

# Systems Improvement

Training and Technical Assistance Project

## **BUILDING SUSTAINABILITY** in Demonstration Projects for Children, Youth, and Families



Prepared by the Institute for Educational Leadership  
with funding from the Office of Juvenile Justice and  
Delinquency Prevention, Office of Justice Programs,  
U.S. Department of Justice



## **About IEL**

For more than thirty-five years, the Institute for Educational Leadership (IEL)—a non-profit, nonpartisan organization based in Washington, DC—has worked to achieve better results for children and youth. At the heart of our effectiveness is our unique ability to bring people together to identify and resolve issues across policy, program and sector boundaries. As a natural outgrowth of our work, we have created and continue to nurture diverse networks across the country.

Today, IEL is working to help individuals and institutions increase their capacity to work *together*. We are building and supporting a cadre of diverse leaders, strengthening the capacity of education and related systems, and informing the development and implementation of policies. Our efforts are focused through five programs of work: *Developing Leaders*; *Strengthening School-Family-Community Connections*; *Governing*; *Connecting and Improving Systems that Serve Children and Youth*; and *Improving Preparation for Work*.

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## **Project Staff**

Martin J. Blank, Project Manager  
S. Kwesi Rollins, Project Director  
Carlo Ignacio, Research Associate

## **For more information on the SITTAP initiative or the Toolkit series:**

Carlo Ignacio, Research Associate  
Institute for Educational Leadership  
1001 Connecticut Avenue, NW, Suite 310  
Washington, DC 20036  
202.822.8405, ext. 61 (voice)  
202.872.4050 (fax)  
[ignacioc@iel.org](mailto:ignacioc@iel.org) (email)  
Please visit our website: [www.iel.org](http://www.iel.org)

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## **Background on SITTAP and the Toolkits**

### **Background on SITTAP**

In an era of devolving federal authority, there is growing recognition that federal agencies must do more than merely provide services or administer programs; they must find better ways of working with states and communities to improve the well-being of children, youth and families.

The Systems Improvement Training and Technical Assistance Project (SITTAP) reflects that shift and the on-going commitment of the Office of Juvenile Justice and Delinquency Prevention (OJJDP) to developing community-based collaborative solutions to prevent and control juvenile crime and victimization by reorganizing and reforming service delivery systems. These comprehensive community initiatives are collaborative efforts in which representatives from a broad cross-section of the community identify their most pressing problems, make decisions about how to tackle them, set goals, and hold themselves accountable for achieving results.

Funded by OJJDP, the project is operated by the Institute for Educational Leadership in partnership with the National Civic League. The SITTAP initiative is designed to develop, expand, and enhance the skills and capacities of juvenile justice/child welfare systems and communities to make systemic changes leading to an integrated system of care for youth at-risk, delinquent youth, and their respective families. While the project serves a number of OJJDP grantees, the primary target for services is 11 grantees under two initiatives: Safe Kids/Safe Streets and SafeFutures.

### **About this Toolkit**

This toolkit is designed to provide ideas and linkages to other resources that will enable demonstration sites to build on their success and sustain effective efforts beyond the life of the grant. It offers case study examples and a variety of tools communities may want to use as they consider plans for sustaining, replicating or “scaling-up” reform efforts.

This toolkit is one of several resources developed to strengthen and sustain the capacity of OJJDP sites served by SITTAP to achieve and sustain their systems reform goals and effectively address the related challenges. Other toolkits will address topics such as: Building Community Partnerships; Using Data Effectively; and Family-Centered, Cultur-

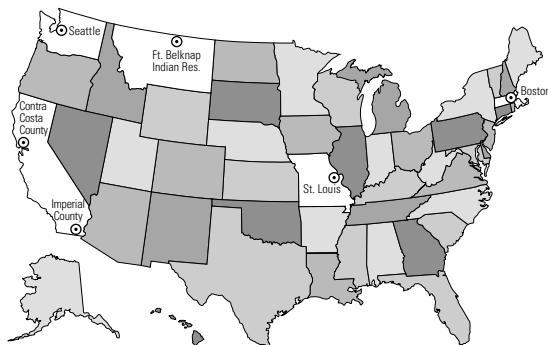
ally Competent Partnerships. These resources are also designed to educate and inform other communities and the field about how they can more effectively pursue community-based systems reform.



