urban Development (CHUD)

0=Never	0=Never	1=Yes	
1=Once or Twice	1=Once or Twice	2=No	
2=Every Few Months	2=Every Few Months	_____	
3=Mo/Almost	3=Mo/Almost	_____	
4=Wkly/Almost	4=Wkly/Almost	_____	
5=Daily/Almost	5=Daily/Almost	_____	
Don't know	Don't know	1=Yes	
		2=No	

6. McAllen Medical

0=Never	0=Never	1=Yes	1=Yes
1=Once or Twice	1=Once or Twice	2=No	2=No
2=Every Few Months	2=Every Few Months	_____	
3=Mo/Almost	3=Mo/Almost	_____	
4=Wkly/Almost	4=Wkly/Almost	_____	
5=Daily/Almost	5=Daily/Almost	_____	
Don't know	Don't know	_____	

7. Mission Hospital

0=Never	0=Never	1=Yes	1=Yes
1=Once or Twice	1=Once or Twice	2=No	2=No
2=Every Few Months	2=Every Few Months	_____	
3=Mo/Almost	3=Mo/Almost	_____	
4=Wkly/Almost	4=Wkly/Almost	_____	
5=Daily/Almost	5=Daily/Almost	_____	
Don't know	Don't know	_____	

8. Edinburg Regional

0=Never	0=Never	1=Yes	1=Yes

9

Hospital

1=Once or Twice	1=Once or Twice	2=No	2=No
2=Every Few Months	2=Every Few Months		
3=Mo/Almost	3=Mo/Almost		
4=Wkly/Almost	4=Wkly/Almost		
5=Daily/Almost	5=Daily/Almost		
Don't know	Don't know		

9. Knapp Hospital

0=Never	0=Never	1=Yes
1=Once or Twice	1=Once or Twice	2=No
2=Every Few Months	2=Every Few Months	
3=Mo/Almost	3=Mo/Almost	
4=Wkly/Almost	4=Wkly/Almost	
5=Daily/Almost	5=Daily/Almost	
Don't know	Don't know	1=Yes
		2=No

10. Hope Clinic

0=Never	0=Never	1=Yes	1=Yes
1=Once or Twice	1=Once or Twice	2=No	2=No
2=Every Few Months	2=Every Few Months		
3=Mo/Almost	3=Mo/Almost		
4=Wkly/Almost	4=Wkly/Almost		
5=Daily/Almost	5=Daily/Almost		
Don't know	Don't know		

11. Hidalgo County Health Department

0=Never	0=Never	1=Yes	1=Yes
1=Once or Twice	1=Once or Twice	2=No	2=No
2=Every Few Months	2=Every Few Months		
3=Mo/Almost	3=Mo/Almost		
4=Wkly/Almost	4=Wkly/Almost		
5=Daily/Almost	5=Daily/Almost		
Don't know	Don't know		

10

12. Hidalgo County WIC Program	0=Never	0=Never	1=Yes	1=Yes
	1=Once or Twice	1=Once or Twice	2=No	2=No
	2=Every Few Months	2=Every Few Months		
	3=Mo/Almost	3=Mo/Almost		
	4=Wkly/Almost	4=Wkly/Almost		
	5=Daily/Almost	5=Daily/Almost		
	Don't know	Don't know		

13. AVANCE	0=Never	0=Never	1=Yes	
	1=Once or Twice	1=Once or Twice	2=No	
	2=Every Few Months	2=Every Few Months		
	3=Mo/Almost	3=Mo/Almost		
	4=Wkly/Almost	4=Wkly/Almost		
	5=Daily/Almost	5=Daily/Almost		
	Don't know	Don't know	1=Yes	
			2=No	

14. Cooperative Extension	0=Never	0=Never	1=Yes	1=Yes
	1=Once or Twice	1=Once or Twice	2=No	2=No
	2=Every Few Months	2=Every Few Months		
	3=Mo/Almost	3=Mo/Almost		
	4=Wkly/Almost	4=Wkly/Almost		
	5=Daily/Almost	5=Daily/Almost		
	Don't know	Don't know		

15. Valley Interfaith Council	0=Never	0=Never	1=Yes	1=Yes
	1=Once or Twice	1=Once or Twice	2=No	2=No
	2=Every Few Months	2=Every Few Months		
	3=Mo/Almost	3=Mo/Almost		
	4=Wkly/Almost	4=Wkly/Almost		
	5=Daily/Almost	5=Daily/Almost		
	Don't know	Don't know		

Level of Institutionalization: (LOIN) Scales for Health Promotion

LEVEL OF INSTITUTIONALIZATION (LOIN) SCALES FOR HEALTH PROMOTION PROGRAMS

FROM

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A Program of the Louisiana Public Health Institute

PRODUCTION SUBSYSTEM

1a. Have the program's goals and/or objectives been put into writing?

_____ Yes   _____ No   _____ Not sure/Not applicable

↓   ↓

1b. If yes, for how many   Go to question 2
years have written goals
& objectives actually
been followed?

_____ Year(s)

↓   ↓

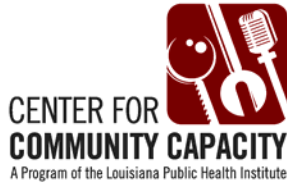1c. Of all the aspects of the program that could have written goals and objectives, what is your best estimate of the proportion which actually have written goals and objectives?

None	Few	Most	All
1	2	3	4

2a. Have any of the plans or procedures used for implementing this program been put in writing?

_____ Yes   _____ No   _____ Not sure/Not applicable

↓   ↓

2b. If yes, for how many   Go to question 3
years have such written
plans or procedures
actually been followed?

_____ Year(s)

↓   ↓

2c. Of all the aspects of the program that could have written plans and procedure, what is your best estimate of the proportion which actually have written plans and procedures?

None	Few	Most	All
1	2	3	4

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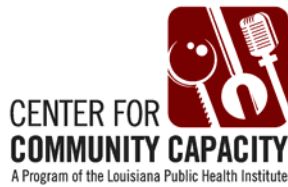
3a. Has a schedule (e.g. timetable, plan of action) used for implementing program activities been put in writing?

_____Yes   _____No   _____Not sure/Not applicable

↓   ↓

3b. If yes, for how many years have written schedules actually been followed?

Go to question 4

_____ Year(s)

↓   ↓

3c. Of all the aspects of the program that could have written schedules, what is your best estimate of the proportion which actually have written schedules?

None	Few	Most	All
1	2	3	4

4a. Have the strategies for implementing this program been adapted to fit local circumstances?

_____Yes   _____No   _____Not sure/Not applicable

↓   ↓

4b. If yes, for how many years have logically adapted strategies actually been followed?

Go to question 5

_____ Year(s)

↓   ↓

4c. Of all the aspects of the program that could be adapted to fit local circumstances, what is your best estimate of the proportion which actually have?

None	Few	Most	All
1	2	3	4

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5a. Has a formal evaluation of the program been conducted?

_____Yes　　　　　_____No　　　　　_____Not sure/Not applicable

↓　　　　　　　　　　　　　　↓

5b. If yes, how many
times has the program
been formally evaluated?　　　　　Go to question 6

_____ Year(s)

↓　　　　↓

5c. Of all the aspects of the program that could be formally evaluated, what is your best estimate of the proportion which have been formally evaluated?

None	Few	Most	All
1	2	3	4

MANAGERIAL SUBSYSTEM

6a. Has a supervisor (e.g., section chief, department head) been formally assigned to oversee the program?

_____Yes　　　　　_____No　　　　　_____Not sure/Not applicable

↓　　　　　　　　　　　　　　↓

6b. If yes, for how many
years has such a
supervisor actually
been formally assigned
to oversee the program?　　　　　Go to question 7

_____ Year(s)

↓　　　　↓

6c. Of all the aspects of the program that could receive supervision, what is your best estimate of the proportion which actually receives such supervision?

None	Few	Most	All
1	2	3	4

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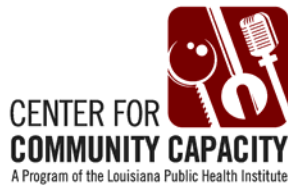
7a. Have formalized job descriptions been written for staff involved with this program?

_____Yes   _____No   _____Not sure/Not applicable

↓   ↓

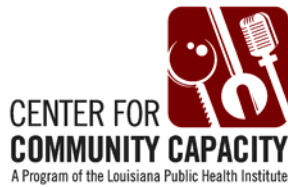7b. If yes, for how many   Go to question 8
years have formalized
job descriptions actually
been followed?

_____ Year(s)

↓   ↓

7c. What is your best estimate of the number of staff involved in the program who have written job descriptions?

None	Few	Most	All
1	2	3	4

8a. Are evaluation reports of this program done on a schedule similar to evaluation reports for most other programs in your organization?

_____Yes   _____No   _____Not sure/Not applicable

↓   ↓

8b. If yes, for how many   Go to question 9
years have evaluation
reports actually been
produced on a schedule
similar to such reports
for most other programs
in your organization?

_____ Year(s)

↓   ↓

8c. What is your best estimate of the extent that evaluation reports for this program are produced on a schedule similar to evaluation reports for most other programs in your organization?

None	Few	Most	All
1	2	3	4

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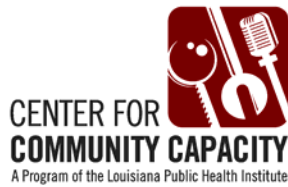
MAINTENANCE SUBSYSTEM

9a. Have permanent staff been assigned to implement this program?

_____Yes   _____No   _____Not sure/Not applicable

↓   ↓

9b. If yes, for how many   Go to question 10
years have permanent
staff been assigned to
implement this program?

_____ Year(s)

↓   ↓

9c. What is your best estimate of the number of staff who implement the program that are in permanent positions?

None   Few   Most   All
1   2   3   4

10a. Has an administrative-level, individual within your organization been actively involved in advocating for this program's continuation?

_____Yes   _____No   _____Not sure/Not applicable

↓   ↓

10b. If yes, for how many   Go to question 11
years have written goals
& objectives actually
been followed?

_____ Year(s)

↓   ↓

10c. What is your best estimate of how active this administrative level individual has been advocating for the program's continuation?

Not at all   Minimally   Moderately   Very
1   2   3   4

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11a. Do staff in your organization, other than those actually implementing the program, actively contribute
to the program's operations?

_____Yes   _____No   _____Not sure/Not applicable

↓   ↓

11b. If yes, for how many   Go to question 12
years have such staff
in your organization
actively contributed to
the program's operations?

_____ Year(s)

↓   ↓

11c. Of all the staff in your organization who could contribute to the operation of this program, what is
your best estimate of the proportion that actually contribute to it?

            None   Few   Most   All
             1   2   3   4

SUPPORTIVE SUBSYSTEM

12a. Has the program made a transition from trial or pilot status to permanent status in your organization?

_____Yes   _____No   _____Not sure/Not applicable

↓   ↓

12b. If yes, for how many   Go to question 13
years has this program
had permanent status?

_____ Year(s)

↓   ↓

12c. What is your best estimate of how permanent this program is in your organization?

            Not at all   Minimally   Moderately   Very
             1   2   3   4

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13a. Has the program been assigned permanent physical space within your organization?

_____ Yes _____ No _____ Not sure/Not applicable

↓

13b. If yes, for how many years has it maintained such permanent space?

Go to question 14

_____ Year(s)

↓ ↓

13c. Of all the permanent space that this program needs, what is your best estimate of the proportion of permanent space it currently occupies?

None	A small amount	Most that it needs	All it needs
1	2	3	4

14a. Is this program's source of funding similar to the funding sources for other established programs within your organization?

_____ Yes _____ No _____ Not sure/Not applicable

↓

14b. If yes, for how many years has this program's funding sources been similar to those for other established programs within your organization?

Go to question 15

_____ Year(s)

↓ ↓

14c. In your best estimate, how permanent is the program's source of funding?