### **Safe Kids/Safe Streets**

The Safe Kids/Safe Streets initiative applies comprehensive, community-wide strategies to the reduction of child abuse and neglect. Building on a multifaceted strategy grounded in research about the causes and correlates of juvenile delinquency as well as effective prevention and intervention techniques, the program explores the

linkages between child maltreatment, domestic violence and juvenile delinquency. Safe Kids/Safe Streets challenges communities to improve community response to the abuse and neglect of children and adolescents in order to break the cycle of childhood victimization and later delinquent and criminal behavior. Safe Kids/Safe Streets is being implemented in Chittenden County, Vermont; Kansas City, Missouri; Huntsville/Madison County, Alabama; Toledo, Ohio; and by the Sault Sainte Marie Tribe of Chippewa Indians in Michigan.



### **SafeFutures**

The SafeFutures Program to Reduce Juvenile Delinquency and Youth Violence (SafeFutures) is a 5-year demonstration project that seeks to prevent and control youth crime and victimization through the creation of a system of care in communities. This system of care will enable communities to respond to the needs of

youth at critical stages in their development by providing them with appropriate prevention, intervention, and treatment services and imposing graduated sanctions. Grantees were selected to represent urban, rural, and American Indian communities that demonstrated some prior experience with and a continuing commitment to reducing crime and victimization through comprehensive community assessments, strategic planning, and interagency collaboration. SafeFutures is being implemented in six communities: St. Louis, Missouri; Boston, Massachusetts; Contra Costa County, California; Imperial County, California; Seattle, Washington; and Fort Belknap Indian Community, Montana.

# Introduction

In recent years, many communities, states, and the federal government have successfully initiated comprehensive community-based service systems that incorporate prevention-oriented, family-centered, locally controlled services to address many of the challenges facing families and their communities. Since 1991, Congress has made an unprecedented attempt to devolve federal governance and financial responsibilities for children and family services to the states, passing at least 12 laws that encourage the development of more comprehensive services. States have been given, and are asking for increased responsibility to design, administer, and fund services and supports for children and families, restructuring existing resources to pay for them. In some cases, a single initiative can dramatically reshape entire governance, financing, and administrative systems.

Examples of successful demonstration or pilot programs are increasingly evident in communities and states across the country. However, those that successfully broaden their impact and last beyond initial funding periods are few. Indeed, Lisbeth Schorr,<sup>1</sup> describes the record of demonstration efforts to repeat, sustain, and “scale up” their programs’ successes as “dismal.” Given increasing understanding and agreement regarding the characteristics of effective practice and programs, why do model demonstrations have such difficulty sustaining gains and impacting the larger human services system? One key reason, according to Schorr, is the failure to recognize and proactively address the almost certain collision course between the demonstration project’s attempt to broaden and institutionalize their models and the norms of the traditional/prevaling service system related to funding, accountability, management/governance, public awareness and buy-in. This toolkit will examine these issues and offer approaches and resources to help sustain effective pilot and small-scale innovations.





# 1

## SUSTAINABILITY

### What Does It Mean? and Why Is It Important?

Sustain, derived from Latin *sustinere*, to hold up, may be defined as follows: 1) to keep in existence, keep up, maintain or prolong; 2) to bear up against, endure, withstand; 3) to uphold the validity or justice of.<sup>2</sup> Sustainability is arguably one of the most important aspects of any comprehensive demonstration project, but is often a source of confusion that may not receive full attention until the end of funding is imminent. Sustainability is multidimensional, encompasses a variety of resources, actions and processes, and may be reflected in a variety of ways:

- ◆ The ‘institutionalization’ of all or part of a demonstration project’s components or activities into the larger service system
- ◆ The catalyst that mobilizes and leads reform across the larger service system
- ◆ The continuation of all or components of the demonstration project as a separate entity within the larger service system, through an ongoing funding arrangement
- ◆ The transformation of new policies, governance structures, fiscal arrangements and service practices into established, accepted ways of “doing business.”