None	Minimally	Moderately	Very
1	2	3	4

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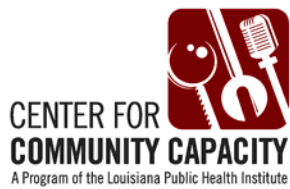
15a. Is the staff most closely associated with this program's implementation hired from a stable funding source?

_____Yes   _____No   _____Not sure/Not applicable

↓

15b. If yes, for how many years has the staff most closely associated with this program's implementation been hired from a stable funding source?

_____ Year(s)

↓

15c. What is your best estimate of how permanent the funding is for the staff most closely associated with this program's implementation?

Not at all	Minimally	Moderately	Very
1	2	3	4

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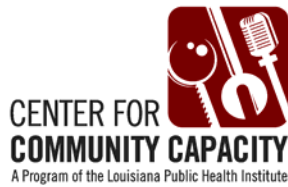
Scoring the LoIn Scale

The grid on the next page can be used to score the LoIn scale in conjunction with the following directions:

Each question has three sub-questions (a, b, and c). Sub-questions "a" and "b" are scored together, resulting in one score for the two sub-items, and sub-question "c" forms is scored separately.

For all "a" and "b" sub-questions, score as follows:
- If you checked "No" or "Not sure/not applicable" for "a" then the score for the sub-item = 0;
- If you checked "Yes" for "a" *and* wrote "0" or "1" for "b", then the score for the sub-item = 1;
- If you checked "Yes" for "a" *and* wrote "2" or "3" for "b", then the score for the sub-item = 2;
- If you checked "Yes" for "a" *and* wrote "4" or "5" for "b", then the score for the sub-item = 3;
- If you checked "Yes" for "a" *and* wrote "6" or more for "b", then the score for the sub-item = 4;

For all "c" sub-questions, score them as the number that you circled for that item (e.g., if you circled a "2" then the score for that item = 2).

Each three-part item represents one of the following organizational sub-systems: production (items 1-5), managerial (items 6-8), maintenance (items 9-11), and supportive (items 12-15). Using the grid on the next page, add the score for all sub-items "a" and "b" as indicated and divide by the number listed on the grid. Follow the same procedure for all "c" sub-items.

For sub-items "a" and "b":
- If the mean score is "1" or less then institutionalization is low;
- If the mean score is greater than "1" but less than or equal to "3" then institutionalization is low to moderate;
- If the mean score is greater than "3" but less than or equal to "5" then institutionalization is moderate to high;
- If the mean score is greater than "5" then institutionalization is high.

For sub-items "c":
- If the mean score is less than or equal to "2" then institutionalization is low;
- If the mean score is greater than "2" but less than or equal to "3" then institutionalization is moderate;
- If the mean score is greater than "3" then institutionalization is high.

*In which subsystems did you score **low?** What can you do to increase the institutionalization score for that subsystem?*
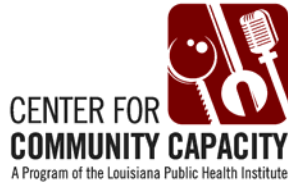
SCORE SHEET FOR PROGRAM INSTITUTIONALIZATION
ITEMS "A" AND "B"

Subsystem	Item	Item Score	Mean Score
PRODUCTION	1 "a" and "b"		
	2 "a" and "b"		
	3 "a" and "b"		
	4 "a" and "b"		
	5 "a" and "b"		
		Item sum =	Item sum/5 =
MANAGERIAL	6 "a" and "b"		
	7 "a" and "b"		
	8 "a" and "b"		
		Item sum =	Item sum/3 =
MAINTENANCE	9 "a" and "b"		
	10 "a" and "b"		
	11 "a" and "b"		
		Item sum =	Item sum/3 =
SUPPORT	12 "a" and "b"		
	13 "a" and "b"		
	14 "a" and "b"		
	15 "a" and "b"		
		Item sum =	Item sum/4 =

SCORE SHEET FOR PROGRAM INSTITUTIONALIZATION
ITEM "C"

Subsystem	Item	Item Score	Mean Score
PRODUCTION	1 c		
	2 c		
	3 c		
	4 c		
	5 c		
		Item sum =	Item sum/5 =
MANAGERIAL	6 c		
	7 c		
	8 c		
		Item sum =	Item sum/3 =
MAINTENANCE	9 c		
	10 c		
	11 c		
		Item sum =	Item sum/3 =
SUPPORT	12 c		
	13 c		
	14 c		
	15 c		
		Item sum =	Item sum/4 =

Local Collaborative Assessment of Capacity

Local Collaborative Assessment of Capacity
Developed by Center for Collaboration for Children

This instrument is intended to serve as a guide for a county collaborative which wishes to do a self-assessment of its progress in building its own capacity to improve outcomes for children and families. This self-assessment asks a series of questions about ten elements of collaborative capacity as a way of helping collaborative members determine how far they have progressed.

A team may wish to add other items which it believes to be fuller reflections of the work undertaken by the collaborative. It may also want to set aside some of these as inappropriate or premature. These items are offered as suggestions, since they occur as elements of the work program of one or more county collaboratives in California.

Governance and Accountability

	Agree				Disagree
1. Our collaborative has agreed upon an annual, public review of the outcomes which we have set as the indicators of our success in meeting our goals.	1	2	3	4	5
2. Our collaborative has agreed upon a common agenda which commits the members to providing new and redirected funding to achieve our shared goals.	1	2	3	4	5
3. Our collaborative has set a clear, limited number of priorities in a way that enables us to devote concentrated resources to these priorities.	1	2	3	4	5
4. Our collaborative has translated our priorities and outcomes measures into budget commitments from members of the collaborative that will be carried out in the year ahead.	1	2	3	4	5
5. Our collaborative has designated specific target groups, programmatic approaches, geographic areas, or crosscutting areas of emphasis. These target groups, based on age, ethnicity, geography, or other need factors, have been selected for priority attention.	1	2	3	4	5
6. Our collaborative has broadened its membership and its outreach to other groups to make us more representative of the whole community we serve and the clients we seek to help.	1	2	3	4	5
7. Our collaborative includes a significant number of agencies and members who are committed to substantial roles in its work; it is not dominated by one or two agencies, with other members seeing the collaborative as marginal to what they do.	1	2	3	4	5
8. Our collaborative has actively engaged front-line workers and their representatives in the process of making changes in the way agencies serve children and families.	1	2	3	4	5
9. Our collaborative has been given a major role in decision-making about children and families by the policy leaders of our community.	1	2	3	4	5

Outcomes

	Agree				Disagree
10. Our collaborative has successfully come to an agreement on the most important goals that we share and the outcomes measures by which we will assess whether we have achieved them.	1	2	3	4	5
11. Our collaborative has agreed upon a timetable and a process for moving toward results-based budgeting and has allocated resources needed to carry out this change.	1	2	3	4	5
12. Our collaborative has agreed upon a process for upgrading our interagency data collection and analysis over the next two years.	1	2	3	4	5

13. Our collaborative has agreed upon new and redirected resources to be used for upgrading our interagency data collection and analysis capacity over the next two years.	1	2	3	4	5
14. Our collaborative has developed an inventory of current funding sources for programs for children and families.	1	2	3	4	5
15. Our collaborative has developed data on overlapping populations in need, including data matching across programs and agencies	1	2	3	4	5
16. Our collaborative has begun assessing the impact of recent budget cuts on populations in need in our community.	1	2	3	4	5
17. Our collaborative annually tracks the referrals made to agencies in the community to determine the effectiveness of agencies in meeting those referred needs; we use referral patterns as part of our needs assessment.	1	2	3	4	5
18. Our collaborative has selected priorities among ongoing programs, which we intend to evaluate against standards of effectiveness over the next 1-3 years.	1	2	3	4	5

Financing

	Agree				Disagree
19. Our collaborative has developed an inventory of total spending on children and families and a summary of the most important items in the governmental budgets that affect children and families, broken out by categorical area and federal, state, local, and private funding sources.	1	2	3	4	5
20. Our collaborative has done detailed budget analysis that has enabled us to review the projected, future-year of current trends in caseloads and spending.	1	2	3	4	5
21. Our collaborative has done detailed budget analysis that has enabled us to review the projected, future-year costs of current trends in caseloads and spending.	1	2	3	4	5
22. Our collaborative has developed a summary of the most important items in other governments' and agencies' budgets that affect children and families, including the United Way, cities, and school districts.	1	2	3	4	5
23. Our collaborative has set aside resources for improving the staffing of the collaborative from redirected sources within member's agencies' budgets.	1	2	3	4	5
24. Our collaborative has been able to review new external funding opportunities in light of our own priorities and has not been driven by outside funders' agendas in deciding to seek such funding.	1	2	3	4	5
25. Our collaborative has developed a multi-year revenue strategy that addresses the issues of the sources of funding for children and family programs and identifies areas where revenues and related spending may be disproportionate.	1	2	3	4	5
26. Our collaborative has selected and carried out re-allocation of current resources affecting children and family programs which have been adopted as formal policy priorities of the county.	1	2	3	4	5
27. Our collaborative has developed a strategy for responding to block grants as they affect children and families in our communities.	1	2	3	4	5

Mobilizing non-financial resources

	Agree				Disagree
28. Our collaborative has developed a formal plan for identifying and mobilizing non-financial resources from throughout our community.	1	2	3	4	5

2

29. Our collaborative has developed an inventory of community assets, including mutual aid, self-help, and support groups.	1	2	3	4	5
30. Our collaborative has secured major commitments of non-financial resources from groups and individuals in our community as part of our program strategies.	1	2	3	4	5
31. Our collaborative is staffed so that we can conduct continuing outreach to community-based, self-help groups who provide supports to families.	1	2	3	4	5

Community and parent ownership

	Agree				Disagree
32. Our collaborative has developed ways of gaining feedback and involvement of community residents and parents which are not dominated by service provider points of view.	1	2	3	4	5
33. Our collaborative has debated the difference between token and non-token roles for parents and community residents, and has provided specific opportunities for parents and residents to become providers, evaluators, and policymakers.	1	2	3	4	5
34. Our collaborative has designed programs to be open to parent and citizen participation, including ways in which participants can reimburse providers for the services they receive, with funding or in-kind services.	1	2	3	4	5
35. Our collaborative has revised programs or reallocated resources in response to comments from the consumers of services.	1	2	3	4	5
36. Our collaborative has worked to staff itself and involve a range of groups from within the community so that we are able to interact effectively with the ethnic and linguistic groups from throughout the community.	1	2	3	4	5
37. Our collaborative has addressed the problem of citizen representatives working across multiple initiatives in ways that increase the numbers of individuals providing representation and link the different forums in which representation is exercised.	1	2	3	4	5

Staff and Leadership Development

	Agree				Disagree
38. Our collaborative has developed an interagency training program that is jointly funded and provides front-line staff with in-service training needed to perform as part of a collaborative team.	1	2	3	4	5
39. Our collaborative has provided support to policy leaders, which has enabled them to network with their counterparts who are working on similar issues around the state and the nation.	1	2	3	4	5
40. Our collaborative provides training to community residents for the leadership roles they provide in collaborative efforts.	1	2	3	4	5
41. Our collaborative has made clear to area universities and other training and educational institutions what kind of pre-service and in-service interprofessional expertise we need from these institutions, and have evaluated their capacity to provide such professionals.	1	2	3	4	5

Program strategies

	Agree				Disagree
42. Our collaborative has designed the programs which we jointly sponsor in ways which reflect the decisions we have made on outcomes; we address the measures of success of our programs as we design them.	1	2	3	4	5
43. Our collaborative has linked programs for children and families with economic and community development strategies.	1	2	3	4	5
44. Our collaborative has addressed the problems of family stability and family income as part of our work with children and families and has designed programs that respond to these economic needs.	1	2	3	4	5
45. Our collaborative has designed the programs which we jointly sponsor in ways that balance public service providers with an equal concern for natural helping networks and supports provided by nongovernmental entities without public funding.	1	2	3	4	5

Policy agenda development: changing the rules

	Agree				Disagree
46. Our collaborative has prepared anticipative policy options for the likely changes in federal programs, including block grants, decategorization, reduced entitlements, and funding cuts.	1	2	3	4	5
47. Our collaborative has informed our state legislative delegation of the state policy priorities which we support and the most important actions we need from the state government in support of our agenda at the local level.	1	2	3	4	5
48. Our collaborative has developed a policy agenda for changes in the barriers encountered in our pilot projects.	1	2	3	4	5
50. Our collaborative regularly discusses the best ways of reducing or eliminating the barriers encountered in our pilot projects and operates with a presumption that our task includes identifying and reducing these barriers, rather than accepting them as given.	1	2	3	4	5

Interorganizational coherence: links among parallel reform

	Agree				Disagree
51. There are a number of other collaboratives and policy reforms that sometimes affect our collaborative by competing for time, membership, and resources.	1	2	3	4	5
52. Our collaborative has developed an inventory of the other collaboratives and policy initiatives in the community, and we keep this inventory current.	1	2	3	4	5
53. Our collaborative has developed methods of sharing information with other collaboratives and policy initiatives in the community.	1	2	3	4	5
54. Our collaborative has developed a shared agenda with other collaboratives and policy initiatives and has begun sharing resources based on that common agenda.	1	2	3	4	5
55. Our collaborative has succeeded in merging or linking one or more collaboratives, rather than assuming that each new initiative requires a new collaborative or governing body.	1	2	3	4	5

Addressing the equity issues: targeting and disproportionate outcomes

	Agree				Disagree
56. Our collaborative has discussed the coverage of new managed care and capitation initiatives as they affect the lowest income groups and individuals in the community.	1	2	3	4	5
57. Our collaborative has agreed upon the ways we will disaggregate data in order to assess disproportionate impact on ethnic and linguistic minorities.	1	2	3	4	5
58. Based on our analysis of disproportionate impact, our collaborative has developed policy items and program designs that attempt to improve these outcomes.	1	2	3	4	5
59. Our collaborative has allowed the real issues and underlying values that affect children and family programs to be debated and has learned to handle discussion of differences in our values and other forms of conflict effectively.	1	2	3	4	5

5

Multifactor Leadership Questionnaire for Teams

Questionnaire B

Multifactor Leadership Questionnaire for Teams

by Bernard M. Bass and Bruce J. Avolio

Directions: The Multifactor Leadership Questionnaire for Teams describes the average or typical leadership behaviours exhibited by your team members. Following are descriptive statements about the team you are rating. Please evaluate each statement in terms of your team's leadership behaviour. Even if you are not aware of every situation that occurs within your team please refer to the examples of behaviour that you have or have not witnessed. For each statement judge how frequently, on average, your team displays the behaviour described. On this answer sheet, click in the circle that most closely fits your rating for each statement. Use the scale below for the first 48 questions.

Use the following rating scale:

Not at all	Once in a while	Sometimes	Fairly often	Frequently or always
◯ 0	◯ 1	◯ 2	◯ 3	◯ 4

Members of my team (including the leader) ...

	0	1	2	3	4
1. avoid controversial issues that would produce conflict.	◯	◯	◯	◯	◯
2. instill pride in being associated with each other.	◯	◯	◯	◯	◯
3. allow performance to fall below minimum standards before trying to make improvements.	◯	◯	◯	◯	◯
4. emphasise the importance of being committed to our beliefs.	◯	◯	◯	◯	◯
5. focus attention on irregularities, mistakes, exceptions and deviations from standards.	◯	◯	◯	◯	◯
6. set high standards.	◯	◯	◯	◯	◯
7. clearly communicate what each member needs to do to complete assignments.	◯	◯	◯	◯	◯
8. emphasise the value of questioning each other's strategy for solving problems.	◯	◯	◯	◯	◯
9. avoid addressing problems.	◯	◯	◯	◯	◯
10. listen attentively to each other's concerns.	◯	◯	◯	◯	◯
11. delay taking actions until problems become serious.	◯	◯	◯	◯	◯
12. go beyond their self-interests for the good of the team.	◯	◯	◯	◯	◯
13. closely monitor each other's performance for errors.	◯	◯	◯	◯	◯
14. display conviction in their core ideals, beliefs and values.	◯	◯	◯	◯	◯
15. work out agreements about what's expected from each other.	◯	◯	◯	◯	◯
16. envision exciting new possibilities.	◯	◯	◯	◯	◯
17. motivate each other to do more than they thought they could do.	◯	◯	◯	◯	◯
18. encourage each other to rethink ideas which had never been questioned before.	◯	◯	◯	◯	◯
19. fail to follow-up requests for assistance.	◯	◯	◯	◯	◯
20. focus on developing each other's strengths.	◯	◯	◯	◯	◯

3943502815

	Not at all	Once in a while	Sometimes	Fairly often	Frequently or always
	○ 0	○ 1	○ 2	○ 3	○ 4

Members of my team (including the leader) ...

21. tell each other what they've done wrong rather than what they've done right.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

22. display extraordinary talent and competence.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

23. spend time 'putting out fires'.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

24. clarify the central purpose underlying our actions.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

25. provide each other with assistance in exchange for each member's effort.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

26. talk optimistically about the future.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

27. heighten our motivation to succeed.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

28. question the traditional way of doing things.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

29. avoid making decisions.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

30. spend time teaching and coaching each other.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

31. wait until things have gone wrong before taking action.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

32. behave in ways that build respect for one another.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

33. track each other's mistakes.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

34. talk about how trusting each other can help overcome their difficulties.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

35. specify for each other what are expected levels of performance.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

36. talk enthusiastically about our work.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

37. encourage each other to do more than they expected they could do.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

38. seek a broad range of perspectives when solving problems.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

39. delay responding to urgent requests.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

40. treat each other as individuals with different needs, abilities and aspirations.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

41. show they are firm believers in 'if it ain't broke, don't fix it'.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

42. display confidence in each other.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

43. direct attention toward failure to meet standards.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

44. emphasise the importance of having a collective sense of mission.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

45. recognise member and/or team accomplishments.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

46. articulate a compelling vision of the future.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

7212502818

Not at all	Once in a while	Sometimes	Fairly often	Frequently or always
○ 0	○ 1	○ 2	○ 3	○ 4

Members of my team (including the leader) ...

47. look at problems from many different angles.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

48. provide useful advice for each other's development.   ○ 0   ○ 1   ○ 2   ○ 3   ○ 4

49. The overall effectiveness of the team can be classed as:

☐ A. Not effective

☐ B. Only slightly effective

☐ C. Effective

☐ D. Very effective

☐ E. Extremely effective

50. Overall, how satisfied are you with the team's total leadership abilities?

☐ A. Very dissatisfied

☐ B. Somewhat dissatisfied

☐ C. Neither satisfied or dissatisfied

☐ D. Fairly satisfied

☐ E. Very satisfied

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Organizational Commitment Questionnaire

The Organizational Commitment Questionnaire (OCQ)

Mowday, R. T., Steers, R. M., & Porter, L. W. (1979). The Measurement of Organizational Commitment. *Journal of Vocational Behavior*, 14, 224-227.

The Organizational Commitment Questionnaire (OCQ) contains 15 items with a seven-point Likert scale. The seven-point Likert scale ranges from "strongly disagree" valued as a "1" to "strongly agree" valued as a "7". For scoring purposes, it should be noted that six statements in this part (number 3, 7, 9, 11, 12, and 15—noted with an "R") are negatively phased items. Thus, reverse scoring is needed for these six items.

1. I am willing to put in a great deal of effort beyond that normally expected in order to help this organization be successful.
2. I talk up this organization to my friends as a great organization to work for.
3. I feel very little loyalty to this organization. (R)
4. I would accept almost any type of job assignment in order to keep working for this organization.
5. I find that my values and the organization's value are very similar.
6. I am proud to tell others that I am part of this organization.
7. I could just as well be working for a different organization as long as the type of work was similar. (R)
8. This organization really inspires the very best in me in the way of job performance.
9. It would take very little change in my present circumstances to cause me to leave this organization. (R)
10. I am extremely glad that I chose this organization to work for over others I was considering at the time I joined.
11. There is not too much to be gained by sticking with this organization indefinitely.
12. Often, I find it difficult to agree with this organization's policies on important matters relating to its employees. (R)
13. I really care about the fate of this organization.
14. For me, this is the best of all possible organizations for which to work.
15. Deciding to work for this organization was a definite mistake on my part. (R)

Plan Quality Index

PLAN QUALITY INDEX (PQI)

Organization: _____   **Name of Rater:** _____

Date of Rating: _____   **Score:** _____

Check all elements of a comprehensive plan that are present in this plan	
☐ **Needs Assessment Report**	☐ **Activities**
☐ **Goals**	☐ **Target population**
☐ **Objective(s)**	☐ **Timeline**
☐ **Budget**	☐ **Evaluation Plan**

RATING SCHEME: Check one choice for each component (1-18)	
0	None of this plan component is adequate
1	Approximately less than 20% of this plan component is adequate
2	Approximately 20-40% of this plan component is adequate
3	Approximately 41-60% of this plan component is adequate
4	Approximately 61-80% of this plan component is adequate
5	Approximately 81-100% of this plan component is adequate

Butterfoss, Goodman & Wandersman, 1995. Revised Butterfoss, 1996.

COMPONENTS OF ACTION PLAN GOAL(S), OBJECTIVES & ACTIVITIES	Rating (% adequate)						
	0	1-20	21-40	41-60	61-80	81-100	Score 0-5
1. The needs assessment is comprehensive.							
2. Goal(s) adequately reflect desired outcomes to problems/needs identified in needs assessment.							
3. At least one relevant objective is stated for each goal.							
4. Specific, feasible activities are provided for each objective.							
5. Objectives and activities are logically related to statewide prevention priorities as reflected in a statewide plan or planning process.							
6. Objectives and activities are measurable, so as to facilitate evaluation.							
8. A timeline is provided for each activity.							
9. The agency/group/individual who will coordinate each activity is identified.							
10. Sources of coordination/collaboration among community agencies and groups are identified.							
11. New preventive activities are coordinated with existing community programs/activities							
12. The combined activities form a comprehensive, multilevel community-wide intervention.							
13. A budget that outlines sources of funding and expenses for activities is provided.							
14. The plan is feasible given the human resources and budget.							
15. The evaluation plan is clear and comprehensive.							
OVERALL IMPRESSION OF PLAN							
16. Clarity							
17. Effectiveness							
18. Quality							

Please feel free to add additional comments about the plan or the planning process on back:

Reclaiming Futures Youth Service Network Analysis

Urban Institute

Reclaiming Futures Network Analysis Questionnaire

Page 1

In the final part of this survey, you are asked to indicate the strength and frequency of your professional interactions with others in your community. The list that follows includes people who are involved with Reclaiming Futures to varying degrees. Please click next to the name of each individual that you interact with as part of your job or in your capacity as a volunteer or community member. On the next page, you will be asked three questions about each of the people you choose.

Please check the boxes next to the names of people you interact with during the course of your work.

> *Person 1, Organization*
> *Person 2, Organization*
> *Person 3, Organization*

You may add others to your list by entering their names and contact information here. Feel free to add anyone who is involved with the youth services system in your community and that you interact with on a regular basis.

Page 2

This series of questions asks about the people with whom you interact in the course of doing your job, or your local professional network. For each member of your local professional network, please choose the answer that comes closest to describing your working relationship during the past 3 months.

1) In the past six months, how often did you interact with this person for work-related reasons (including meetings, email, and phone calls)?

- Very frequently (daily or more)
- Frequently (several times a week)
- Occasionally (several times a month)
- Rarely (less than once a month)
- Never (no work-related contact)

2) How helpful is this person to you in doing **your job**?