Demonstration projects develop and incubate models or solutions to ineffective and inefficient human service practices. The resulting innovations and successful programs must be continued and broadened if they are to reach more than a token number of children, families and communities. Sustaining demonstration projects is important for several reasons:

- ◆ To continue activities with sufficient intensity and longevity to demonstrate credible outcomes
- ◆ To add to the knowledge base of reform—providing models, mapping mistakes and successes, so that others can build upon lessons learned

- ◆ To make permanent successful innovations and extend benefits of reforms to all prospective children, youth and families.

### **Attributes That Contribute To Sustainability<sup>3</sup>**

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- ◆ **Project is complementary to other program efforts**
- ◆ **Project demonstrates outcomes and fiscal responsibility**
- ◆ **Project combines replication with flexibility**
- ◆ **Project makes good use of outside intermediaries**
- ◆ **Project establishes new partnerships between formal systems and community-based organizations**

***RESULT: Project is institutionalized, systematically continued as part of overall service system.***

# 2

## TAKING STEPS TO BUILD SUSTAINABILITY

Project staff and stakeholders should begin planning for sustainability from the day that the project is funded, systematically identifying common goals and routinely measuring progress toward sustainability for all project activities.

### Who Should Participate?

One of the first issues to be considered is the identification of participants in sustainability planning and implementation. Participation should generally include persons who represent internal and external stakeholders: internal stakeholders are those who impact and are impacted directly and immediately by the project, and external stakeholders are those who influence and are impacted more indirectly.<sup>4</sup> Both groups are instrumental in promoting or hindering sustainability.

Internal stakeholders include:

1. Project administrators who can guide, support and staff the planning and implementation process, and gain valuable information regarding project functioning
2. Representatives of front-line project staff and their supervisors
3. Representatives of the hierarchy within the internal host.

External stakeholders include:

1. Representatives of family advocacy and support groups
2. Representatives of public or private service agencies of other programs
3. Citizens and representatives of informal and nonprofit resources (faith community, recreation, neighborhood supports, family members)
4. Local and state decision/policy-makers.

Consistent with planning any effective discussion and planning group, project staff must consider the balance between inclusive representation, the use of internal or external facilitators, and the number of individuals

who can productively and efficiently make decisions. Planning for stakeholder participation should consider the practicalities of group process with strategic inclusion.

## **Building Understanding and a Common View**

Once participants have been identified and convened, it is important to fully examine and discuss sustainability in order to build common understanding, vision and commitment. Some of the questions that participants in demonstration projects have found helpful in planning for sustainability include:

1. How do we want to view our project five years from now?
2. How do we want others to view our project five years from now?
3. How do we define sustainability?

***Does sustainability mean the continuation of the demonstration project's 'program' through refinancing, policy changes, governance changes or legislative action?***

***Does it mean that the project 'membrane' falls away, as it becomes a force for change in the larger community/system?***

4. What elements of our project must be continued in order for us to have successfully maintained the integrity of our original project goals?

***Must all project activities be continued? Why?***

***Must certain activities continue? Which ones? Why?***

5. Do we have a clear sense regarding the identity of our key internal and external stakeholders?

***Who are the stakeholders that we can count on to enable our sustainability?***

***How can we strategically engage our stakeholders in sustainability plans and implementation?***

***What roles can each play?***

6. Do our project goals and activities complement, duplicate, or conflict with existing programs or policies?

***Where do our project goals complement other programs or policies?***

***Where do our project activities complement other program activities?***

***Where do our project goals duplicate or conflict with other programs or policies?***

7. At this point in time, what is the most likely avenue for continuation for all or part of our project activities once the initial funding source and original demonstration project activities conclude?