- Extremely helpful
- Somewhat helpful
- Not helpful
- Not sure

3) How helpful do you think you are to this person in doing **their job**?

- Extremely helpful
- Somewhat helpful
- Not helpful
- Not sure

Sense of Community Index

David M. Chavis, Ph.D.
Association for Study and Development of Community

SENSE OF COMMUNITY INDEX

I am going to read some statements that people might make about their [block]. Each time I read one of these statements, please tell me if it is mostly true or mostly false about your [block] simply by saying "true" or "false"

True = 1   **False =0**

QI.   I think my [block] is a good place for me to live.

Q2.   People on this [block] do not share the same values.

Q3.   My [neighbors] and I want the same things from the [block].

Q4.   I can recognize most of the people who live on my [block].

Q5.   I feel at home on this [block].

Q6.   Very few of my [neighbors] know me.

Q7.   I care about what my [neighbors] think of my actions.

Q8.   I have no influence over what this [block] is like.

Q9.   If there is a problem on this [block] people who live her can get it solved.

Q10.   It is very important to me to live on this particular [block].

Q11.   People on this [block] generally don't get along with each other.

Q12.   I expect to live on this [block] for a long time.

Total Sense of Community Index = Total Q1 through Q12

Subscales: Membership = Q4 + Q5 + Q6
                    Influence = Q7 + Q8 + Q9
                    Reinforcement of Needs = Q1 + Q2 + Q3
                    Shared Emotional Connection = Ql0 + Q11 + Q12

*Scores for Q2, Q6, Q8, Q11 need to be reversed before scoring.

SENSE OF COMMUNITY INDEX

ADDITIONAL INSTRUCTIONS

The attached scale was developed using the urban block as the <u>referent</u> for determining one's sense of community. If you are going to use a different referent, replace "block" with the specific name of the setting you wish to assess (e.g. school, neighborhood, city, church, etc.) Do not use "community" as the referent. Make other adaptations as appropriate (e.g. Q12 "expect to live" can be changed to "expect to belong".) Feel free to contact me if you need any assistance.

David M. Chavis, Ph.D.
Association for the Study and Development of Community
12522 Hialeah Way
Gaithersburg, MD 20878
301.519.0722

<u>Selected References</u>

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Strengthening Partnerships: Community School Checklist

Strengthening Partnerships:

The **FINANCE** PROJECT
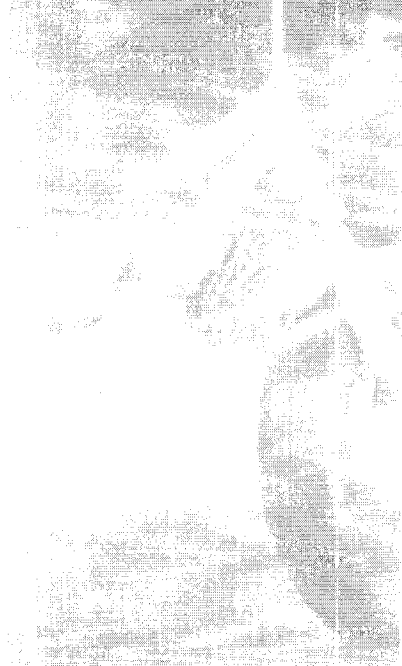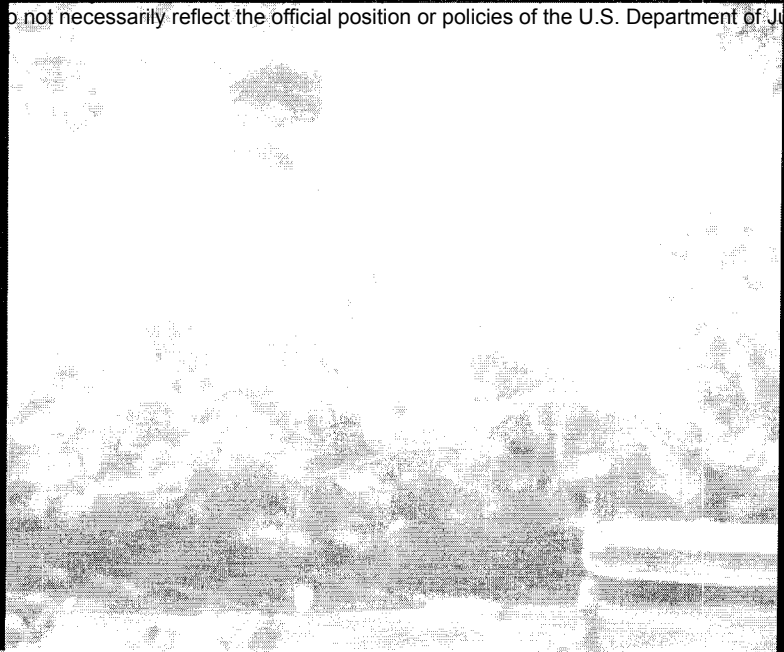
STRENGTHENING PARTNERSHIPS: COMMUNITY SCHOOL ASSESSMENT CHECKLIST

In many communities, partnerships between schools and other community organizations and agencies are helping to create supports that enable children and youth to learn and succeed and help families and communities to thrive. These partnerships bring together diverse individuals and groups, including principals, teachers, school superintendents, school boards, community-based organizations, youth development organizations, health and human service agencies, parents and other community leaders, to expand opportunities for children, families, and communities.

Creating a successful community school partnership is a complex, challenging, and time-consuming task. To be effective, partnerships need to engage in a thoughtful process to define a vision and clear goals. Partnerships need to have effective governance and management structures to ensure that programs operate efficiently and the partnership is responsive to community needs. Community school partnerships also need to draw from a broad range of perspectives and expertise—from inside the school as well as from other organizations and individuals within the community. Finally, community school partnerships need to connect, coordinate, and leverage resources from a variety of sources to support and continue their work.

This tool contains a series of checklists to assist school and community leaders in creating and/or strengthening community school partnerships.

- The first checklist helps you to assess the development of your community school partnership.

- The second checklist helps you to take inventory of existing programs and services in or connected to your school that support children, youth, families, and other community residents.

- The third checklist helps you to catalogue the funding sources that support these programs and services.

Once completed, these checklists can serve as a planning tool to develop strategies to strengthen your partnership, improve coordination of existing programs and services, and/or to expand current levels of support.

By Martin J. Blank and Barbara Hanson Langford   September 2000

I. Community School Partnership Assessment

Building and maintaining effective community school partnerships requires dedicated time and ongoing attention to the collaborative process. This checklist focuses on the **process** of bringing partners together and working to achieve desired results. This checklist can help partnerships to focus on, assess, and improve the quality of their collaborative efforts.

Our partnership has developed a clear vision.

| Disagree | 1 | 2 | 3 | 4 | 5 | Agree |

Our partnership has collaboratively identified the results we want to achieve for children, youth, families, and our community.

| Disagree | 1 | 2 | 3 | 4 | 5 | Agree |

Our partnership has successfully engaged a broad base of partners from a range of individuals and organizations representing the school and the community.

| Disagree | 1 | 2 | 3 | 4 | 5 | Agree |

Our partnership has developed strategies for coordinating and linking the array of supports and opportunities for children, youth, families, and community members that are available at or connected to the school.

| Disagree | 1 | 2 | 3 | 4 | 5 | Agree |

Our partnership has established a clear organizational structure. Our partnership has agreed upon the roles that individual partners will play, and ensured that all partners understand and accept the responsibilities of those roles.

| Disagree | 1 | 2 | 3 | 4 | 5 | Agree |

All partners involved in our community school have an understanding of who the other partners are, what organizations they come from, and what those organizations do.

| Disagree | 1 | 2 | 3 | 4 | 5 | Agree |

Our partnership regularly communicates with all partners to keep them informed about its work.

| Disagree | 1 | 2 | 3 | 4 | 5 | Agree |

Our partnership engages in activities to create awareness about and increase support for the work of the partnership.

| Disagree | 1 | 2 | 3 | 4 | 5 | Agree |

Our partnership has identified and mobilized resources (financial and other) from partner organizations and other entities throughout the community.

| Disagree | 1 | 2 | 3 | 4 | 5 | Agree |

II. Community School Program and Service Checklist

An important first step for school and community leaders seeking to create or expand community school partnerships is to assess the broad range of resources that are currently available within or connected to their school. Some of these programs and services may be directly supported by the school; others may be supported by community organizations and agencies. This checklist helps you to take inventory of the programs and services already administered by the school and its partners. Once you know what programs and services exist, your challenge is to make sure these programs and services are strategically coordinated to achieve desired results and to identify new programs and services that may be needed.

Programs And Services	Program Administrator				If not run by the school, list name of partner
	School or School District	Community-based Organization	Local Public Agency	Other	
SUPPORTS FOR SCHOOL-AGE CHILDREN AND YOUTH					
Academic Enrichment/ Tutoring/Remedial Education					
Arts, Music, and Cultural Programs					
Before- and/or After-School Programs					
Community Service/ Service Learning					
Conflict Resolution					
Family Life/Personal Skills/ Teen Parenting Programs					
Literacy					
Mentoring					
Recreation/Sports					
School Nurse					
Substance Abuse and/or Violence Prevention Programs					
Other					
Other					

Programs And Services	Program Administrator				If not run by the school, list name of partner
	School or School District	Community-based Organization	Local Public Agency	Other	
COMMUNITY SUPPORTS					
Adult Education/ GED/Literacy					
Parenting Education					
Health Education					
Health Care and/or Dental Services					
Early Care and Education/ Pre-K/Head Start					
Job Training					
Substance Abuse Prevention					
Violence Prevention					
Mental Health Services					
Family Support Center					
Other					
Other					

III. Community School Funding Source Assessment

Once you've taken inventory of the current programs and services operating in or connected to your school, the next step is to identify the sources of funding that support these services. In some cases, funding may come from federal, state, or local government agencies. In other cases, funding may come from private sources, such as community-based organizations or private foundations. This assessment can be used to catalogue existing funding sources that support a community school as well as to identify new funding sources to expand current programs and services.

SOURCES OF SUPPORT FOR COMMUNITY SCHOOL PROGRAMS AND SERVICES	
School and/or School District (i.e. Title I)	
Community-Based Organizations (i.e. YMCA, Boys & Girls Club, faith-based organizations)	
Universities and Colleges (i.e. work study or service learning students, professional development training)	
Federal Funds (i.e. food and nutrition funds, 21st Century Learning Community Learning Centers, VISTA, AmeriCorp)	
State Funds (i.e. funds from state departments of education, health and/or human services, and juvenile justice)	
City or County Funds (i.e. funds from local departments of human services, parks and recreation, and juvenile justice)	
Private Foundations (i.e. local community foundations, national foundations)	
Private Businesses	
PTA	
Participation Fees	
Other	

Survey of Collaborative Members:

Spring 1999

Survey of Collaborative Members — Spring 1999

1. When did you first begin to work with your collaborative (or a related group that preceded this collaborative)? (CIRCLE ONE NUMBER)

1	Before 1993	3	1996-97
2	1994-95	4	1998-99

2. Do you live in the community that is the focus of the collaborative's work?

1	Yes	2	No

3. What percentage of the time that you have put into collaborative activities has been paid as part of your job, that is, time your employer was paying you to be part of the effort?
   (CIRCLE ONE NUMBER)

1	0%	4	51% to 75%
2	1% to 25%	5	76% to 100%
3	26% to 50%		

4. Compared with other members of your collaborative, how active are you with regard to:

   a. Meetings (CIRCLE ONE NUMBER)
      1. Attend most meetings
      2. Attend some meetings
      3. Attend few or no meetings

   b. Other collaborative-related work, such as events, activities, etc. (CIRCLE ONE NUMBER)
      1. Put in more hours than most members
      2. Put in about the average
      3. Put in fewer hours than most members

5. What is your best guess as to the percentage of people in the community who are aware of your collaborative or its work? (CIRCLE ONE NUMBER)
      1. 0% to 10%
      2. 11% to 25%
      3. 26% to 50%
      4. 51% to 75%
      5. 76% to 100%
      6. Could not even guess

6. How would you characterize the leaders of your collaborative? Would you say they are:
   (CIRCLE ONE NUMBER)
      1. All or almost all paid by their jobs to be on the collaborative
      2. Mostly paid staff, some volunteer members
      3. Half paid staff, half volunteer members
      4. Mostly volunteer members, some paid staff
      5. All or almost all volunteer members

7. Members of collaboratives often represent different perspectives or wear different hats. Thinking about your work with your collaborative, which perspectives do you represent for the group?