***Where do our project activities duplicate or conflict with other program activities?***

8. What financial resources do we need to continue all or part of our activities?

***Will we seek additional one-time/grant funds?***

***What existing funding streams could support elements of our project activities?***

***Can we and do we want to integrate all or part of our activities into an existing, funded, initiative or program?***

***Can we gain sufficient support to obtain new local or state funds?***

***How will/can our stakeholders assist?***

9. Have we/can we demonstrate and disseminate information regarding outcomes, program and fiscal accountability that clearly demonstrate our success? How will/can our stakeholders assist?

## **Building the Plan and Promoting Buy-In**

Once participants have attained a common view regarding what to sustain, a systematic process is necessary to plan and implement goals and strategies, one that ensures common understanding, commitment, and momentum. Project leaders in the Kellogg Foundation's Rural America project<sup>5</sup> recommend that participants understand and agree on a commitment to "institutionalize," or work the project activities into the usual business of community agencies and organizations. Concrete plans and strategies must be developed and put in place to work toward sustainability. Some of the critical elements that should be addressed and steps taken include those outlined in following text.

## Sustainability “To Do List”

- ◆ **Find the ‘Right’ People**
- ◆ **Promote a Level Playing Field To Promote Inclusion and Honest Discussion**
- ◆ **Plan Early and Often**
- ◆ **Build Community Ownership**
- ◆ **Build Organizational Capacity and System Buy-In**
- ◆ **Maintain Momentum and Visibility**
- ◆ **Get the Word Out to Build the ‘Public Will’**

### Find the ‘Right’ People

- ◆ Search for individuals who have a shared/compatible vision, those who understand and believe in the project’s goals and activities.
- ◆ But don’t limit participation to the ‘usual suspects’—actively seek out and recruit family members, citizens and other individuals who have an interest in and a commitment to community action.

### TIPS



*Openly discuss the importance of open communication and respect for the opinions of each participant.*

*Discuss the importance of role clarity and work together to clearly define and clarify roles of all participants from the beginning, paying particular attention to lead roles for families and facilitator roles of staff.*

*Monitor for indications that a participant(s) is struggling with his/her role and respond quickly with support or assistance as needed.*

### Promote a Level Playing Field To Promote Inclusion and Honest Discussion

- ◆ Help all partners in the collaboration (family members, citizens, project staff, small non-profits as well as representatives of large agencies or businesses) feel equal and valued.
- ◆ Provide community partners with the training and support they need to develop leadership skills, enjoy and be successful participants (e.g., seminars, workshops, guidance and moral support).
- ◆ Establish an environment that allows healthy disagreements and expressions of misgivings.

## Plan Early and Often

- ◆ Be certain that every participant understands and agrees on the commitment to the project and its sustainability.
- ◆ Dedicate the time and effort needed to think through operational details in advance with collaborative partners—promote a proactive approach.
- ◆ Examine the ongoing ‘fit’ of expectations and responsibilities for each partner, and alter as needed to promote individual and project success.

### TIPS



*Clear up misunderstandings early.*

*Promote and model open and direct communication from the beginning to decrease potential difficulties in the future.*

## Build Community Ownership

- ◆ Local families/residents should take a strong lead role in defining, planning and implementing community action. Project staff should act as facilitators, not directors of the planning and action.
- ◆ Thoroughly study community strengths, resources. Assess the political environment, the community’s overall readiness to participate in an effective community action plan.
- ◆ Use demonstration projects as catalysts—pull community members together around the effort, build enthusiasm and learning so that participants can practice the skills needed to ‘institutionalize’ the project and capitalize on opportunities for community action projects in the future.