    A. What perspectives do you bring to the collaborative? (circle all the numbers that apply in Column A)

    B. What is your **primary** perspective? (Circle **ONE** number in Column B)

    C. Are there perspectives that you believe need to be better represented on the collaborative? (circle **ALL** the numbers **THAT APPLY** in column C)

Perspective	Column A Your Perspective(s) (CIRCLE ALL THAT APPLY)	Column B Your Primary Perspective (CIRCLE ONE)	Column C Need Better Representation (CIRCLE ALL THAT APPLY)
Alcohol/drugs/tobacco (prevention, treatment)	1	1	1
Arts, cultural activities, parks and recreation, sports	2	2	2
Business	3	3	3
Child care	4	4	4
Child welfare (social services, adoption, foster care, etc.)	5	5	5
Concerned citizen, general community issues	6	6	6
Preschool education, including Head Start	7	7	7
Education (K-12)	8	8	8
Education (postsecondary)	9	9	9
Job training, employment issues	10	10	10
Family violence (child abuse, spouse abuse)	11	11	11
Food/nutrition, including WIC	12	12	12
General children and family issues	13	13	13
Government (elected officials, city manager, etc.)	14	14	14
Health	15	15	15
Housing/homelessness	16	16	16
Library	17	17	17
Law enforcement, legal system (police, courts, probation, etc.)	18	18	18
Media (newspapers, radio, etc.)	19	19	19
Mental health	20	20	20
Migrant issues	21	21	21
Minority issues	22	22	22
Parent of child(ren) age 0-8 in the community	23	23	23
Parent of child(ren) age 9-18 in the community	24	24	24
Religious (clergy, churches)	25	25	25
Senior citizens' issues	26	26	26
Transportation	27	27	27
Other (specify):	28	28	28
Don't know	-	-	88

8. Listed below are some statements describing areas your collaborative might be changing in your community. Your group has probably not changed all of these, nor has it tried to. For each statement, give us your best guess as to whether your collaborative has made a difference in this area. Use a scale of 1 to 4, with 1 being "we have made no change" and 4 being "we have made a significant change in our community." Please be honest; there are no "right" answers. (CIRCLE ONE NUMBER FOR EACH LINE.)

	Has your collaborative brought this about in your community?	No change	Little change	Moderate change	Significant Change	Don't Know
a.	Increase in communication among residents	1	2	3	4	9
b.	More opportunities for people to get together with one another	1	2	3	4	9
c.	Residents are more aware of resources for families	1	2	3	4	9
d.	More people participate in community organizations or associations	1	2	3	4	9
e.	Increased sense of our community as having many strengths	1	2	3	4	9
f.	Increased tolerance, respect, and appreciation for the differences among our residents	1	2	3	4	9
g.	Our community can better respond to local needs as they arise	1	2	3	4	9
h.	Increase in volunteerism	1	2	3	4	9
i.	Increase in the number of organizations concerned about the well-being of children	1	2	3	4	9
j.	Groups concerned with children and families are working more closely with one another	1	2	3	4	9
k.	Increase in number of "child-friendly" decisions made by local policy-makers (Board of Supervisors, City Council, etc.)	1	2	3	4	9
l.	Local policy-makers and agencies are paying more attention to the residents of our community	1	2	3	4	9
m.	Residents believe that they can be effective in improving the community Residents have learned and are using new skills	1	2	3	4	9
n.	Public and private agencies are doing a better job of meeting the needs of our community	1	2	3	4	9

R. (continued)

		No change	Little change	Moderate change	Significant Change	Don't Know
o.	Overall quality of life in the community has improved	1	2	3	4	9
p.	Decrease in negative behaviors in the community (drug and alcohol abuse, vandalism, etc.)	1	2	3	4	9
q.	Families feel more supported in the community	1	2	3	4	9
r.	Increase in the time parents spend with their children	1	2	3	4	9
s.	Has your collaborative brought this about in your community?	1	2	3	4	9
t.	Increase in the number of parents with good parenting skills	1	2	3	4	9
u.	Increase in the number of children being cared for in a safe environment	1	2	3	4	9
v.	Increase in the number of children participating in supervised recreational activities	1	2	3	4	9
w.	Increase in the overall physical health of children in the community	1	2	3	4	9
x.	Increase in the number of children whose basic needs for food, clothing and shelter are met	1	2	3	4	9
y.	Increase in the number of children who start school ready to learn	1	2	3	4	9
z.	Increase in the number of children succeeding in school	1	2	3	4	9

9. Is there anything else your collaborative has changed? Describe up to three areas that you believe your collaborative has changed that are not included in the list above. Rate the extent of change in each of these areas.

Has your collaborative brought this about in your community?	No change	Little change	Moderate change	Significant Change	Don't Know
a.	1	2	3	4	9
b.	1	2	3	4	9
c.	1	2	3	4	9

10. Which of the changes your collaborative has brought about do you consider the most important for your community? Go back and select ONE change from the list in Question 8 or Question 9 and circle the letter in front of that statement to show the change that you think is the most important.

11. How satisfied are you with what your collaborative has accomplished in the past year?
(CIRCLE ONE NUMBER)
   1. Very satisfied
   2. Somewhat satisfied
   3. Somewhat unsatisfied
   4. Very unsatisfied

12. What has been your greatest disappointment or frustration with your collaborative?

13. In what ways have **you personally** benefited from your participation in the collaborative?

14. What kinds of benefits have you seen for **other members** from their participation?

15. What is your age?
    1   25 years or younger
    2   26 to 40 years
    3   41 to 60 years
    4   61 or older

16. What is your gender?
    1   Male
    2   Female

17. What is the highest level you finished in school? (CIRCLE ONE NUMBER)
    1   Some high school or less
    2   Completed high school or GED
    3   Some coursework past high school
    4   2- or 3-year college degree (e.g., AA degree)
    5   4-year college degree
    6   Graduate degree (MA, MBA, MD, Ph.D, etc.)

18. What is your ethnic background? (CIRCLE ALL THAT APPLY)
    1   White, not Hispanic
    2   African-American
    3   Hispanic/Latino/Latina
    4   Asian/Pacific Islander
    5   American Indian/Alaska Native

19. This survey is one way for you to communicate with the Sierra Health Foundation about the Community Partnerships for Healthy Children initiative in general or the work of your collaborative in particular. Is there anything you would like to tell the Foundation?

Thank you very much for answering these questions.

Please return your completed survey in the enclosed envelope to:

Evaluation of the Community Partnerships for Healthy Children Initiative
SRI International, BS 145
333 Ravenswood Avenue
Menlo Park, CA 94025

We Did It Ourselves:

A Guide Book to Improve the Well-Being of Children Through Community Development
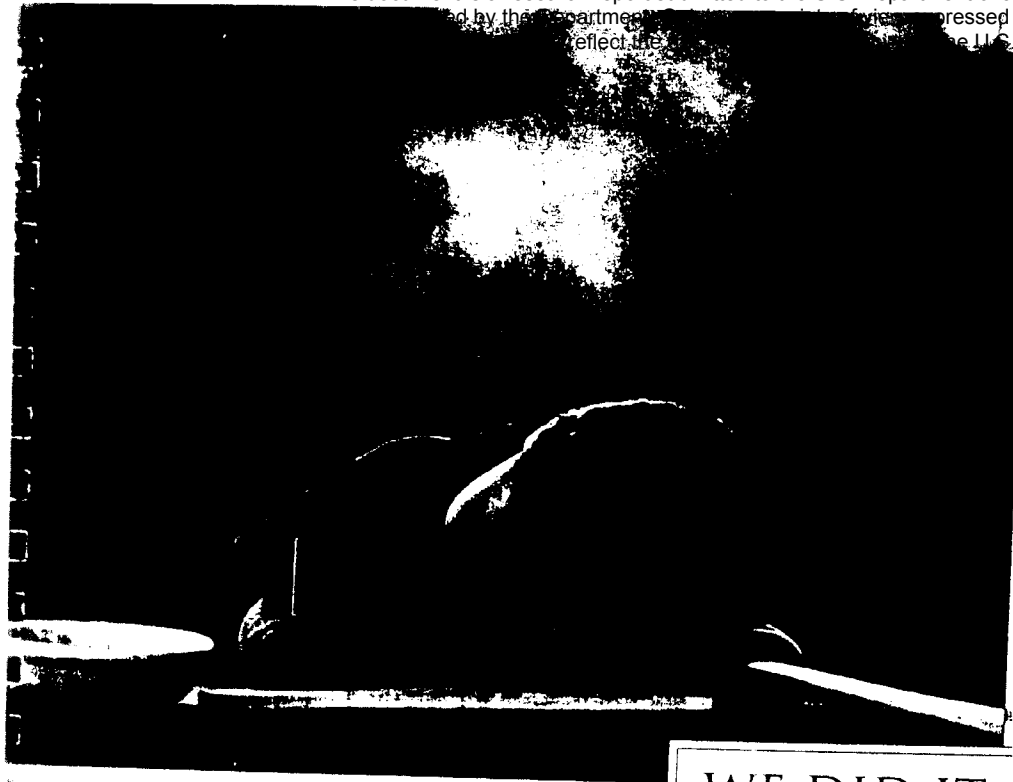
WE DID IT OURSELVES
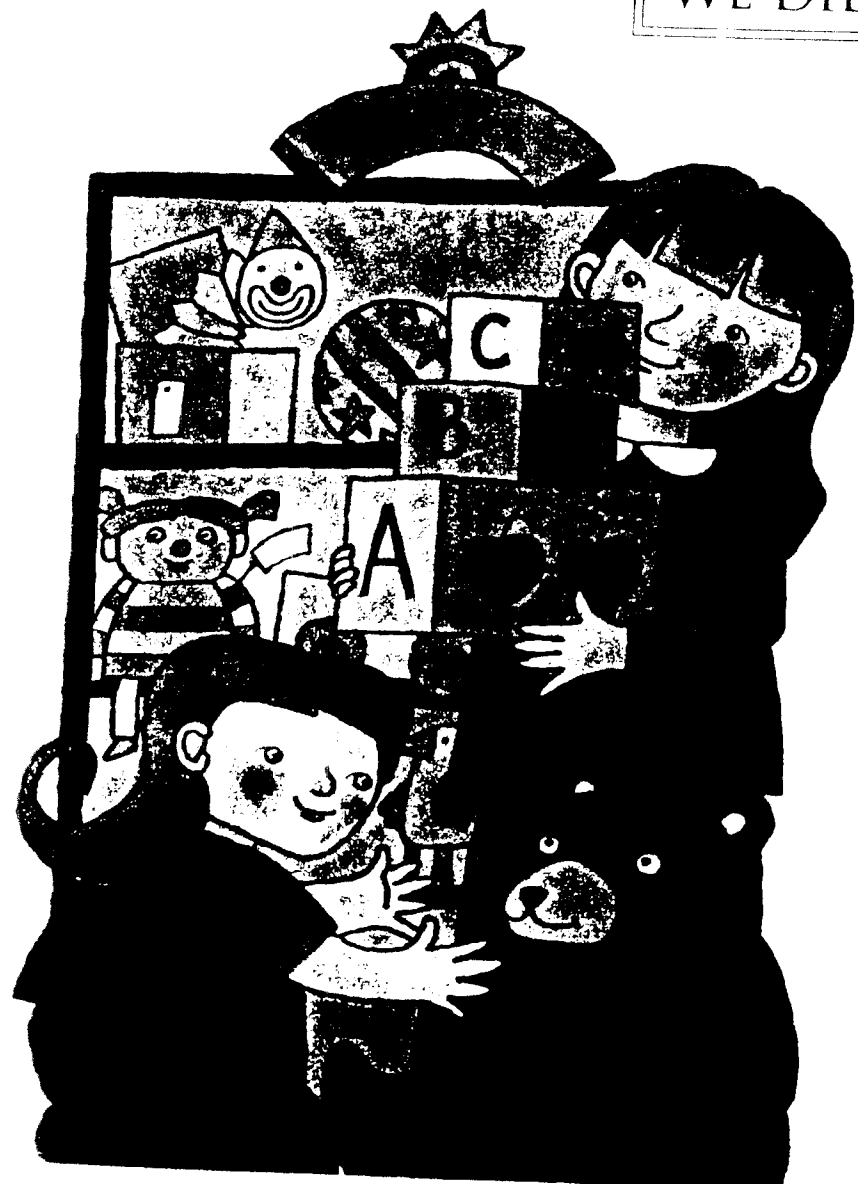
A GUIDE BOOK TO IMPROVE THE WELL-BEING OF CHILDREN THROUGH COMMUNITY DEVELOPMENT

Written by:
Center for Collaborative Planning

Supported by:

SIERRA HEALTH FOUNDATION
An Endowment for Northern California

Transforming this process into community planning means opening it up. It means holding community meetings in churches, schools and parks. Sometimes it means going door to door in urban neighborhoods or travelling hundreds of miles across rural counties.