## Build Organizational Capacity and System Buy-In

- ◆ Engage, inform and actively involve top agency administrators, government and organization decision-makers. Ask them to serve as advisors, participate in planning or assessment, etc.
- ◆ Keep the project closely linked to existing community efforts and agency organizations. Projects that are seen as competitive, overly specialized, duplicative, or as ‘add-ons’ aren’t as likely to sustain.
- ◆ Develop and disseminate reproducible, tangible products that can contribute to knowledge in the field, toward replication/adaptation of project efforts. Include information regarding achievements and outcomes to build confidence in the project’s viability.

### TIPS



*Promote optimism, be patient, and don’t give up! Progress is incremental and not always readily evident.*

## **Maintain Momentum and Visibility**

One of the common difficulties experienced by collaboratives is in *maintaining* the active participation of collaborative representatives. It is important to set priorities that focus the initial vision into a practical work plan. The benefits of participation must outweigh the time and work burdens of one more meeting for busy people. Experienced community mobilization leaders understand the importance of scheduling well run meetings. (See Appendix D.)

## **Get the Word Out to Build the ‘Public Will’**

Public engagement is more than public education and awareness—it builds public support and the ‘will’ to actively address problems and create solutions. O’Donnell & Galinski describe the “Seven Lessons of Public Engagement”:<sup>6</sup>

- ◆ Public engagement campaigns take time and occur in stages:
  - Changing public awareness*
  - Changing behavior*
  - Engaging the public in action.*
- ◆ *Learn* how people currently view your issue through surveys, focus groups, or inviting comment.
- ◆ Target individuals and groups who have the power to bring about change—media, key stakeholders, families.
- ◆ Make clear the costs of taking action and the costs of *not* taking action on the issue.
- ◆ Develop different messages for different groups—know your target audiences.
- ◆ Take advantage of planned and unplanned opportunities, linking your message to current public priority concerns—timing and linking messages is critical.
- ◆ Engage “non traditional” messengers—identify effective messengers based upon their credibility and leadership positions, not necessarily by a professional affiliation that could be perceived as self-interest. For many communities, faith leaders are powerful messengers. Sports stars, entertainers and business leaders may also be strong messengers. Non-traditional messengers can help broaden and deepen the impact of your message to the public.



# 3

## BENEFITS AND CHALLENGES

Clearly, the benefits of sustaining successful demonstration projects are many:<sup>7</sup>

- ◆ Contributes to public confidence regarding government's ability to display good stewardship with public monies
- ◆ Expands professional growth and leadership opportunities that are associated with the development of best practices
- ◆ Promotes a view of children and youth in the context of their families, neighborhoods and communities, and as a view of children and families as entities with strengths and resources
- ◆ Promote a culture that is outcome rather than regulation oriented, mission driven, and collaborative, thereby expanding the range and effectiveness of available resources.

Among the many challenges related to sustaining demonstration projects are:

- ◆ Collaboration initially can be more time-consuming and more 'process oriented' than comfortable for many.
- ◆ Decision-making can be slower and more complex.
- ◆ It takes time to develop a base of knowledge related to the fiscal aspects of sustainability so that all potential opportunities are maximized. (See Appendix E for a list of commonly used terms related to match and funding in comprehensive community initiatives.)

The greatest challenge relates to understanding and preparing for the time when the project ceases to operate within the demonstration 'bubble' and seeks to inculcate its values, models and processes into the larger system. It is naive, but commonly believed, that doing the right thing for children, families and communities is sufficient to promote sustainability. The pattern for service providers, policy-makers and others to operate in separate 'silos' is decades old, thoroughly entrenched and challenging to overcome.