Collaboratives begin with the hopefulness of a vision, then move to the practicality of a plan. This means working together within the community to reach common ground. Sometimes, different languages present barriers, and cultural practices have to be learned and honored. Often, turf and territory issues have to be addressed. Always, relationships have to be built and trust developed.

Working in a community means that who is involved is just as important as what is done; in fact, what is done depends on who is involved. Equally, what is done will not be successful unless the community owns the plan to do it.

Most important, to be successful in asset-based community planning, a community must define itself inclusively as made up of all its residents who come together to make positive change. The many examples and approaches given in this regard should speak for themselves.

How Does Asset-Based Community Planning Work?

Asset-based community planning works by answering a series of questions, which create a logical path from a vision of the future to a plan for action:

What do we want in the future?
What is our vision? What results do we want?
What are the outcomes we desire?

What is keeping us from getting there?
What are our barriers, challenges or issues?

What do we have that will help us get there?
What are our assets, resources, strengths or capacities?

How can we make the most of what we have to get there?
What are our strategies?

Who will do what and by when?
What is our action plan?

How will we know if we've been successful? and
How can we learn from what we do?
What will our evaluation tell us?

Collaboratives begin with the hopefulness of a vision, then move to the practicality of a plan.

ACTIVITY:
Drawing the Dream:
Creating an Action Vision

"VICTORY CELEBRATION IN OUR PLACE IN THE YEAR 2005"

This is an Action Visioning activity developed for the Community Partnerships for Healthy Children initiative; therefore, it emphasizes the health and well-being of young children. The focusing issue, a desire for a sense of community, comes from Children First-Flats Network where the residents of this urban neighborhood decided a sense of community is what it would take for children to be healthy. It is a process that produced a five-year vision.

Why should you try Action Visioning?
- *Combines the power of visualization with a fun kind of free-form drawing.*
- *Creates a victorious picture of the future.*
- *Provides a chance to create something pretty and colorful instead of all those words.*
- *Promotes communication in communities where many languages are spoken.*
- *Provides an opportunity to strengthen relationships among community residents.*

What should you expect as a result of doing this activity?
If doing this action visioning results in any of the following, you've made important strides in community planning and community building.
- *A sense of hopefulness among participants.*
- *An opportunity to check in with each other and find common ground.*
- *A chance to begin visualizing some strategies for later action.*
- *An open discussion about community assets and challenges.*
- *The beginning of consensus about short and long-term goals.*

How long will it take?
30 - 45 minutes

What supplies do I need?
Flipchart pad and easel
Thick markers
Masking tape for each small group
Unlined paper
Pencils, pens, crayons, thin markers
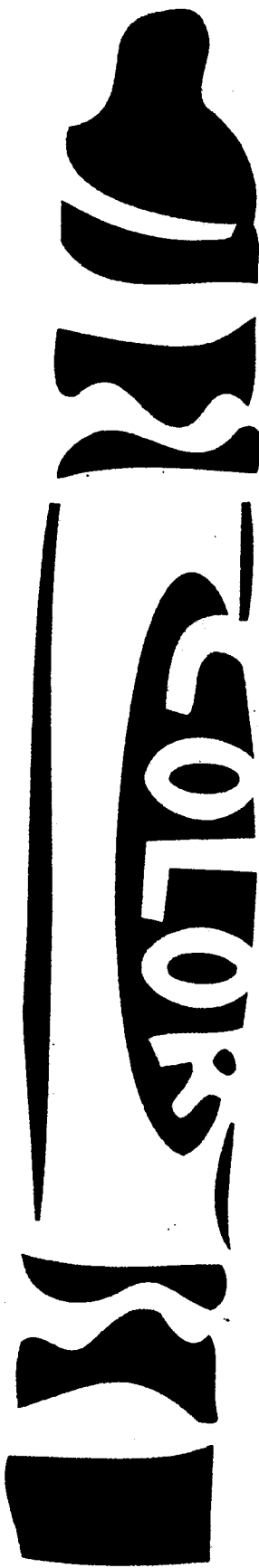
PROCEDURE:

I. Break Up into Small Groups

Break large group into small groups of 8 to 12 people. Assign each small group a facilitator.[4] Ask for another group member to volunteer as a reporter, who will be responsible for later reporting back to the whole large group. Distribute paper, pens, crayons and thick markers.

The facilitator reads aloud the scenario, "Victory Celebration in Our Place in the Year 2005" (next page) and requests that participants record images, ideas and thoughts as they listen. Participants can record key phrases, pictures and symbols as they journey through the victory celebration.

In round-robin style (going around the circle) the facilitator asks each participant to share the following with the other members of the small group:

Favorite image or idea
Most unusual image or idea

Ask volunteers to write or draw their images and ideas on the flipchart paper provided. Allow approximately 10 minutes.

Instruct volunteers to be creative and not to concern themselves with their artistic abilities.

The result of this process will be a small group action vision focusing on "creating a sense of community to improve the lives of children."

II. Come Back into Large Group

The reporter from each small group will bring his/her group's action vision to the front of the room, tape it to the wall and highlight images and ideas generated. The reporter from the second small group will tape his/her action vision next to the previous group's and repeat the process. When all action visions are taped and all group reporters have reported, the result will be a collaborative action vision of a community victorious in creating a sense of community to improve the lives of children.

Creating a sense of community to improve the lives of children.

ACTIVITY:
"Cardstorming"
To Find Underlying Causes

The "cardstorming" process has been used extensively by communities to think and make decisions together. Sometimes it's called "clustering." Sometimes it's called "snowballing." The Institute for Cultural Affairs[6] calls this technique the "workshop method" and incorporates it into a strategic planning process they have.used throughout the world.

Why Should You Try Cardstorming?
- Creates a powerful visual representation of group thinking.
- Encourages individual thought.
- Moves toward group consensus.
- Is colorful, fun, user-friendly for most learning styles.

What Should You Expect as a Result of Doing This Activity?
If doing this cardstorming activity results in any of the following, you've made important strides in community planning and community building.
- A deeper understanding of issues affecting the community.
- An opportunity to check in with each other and find common ground.
- An open discussion about community assets and challenges.

You will need:
Approximately 60 sheets of colored paper (5-1/2 x 8-1/2)
A box or two of colored markers
A "sticky wall" of either heavy paper, butcher paper or nylon netting sprayed with remount spray
Masking tape (if no sticky wall is available, use tape loops to stick 1/2 sheets to wall. You can also use post-its if they work better in your space
Scratch paper and pens, if needed by participants

How Much Time Will it Take?
Allow about an hour for entire process.

Procedure

1. Ask Focusing Question

Example:

   If we want a community free of gang violence, what is stopping us from getting there?

2. Ask participants to write all their responses, what they see in the victory celebration, on a piece of scratch paper.

3. Participants share in pairs or small groups what they have written. Participants decide on most significant ideas between them.

4. Participants write ideas on colored 5-1/2 x 8-1/2 sheets with markers. Instruct them as follows:

   **WRITE BIG
   ONE IDEA PER CARD
   3-5 WORDS PER CARD**

5. Facilitator calls for ideas in about 3-4 rounds. Ideas go up randomly.

6. Participants pair, then cluster, ideas that represent similar pieces of the vision. Ideas can be clustered under value-less symbols like boxes or circles.

7. Facilitator asks for additional ideas not included.

8. Participants name the clusters.

See illustration of cardstorming on next page.

ACTIVITY:
Trust Builders

Trust is an essential element in creating a safe environment for successful collaborative work. Checking in on trust levels can be important to keep a group engaged during implementation. This is especially true when you set about the difficult task of sharing resources.

Instructions:

Make a personal list of what creates feelings of trust for you and what destroys that feeling of trust. Draw from both your personal and work experience. Share your list with a partner and/or with the group. The activity comes from Shirley DicKard, coordinator of the Camptonville Collaborative in Yuba County.

TRUST BUILDERS	TRUST BUSTERS
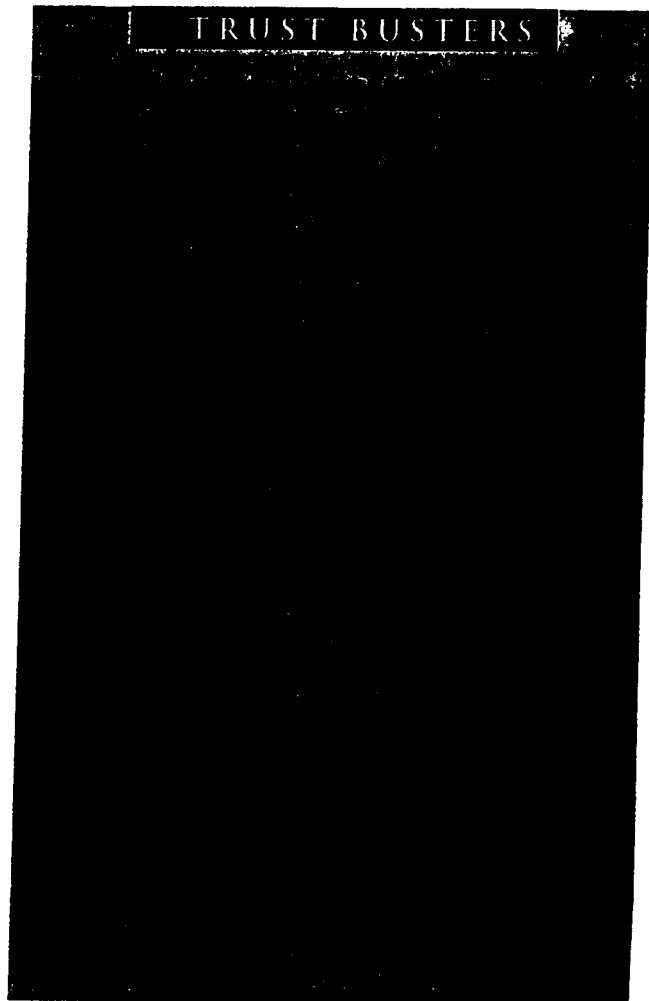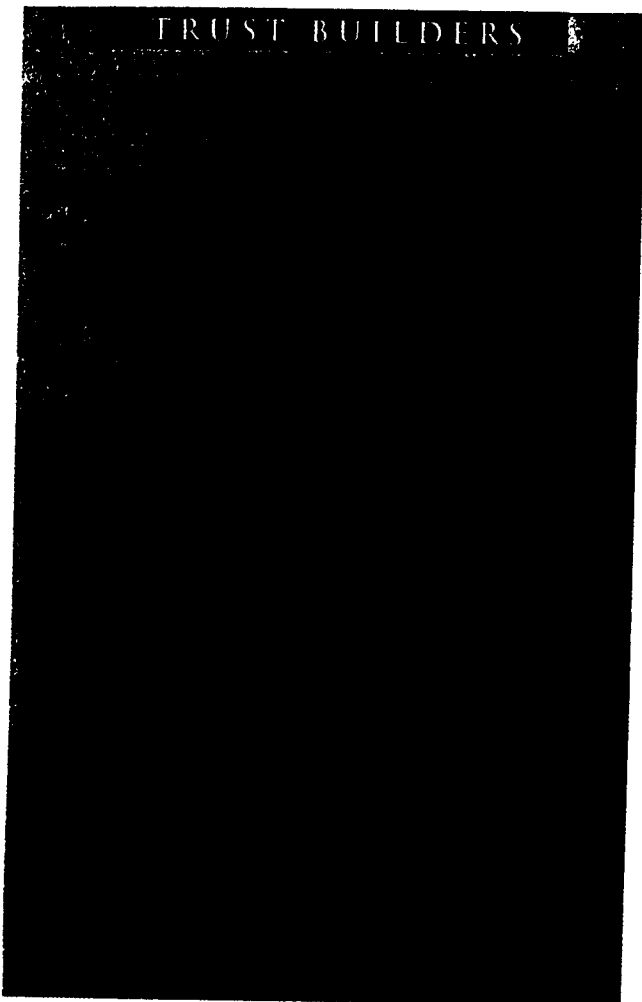
ACTIVITY:
Mapping the Backroads — Using Local Associations to Help Administer Capacity Inventories[21]