### **'ROCKS, PEBBLES AND SAND'**

**Todd Sosna, Ph.D., the director of the MISC Project in Santa Barbara, CA, provides a good analogy regarding how to maximize blended and enhanced funding: "Use categorical funds first when funding a service plan, as they are the most rigid. Use flexible funds last. Think of rocks, pebbles and sand—if you have a cup full of all three, empty the cup, and you want to refill it with the same amount—in order to make all the items fit, you first put in the rocks (rigid, categorical funding which is put in together, or blended); then put in the pebbles (enhanced or new funding which may still have mandated requirements, but is less rigid than the rocks/categorical); last the sand, of Flexible Funds that can fill in the gaps with non-traditional and wraparound approaches."**

The many benefits and challenges related to sustaining demonstration projects should be assessed at the initiation and throughout the operation of the effort. They may be direct, indirect, immediate or long term—and will likely change over time. Taking the time to take the pulse of collaborative partners is critical—the 'benefit ratio' must exceed the 'cost ratio' in order for partners to continue investing in the project and toward its sustainability.

## **Fiscal Strategies To Build Sustainability**

Boundaries between programs built up over the years by separate funding streams are a serious barrier to developing services that meet the real needs of children, youth and their families. Funding shapes available services. Changing funding is a powerful tool that can be used to change services. The delivery of more comprehensive, community-based services requires bringing funds together across programmatic lines, making them more flexible

and more available to local collaboratives. In *Financing Strategies to Support Comprehensive Community-based Services for Children and Families*,<sup>8</sup> O'Brien describes the efforts of states and communities across the country to change the financing of child and family services to support the development of comprehensive, community-based services.

### **Common Features of Refinancing Efforts**

- ◆ Collaboration across agency and department lines
- ◆ Funds from two or more traditionally separate programs blended together to broaden the service array
- ◆ Pooled funds made available to local collaborative entities for flexible use.

## **Making Existing Federal, State and Local Funds More Flexible**

- ◆ Funds may be integrated or pooled at the state level through waivers, administrative action (state or federal), or through informal agreement. For example:

***An array of funds dedicated to a variety of child and family services across agency departments at the state level may be redirected from individual agencies to community collaboratives who target a given population of youth services for integration.***

***A specific category of funds, such as out-of-home funds, may be pooled at the state level and directed to community collaboratives for a more focused target population (e.g., youth who are placed or at risk for placement out of the home).***

- ◆ Funds may be blended and pooled at the local level, with state support:

***Community collaboratives may target certain out-of-home and related funds from child welfare and juvenile justice to develop community-based services.***

***Local collaboratives bodies may need to apply to the state for participation as an integrated funding pilot project.***

- ◆ Counties may elect to out-station (temporarily relocate, reassign, or co-locate) staff from one agency to another, blend staff and fiscal resources, and create funding pools on a county level for a specific group of high-need youth and their families.

## **Redeployed/Redirected Funds (within established statutory limits and/or through regulatory waivers)**

- ◆ Funds may be redeployed for a *different purpose*. For example, out-of-home care funding is shifted to a community collaborative to develop services and supports that prevent out of home placements, and bring youth back into their homes and communities.
- ◆ Funds may be redeployed for a *different population* (related and usually broader). For example, out-of-home care funds support services for families.
- ◆ Funds may be redeployed in that they are spent by *different providers* or administrators. For example, Medicaid funds may be drawn down by staff across agencies that are credentialed/authorized as Medicaid providers.

## Maximized and Blended Funds

- ◆ Identify underutilized federal funds.

***Identify services that are currently funded with local or state funds that could be supported with federal funds instead. Dedicating federal categorical funds to appropriate local service activities can free up nonfederal funds for other uses.***

- ◆ Pool funds to use for federal match base.

***States and counties can combine services and resources funded 100 percent with local funds to cover match required by federal entitlement/benefits or federal grant funds.***

- ◆ Check entitlement eligibility across agency lines.

***Youth and families may be eligible for a variety of services or federal entitlements through several agencies and funding streams. Assess eligibility for all relevant categories for all family members.***

- ◆ Assess coverage of administrative costs related to collaborative teams through federal sources.

***Many federal entitlement/benefit programs require a collaborative/coordinated planning and service approach to increase efficiency. Assess the range of these requirements and link them to planning, assessment, training and/or evaluation costs through a comprehensive collaborative approach.***

## Use of Local Investments To Diversify Project Funding Base and Build Ownership

- ◆ Foundations

***A variety of local, state and national foundations dedicate funds and resources to youth, families and their communities. Even small investments can strengthen support and sustainability efforts. Pooled funds can be used as local match.***

- ◆ Private sector

***Seek to build public-private partnerships with local businesses. Even small in-kind donations, such as***

*restaurant vouchers for families, can often be counted as match, and serve to build community awareness and ownership. Most larger business have donation and 'giving' plans.*

◆ Community contributions

*Some states and grant programs (such as AmeriCorps) require local communities to provide a match for state or federal dollars to help build community ownership. These are often in-kind contributions.*

Table I lists examples of funding sources that some states and communities are redeploying to support comprehensive collaborative systems.

## **Building Support for Financial Reform**

Building support for financing reforms is critical. Often, the general public is unaware of the financial structure and burdens of public agencies. Strong leadership is required at local and state levels to obtain the support necessary to implement innovative funding strategies such as pooling funds. Some of the critical steps in this process include<sup>9</sup> (Dombro, et al. 1996):

- ◆ Clearly defining the need for and purpose of finance reform strategies
- ◆ Promoting public understanding of the issues
- ◆ Engaging the public in discussions about potential solutions
- ◆ Obtaining political support
- ◆ Developing winning political strategies
- ◆ Winning public and political endorsement.

# TABLE I

## Funding Sources

<p><b>State &amp; Local Residential Funds</b></p> <ul style="list-style-type: none"> <li>Child Welfare/Social Services</li> <li>Education</li> <li>Mental Health</li> <li>Juvenile Justice</li> <li>Developmental Disabilities</li> </ul>
<p><b>Federal Funds</b></p> <ul style="list-style-type: none"> <li>Title XIX (Medicaid) <ul style="list-style-type: none"> <li>• service categories</li> <li>• rehabilitation</li> <li>• Early Periodic Screening, Diagnosis, and Treatment (EPSDT) for screening, outreach and treatment costs</li> <li>• targeted case management</li> <li>• administrative funds</li> </ul> </li> <li>Title IV-A (TANF) <ul style="list-style-type: none"> <li>• administrative costs</li> <li>• service costs</li> </ul> </li> <li>Title IV-E (Child Welfare) <ul style="list-style-type: none"> <li>• child placement funds</li> <li>• training funds</li> </ul> </li> </ul>
<p><b>State &amp; Local Discretionary Funds</b></p> <ul style="list-style-type: none"> <li>Child Welfare/Social Services</li> <li>Education</li> <li>Mental Health</li> <li>Juvenile Justice</li> <li>Labor and Employment</li> </ul>
<p><b>State Flexible Funds</b></p> <ul style="list-style-type: none"> <li>Governor's or Cabinet funds</li> <li>General Funds</li> </ul>
<p><b>Federal Flexible Funds</b></p> <ul style="list-style-type: none"> <li>Social Services Block Grant</li> <li>Title IVB Subpart 1 and 11</li> <li>Child Care and Development Block Grant</li> <li>Community Services Block Grant</li> <li>Community Based Family Resource Program</li> <li>Substance Abuse Prevention and Treatment Block Grant</li> </ul>

# 4

## USING DATA TO PROMOTE SUSTAINABILITY

It is not uncommon for projects to delay evaluation during the initial phases of a demonstration project, or to neglect it altogether given the multiple and urgent demands of project activity implementation. In many cases, project participants may intuitively rely on the goodwill or aspirations of their efforts to sustain financial and public support. However, the quality and quantity of results is critical to ‘prove’ the value of collaborative projects and therefore broaden and sustain their accomplishments and impact. Public and private funders are increasingly stressing outcomes, accountability and benchmarks as a condition of continued support. Documenting success is especially important for demonstration projects—to educate and engage the public, build community ownership, and to hold themselves accountable to the families they seek to support.