During planning you began to map local associations. In implementation, you want to be sure those assets are used.

Steps:

1. Use the worksheet below to "map your way in."
2. Use a local association meeting to inventory the gifts and capacities of its membership.
3. Match those capacities with the resources still needed to carry out your action plan.

Remember: Associations are small voluntary groups of folks just waiting to be asked to help. Here are some examples:

- *cultural groups*
- *social groups,*
- *church groups*
- *youth groups*
- *senior groups*
- *neighborhood improvement groups*
- *service groups*
- *men's and women's groups*

List your local associations:
(Begin with those that would be most helpful in administering the capacity inventory you have designed, but don't limit yourself).

_____

_____

Map your way in:

Contact:
_____

Phone #:
_____

Regular Meeting Date:
_____

How will they help?:
_____

Next steps:
_____

ACTIVITY:

Conducting a Collaborative Self-Assessment

Instructions:

1. Begin with this list of indicators of a well-functioning collaborative:
   - The group is representative of the community.
   - All are welcome and included.
   - When the group gets together, everyone participates in discussion.
   - Everyone knows how decisions are made and participates in decision making.
   - Everyone agrees to a set of common goals and directions.
   - Responsibility is jointly shared to reach those goals.
   - The talents and capacities of all members are utilized.
   - Leadership is shared.

2. Add to the list as your membership sees fit. Put down what is important to your group.

3. Determine your strengths, challenges and actions by asking for specific evidence that your collaborative is working this way.

4. See guidelines for facilitating and recording the self-assessment process on page 73.

Conducting a Collaborative Self-Assessment

Facilitating and Recording Guidelines

1. Use three flipcharts side by side.

2. Facilitator records Strengths while facilitating discussion.

3. Recorder records Challenges as they come up.

4. When Strengths and Challenges are named, Recorder records the Action and the name of the person willing to take the Lead.

Rationale:

The purpose of doing a self-assessment as a facilitated conversation is to come up with specific evidence that demonstrates success or continued challenges.

For example, a question might be, "How do we insure participation among our membership?"

Responses should be in the form of specific evidence such as: "We use cardstorming (see pages 28-30) to ensure participation by all members in planning sessions. This would be evidence. Record it as a Strength.

In this conversation style, the free flow of ideas may result in participants naming difficulties the collaborative is having in this area. An example of this kind of response would be: "You know, we haven't done enough about translating information at meetings." We record this as a Challenge.

Because we always want to build on our strengths to overcome our challenges, recording these simultaneously facilitates the next level of discussion, which is Action.

Record an Action and ask for a person who is willing to take the Lead. The collaborative can then devise a plan to address its challenges.
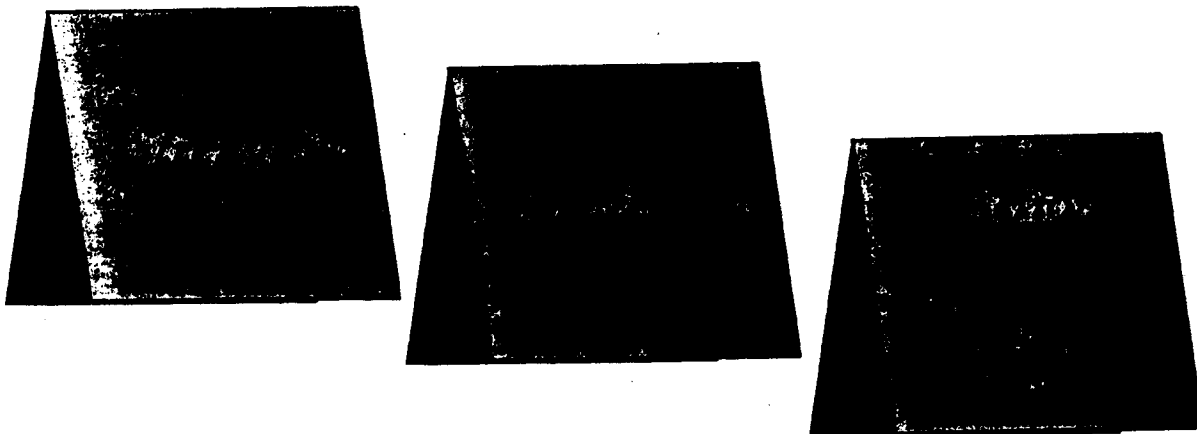
C'VILLE NEIGHBORHOOD NETWORK

What is the Neighborhood Network?
People in Camptonville have a wealth of skills and talent gained from work, home or just plain living. The Network is a way to connect those who want to volunteer, trade or be paid to help, with those who want services. These are connections that strengthen our community.

What can you share with others?
What do you need?

Complete this inventory of your skills and talents and return it to:
Name of Coordinator
Network
Address, City, State, Zip and Phone.

Your Information:

Name: _____

Address: _____

Phone: _____Best time to call: _____

Age group (circle one)   under 18   over 18

I give my permission for the Resource Network to enter my information from this inventory into the C'ville Neighborhood Network.

Signed: _____ Date: _____

List your business/service in the "2000 Gold Pages".

Name: _____

Phone: _____

(you will be contacted when we begin preparing the next edition)

CAMPTONVILLE

Please check one or more of the spaces next to the item that you would be willing to volunteer, barter, or be paid to do:

	willing to volunteer	I AM willing to barter (trade services for other services)	willing to be paid
EDUCATION & YOUTH Tutor children			
Listen to a child read aloud			
Read to children			
Work in a literacy program			
Help in the school library			
Help in a child's classroom			
Help in the cafeteria			
Chaperone dances			
Help w/Club Live			
Boy/Girl Scouts			
Parents Club meetings			
Fund-raisers			
C'Ville Olympics			
Graduation			
Year-end picnic			
Back-to-school night			
Walk-a-thon			
Twilight School Teach a class, describe:			
Help w/sign-ins			
Make snacks			
Other			
RECREATION Team sports type ( )			
Aerobics			
Gymnastics			

Please check one or more of the spaces next to the item that you would be willing to volunteer, barter, or be paid to do:

	willing to volunteer	I AM willing to barter (trade services for other services)	willing to be paid
RECREATION CONT. Swimming			
Martial Arts			
Volleyball			
Tennis			
Chaperone a field trip			
Board games			
Bingo			
Golf			
Life Guarding Certified? ( )			
Running/track			
Outdoor (hiking, fishing, biking, camping)			
Other			
THE ARTS Storytelling activities			
Drawing or painting			
Ceramics			
Photography			
Singing			
Theater/acting			
Musical instrument Type ( )			
Dance, Type ( )			
Crafts, Type ( )			
Poetry/writing			
Other			
HOME ARTS Teach cooking			
Cake decorating			
Catering			

Please check one or more of the spaces next to the item that you would be willing to volunteer, barter, or be paid to do:

	willing to volunteer	I AM willing to barter (trade services for other services)	willing to be paid
HOME ARTS CONT. Small events			
Large events			
Hairdressing/cutting			
Manicuring			
Sewing/altering			
Quilting			
Knitting/crocheting			
Teach gardening			
Parenting skills			
Parent support groups			
Teach budgeting			
Teach housekeeping skills			
Teach nutrition			
Pet grooming			
Other			
HOME MAINTENANCE/ CONSTRUCTION Clean chimneys			
Clean gutters			
Painting			
Yardwork/mowing lawns			
Pruning fruit trees			
Firewood (stacking, cutting, hauling)			
Garden maintenance			
Watering			
Brushing/chipping			
Snow removal			
Furniture moving			
Furniture repair			

Please check one or more of the spaces next to the item that you would be willing to volunteer, barter, or be paid to do:

	willing to volunteer	I AM willing to barter (trade services for other services)	willing to be paid
HOME MAINTENANCE/ CONSTRUCTION Window washing			
Housecleaning			
Repair work			
Demolition			
Tile work			
Drywall and tape			
Plumbing			
Electrical			
Roofing			
House sitting			
Pet sitting			
Other			
HEALTH/HOME HELP Care for elderly/ homebound			
Respite care			
Visit or call someone who is homebound			
Housekeeping-Lice control assistance			
Home Health Care Any license? _____			
Cook and deliver meals for someone in need			
Give to a family in need:			
Food			
Clothing			
Money			
Household items			
Holiday basket items			

Please check one or more of the spaces next to the item that you would be willing to volunteer, barter, or be paid to do:

	willing to volunteer	I AM willing to barter (trade services for other services)	willing to be paid
HEALTH/HOME HELP Drive someone to an appointment in town			
Drive a senior to the NSJ luncheon			
Do errands for someone in need			
Other professional health services:			
Other			
OFFICE/BUSINESS Typing			
Bookkeeping			
Computer skills			
Organize and plan special events			
Write articles for *The Courier*			
Help staple *The Courier*			
Videotape special events			
Video-editing			
Work on a website			
Design flyers, posters, ads, etc.			
Distribute fliers			
Grant writing			
Other			
COMMUNITY Action Teams:			
Health			
Recreation			
Children			
Communication			

*Please check one or more of the spaces next to the item that you
would be willing to volunteer, barter, or be paid to do:*

	willing to volunteer	I AM willing to barter (trade services for other services)	willing to be paid
COMMUNITY Seniors			
Economic Development			
Participate in *Make a Difference Day*			
Work on plans for a Community Center			
Help at the annual Fire Department Picnic			
Other			
CHILD CARE Are you licensed? Type _____			
Care for babies (under 1 year)			
Care for children (1-6 years)			
Care for children (7-13 years)			
Operate a home day care			
Baby-sitting (I am a teen or adult)			
Foster care			
Other			

I am interested in the following :
(Please check one or more)
_____ Becoming a licensed childcare provider
_____ Children's Playgroup
_____ Preschool
_____ Becoming a licensed Foster Care Home
_____ Taking a baby-sitting class
_____ Other _____

Do you have a skill or talent that's not listed? Tell us about it!

Working Together:
A Profile of Collaboration

WORKING TOGETHER:
A PROFILE OF COLLABORATION

THE INSTRUMENT

The research underlying this instrument has been published in:
   Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference by David
   D. Chrislip and Carl E. Larson Jossey-Bass, 1994

OMNI Institute has been using the instrument since 1992 in the evaluation and support of
collaborative groups. For more information please give us a call:

Laurie Larson
OMNI Institute
899 Logan Street, Suite 600
Denver, CO 80203
303-839-9422 Ext. 23
800-279-2070 Ext. 23
FAX 303-839-9420
e-mail: llarson@omni.org

WORKING TOGETHER:

A PROFILE OF COLLABORATION

The purpose of this booklet is to record your opinions about items that measure collaboration effectiveness. Your honest responses to these items will be extremely helpful. Your responses will be statistically summarized and displayed, along with the responses of others, without identifying you individually.

Collaboration Identification:
You are a member of a group. The group may be called a partnership, consortium, or coalition. The group exists to deal with one or more concerns, issues, or goals. The name of the group is below. You will be asked to report the extent to which certain items are true or not true of your group. As you respond to each of the items in this booklet, please keep in mind the group you are describing.

NAME OF THE GROUP: _____

Instructions:
Items are grouped into five categories. To the left of each item is a scale for recording your responses. Read the item, think about the extent to which it describes your group, and fill in the appropriate circle.

True	More True Than False	More False Than True	False	
				The Context of the Collaboration
○	○	○	○	1. Now is a good time to address the issue about which we are collaborating.
○	○	○	○	2. Our collaborative effort was started because certain individuals wanted to do something about this issue.
○	○	○	○	3. The situation is so critical, we must act now.

True	More True Than False	More False Than True	False	
				The Structure of the Collaboration
◯	◯	◯	◯	4. Our collaboration has access to credible information that supports problem solving and decision making.
◯	◯	◯	◯	5. Our group has access to the expertise necessary for effective meetings.
◯	◯	◯	◯	6. We have adequate physical facilities to support the collaborative efforts of the group and its sub-committees.
◯	◯	◯	◯	7. We have adequate staff assistance to plan and administer the collaborative effort.
◯	◯	◯	◯	8. The membership of our group includes those stakeholders affected by the issue.
◯	◯	◯	◯	9. Our membership is not dominated by any one group or sector.
◯	◯	◯	◯	10.Stakeholders have agreed to work together on this issue.
◯	◯	◯	◯	11.Stakeholders have agreed on what decisions will be made by the group.
◯	◯	◯	◯	12.Our group has set ground rules and norms about how we will work together.
◯	◯	◯	◯	13.We have a method for communicating the activities and decisions of the group to all members.
◯	◯	◯	◯	14.Our collaboration is organized in working sub-groups when necessary to attend to key performance areas.
◯	◯	◯	◯	15.There are clearly defined roles for group members.

True	More True Than False	More False Than True	False	
				Collaboration Members
○	○	○	○	16.Members are more interested in getting a good group decision than improving the position of their home organization.
○	○	○	○	17.Members are willing to let go of an idea for one that appears to have more merit.
○	○	○	○	18.Members have the communication skills necessary to help the group progress.
○	○	○	○	19.Members of the collaboration balance task and social needs so that the group can work comfortably and productively.
○	○	○	○	20.Members are effective liaisons between their home organizations and the group.
○	○	○	○	21.Members are willing to devote whatever effort is necessary to achieve the goals.
○	○	○	○	22.Members monitor the effectiveness of the process.
○	○	○	○	23.Members trust each other sufficiently to honestly and accurately share information, perceptions and feedback.

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True	More True Than False	More False Than True	False	
				The Collaboration Process
○	○	○	○	24. We frequently discuss how we are working together.
○	○	○	○	25. Divergent opinions are expressed and listened to.
○	○	○	○	26. The process we are engaged in is likely to have a real impact on the problem.
○	○	○	○	27. We have an effective decision making process.
○	○	○	○	28. The openness and credibility of the process help members set aside doubts or skepticism.
○	○	○	○	29. There are strong, recognized leaders who support this collaborative effort.
○	○	○	○	30. Those who are in positions of power or authority are willing to go along with our decisions or recommendations.
○	○	○	○	31. We set aside vested interests to achieve our common goal.
○	○	○	○	32. We have a strong concern for preserving a credible, open process.
○	○	○	○	33. We are inspired to be action-oriented.
○	○	○	○	34. We celebrate our group's successes as we move toward achieving the final goal.

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True	More True Than False	More False Than True	False	
				The Results of the Collaboration
○	○	○	○	35. We have concrete measurable goals to judge the success of our collaboration.
○	○	○	○	36. We have identified interim goals to maintain the group's momentum.
○	○	○	○	37. There is an established method for monitoring performance and providing feedback on goal attainment.
○	○	○	○	38. Our group is effective in obtaining the resources it needs to accomplish its objectives.
○	○	○	○	39. Our group is willing to confront and resolve performance issues.
○	○	○	○	40. The time and effort of the collaboration is directed at obtaining the goals rather than keeping itself in business.

What one change would most improve the effectiveness of this collaborative effort?

The research underlying this instrument has been published in:
Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference by David D. Chrislip and Carl E. LarsonJossey-Bass, 1994

OMNI Institute 1992
899 Logan Street, Suite 600
Denver, CO 80203
(303) 839-9422

OMNI Institute has been using the instrument since 1992 in the evaluation and support of
collaborative groups. For more information please contact us at:

OMNI Research and Training, Inc.

899 Logan Street, Suite 600
Denver, CO 80203
(303) 839-9422
800-279-2070
FAX (303) 839-9420

OMNI Institute 1992
899 Logan Street, Suite 600
Denver, CO 80203
(303) 839-9422

WORKING TOGETHER:
A PROFILE OF COLLABORATION

ADDENDUM

Please answer the following questions in the spaces provided.

1. Based on this and/or prior collaborations, what recommendations do you have for improving this group?

_____

_____

_____

_____

_____

2. What do you think is working well in this collaboration?

_____

_____

_____

_____

_____

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3. What is your incentive now for participating is this collaboration?

_____

_____

_____

_____

_____

4. What could we do to increase participation for others?

_____

_____

_____

_____

_____

AN INTRODUCTION
TO THE PURPOSE AND VALIDATION OF
WORKING TOGETHER: A PROFILE OF COLLABORATION

How can Working Together: A Profile of Collaboration be utilized?

- ❖ Gain insights about member perceptions of how well the collaborative group is operating.

- ❖ Surface specific areas of need for action planning.

- ❖ Use as a baseline measurement of the collaborative group's current effectiveness.

- ❖ Serve as an evaluation tool to monitor progress.

What makes Working Together: A Profile of Collaboration unique?

- ❖ It is statistically valid and reliable.

- ❖ It accurately measures perceptions of issues known to be important for collaboration effectiveness.

- ❖ It gives feedback of member perceptions and feelings about the collaborative group.

How do we know the instrument measures collaborative effectiveness?

We learn about things by measuring them. Some things are easier to measure than others. Things such as age, sex, or income, suggest obvious questions. We ask a person a question. The answer to the question is the measure. Some people answer our questions accurately. Some people answer inaccurately because they misunderstand the question, they do not know the answer, or they lie. When the answer is not accurate, we have measurement error. Measurement error is a problem because it means we are unable to learn about the thing by measuring it.

Complex things (such as collaboration, drug use, family bonding, and attitudes toward violence) cannot be measured accurately by asking only one question. To measure complex things we select and ask several questions. The response to each question provides some information about the thing.

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Scaling is measuring a thing using many questions. A scale is a collection of questions where each question is trying to measure the same thing. As you may have guessed, measurement error is also a problem when we use a scale. No question is perfect, and even all the questions taken together still will not guarantee we will accurately measure what we are trying to measure.

The fight against measurement error takes time, dedication and money. There are two types of measurement error: validity and reliability. First we will discuss validity.

Think of measuring a thing as hitting the bull's eye on a target. If we have a tight pattern but we are off the bull's eye, we have low validity. With low validity, we are measuring some "thing" but it is not our "thing." We used face validity to help us decide if we are measuring what we intend to measure. Face validity is grouping questions together that appear to measure the same thing. In this instrument, we ` list all the questions under each scale so that you can judge for yourself whether we have face validity.

Once we had the questions grouped into scales by face validity, we wanted to explore the second type of measurement error called reliability. Reliability means that each question is measuring the same thing in the same way. Think of a reliable car. It goes anytime and anywhere. It is reliable, giving you consistently good results.

Think again of measuring a thing as hitting the bull's eye on a target. If we are on target but we do not have a tight pattern, we have low reliability. We may be measuring what we want to measure, but not very accurately.

We selected Cronbach's Alpha as our standard for deciding the reliability of our scales. Cronbach's Alpha is not the only technique but it is well-regarded and, therefore, enjoys widespread use among researchers. Cronbach's Alpha is based on the average correlation of questions within the scale. Correlation means to vary together. As the affirmative response to one question goes up, the affirmative response to the other questions goes up. The correlation between questions can vary between 0.00 and 1.00, with 0.00 meaning no correlation and 1.00 meaning perfect correlation. Cronbach's Alpha averages the correlations (hear that computer cranking) and comes up with a measure between 0.00 and 1.00.

A high Cronbach's Alpha suggests low spatter around the bull's eye. If all questions were perfectly correlated with each other, the Cronbach's Alpha would be 1.00. If the questions had no correlation with each other, the Cronbach's Alpha would be 0.00. We use the Cronbach's Alpha to tell us if the scale is good enough to use. Do

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we believe the scale measures what we want to measure? To make this decision, we need some guidelines. Well-established decision rules follow:

The Interpretation for various levels of Cronbach's Alpha

1.00 =   Too good to be true-look at the questions, they must be identical.
.90-.99 =   Incredibly good-celebrate.
.80-.89 =   Very good and worth a good party.
.70-.79 =   Acceptable but hold off on partying.
.60-.69 =   Be worried, the measurement error is pretty high.
below .60 =   You really don't have a scale - stick to the items.

The Scale Reliability of the Working Together: A Profile of Collaboration©

Scale with accompanying Cronbach's Alpha

The Context of the Collaboration =   .46
The Structure of the Collaboration = .77
Collaboration Members =   .87
The Collaboration Process =   .85
The Results of the Collaboration =   .80

The alpha for the scale labeled "The Context of the Collaboration" is two low to assume that the scale is reliable. This is due to the low number of items in the scale and the tendency for respondents to rate the items very high. The items in this scale should be viewed independently.

Although we feel good about the reliability of our scales, the battle against measurement error is not over. You may be concerned that we did not measure what we say we are measuring. We have reproduced the questions within our scales so that you can judge the validity of the scale for yourself. Our goal is high validity, high reliability, and low measurement error.

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Denver, CO 80203

Working Together: A Profile of Collaboration

DIRECTIONS FOR SCORING AND ANALYZING DATA

Step 1: To assess the group, the circles must be converted into numbers, called "scores."

- If the answer is True, the Score is 4.
- If the answer is More True Than False, the Score is 3.
- If the answer is More False Than True, the Score is 2.
- If the answer is False, The Score is 1.

Step 2: Determine the average Group Member Score for each item.

- For each item, record the scores of all the group members
- Total the scores for each item
- Average the scores by dividing the total by the numbers of members who rated the item

Example: Item # 1

Member #	Score
1	4
2	3
3	
4	4
5	2

Total Score = 13
Member rating = 4
Average Score = 13/4 = 3.25

Note: The average response for each item can be displayed graphically by listing the questions in the "Y" axis and calibrating the "X" axis from 1 to 4. Draw a Bar to represent the average score for each item.

Step 3:   Determine the average Group Member Score for each Category.
-Add the average Score for each item in the Category and divide by the number   if items.

Example: Category 1 – The Context of Collaboration

Item #	Average Score
1	3.25
2	3.61
3	3.00

Total Score = 9.86
Items = 3
Average Category Score = 9.86/3 = 3.29

Note: The Average category scores can be displayed on a separate graph, or below the   item scores for each category.