Evaluation planning should have already begun before the demonstration project begins, helping collaboratives capture and document their process and results, and providing valid information to project participants, their funders, and community, including:

- ◆ Assessing project and progress in relation to its goals  
*Effective use of data helps encourage more focus and objectivity to project activities.*
- ◆ Informing decisions about continuing or ‘correcting’ particular approaches
- ◆ Promoting results-based accountability that can help build the ‘public will’ and engender political support.

There are few reliable evaluation designs available to measure the broad impact of comprehensive collaborative projects. However, those that are emerging often target sustainability, blending or pooling multiple funds, and lasting community impact as key indicators of a project’s success.<sup>10</sup> Lisbeth Schorr suggests the following strategies to build capacity in developing compelling data to support reform efforts:

- ◆ Systematically review existing data that can be used to support the project

- ◆ Assess the ease in measuring high-priority outcome information as many groups and agencies already collect data on issues like school attendance and performance, public safety, etc.

Other potential approaches:

- ◆ Seek out efforts of similar reform initiatives to measure more complex processes inherent in demonstrating success (e.g., neighborhood capacity improvement/results, caregiver satisfaction, etc.). Child welfare, health and mental health reform efforts may offer examples.
- ◆ Partner with local university research departments to explore available information and opportunities for collaboration around evaluation projects.

## Linking Systems Reform and Sustainability

Too often, strategies for sustaining an effort emerge late in the game once it is apparent that project funding will be discontinued. Sustaining, replicating or “scaling-up” systems reform efforts beyond the demonstration phase and over the long haul requires incredible perseverance. Like the individual components of any system, reform efforts can regress, shift directions and emphases, and move back and forth across dimensions.

In *Strategies to Achieve a Common Purpose*, Lisbeth Schorr<sup>11</sup> notes that demonstration projects and pilot programs don’t always lead to large-scale change: “There was a time when it generally was assumed that successful programs contained the seeds of their own replication... everybody believed that promising models would spread automatically.”

Sustainability planning is a dynamic process with similar elements and processes that parallel the reform effort itself:

- ◆ Identifying/involving key stakeholders
- ◆ Developing/maintaining a common vision
- ◆ Setting goals and establishing priorities
- ◆ Making data-driven decisions and evaluating progress.

As partnering agencies grapple with the complexities of connecting and improving systems that serve children, youth and families, its very clear that planning for sustainability must inform all stages of the process from its initial design through implementation and evaluation.





# **APPENDIX A**

## **Tools and Instruments**



# Glossary of Terms

## Understanding Basic Fiscal Terminology Related to Grant and Human Services Funding

It is important that every participant engaged in sustainability planning and implementation develop at least a rudimentary understanding of funding and match requirements so that all potential fiscal opportunities are maximized. Commonly used terms related to match and funding in comprehensive community initiatives include:

**Funding Streams**—the identity of a funding source according to its origin and/or mandate. For example, Medicaid is a funding stream that reimburses delivery of treatment services. Title IV-E reimburses delivery of certain training activities. Funding streams typically must support a particular set of requirements, mandates, or entitlements.

**Federal Funds**—any funds originating directly from federal government including those from the Comprehensive Community Mental Health Services for Children and Their Families Program administered by CMHS, and other funds through federal programs such as those from the Office for Juvenile Justice and Delinquency Prevention, Child Welfare Title IV-B and Title IV-E funds, Department of Education Office of Special Education Programs, etc.

**Non-Federal Funds**—any funds that are not federal (i.e., state, local, private). Some examples of non-federal funds include those from foundation grants such as Kate B. Reynolds, Robert Wood Johnston, state agency initiative funds such as (DSS) ‘Families for Kids,’ funds from State Offices of Juvenile of Justice, etc.

**Match**—generally, the non-federal contributions made available directly or through donations from public or private entities toward costs incurred in planning and implementing a federally funded grant. These contributions typically may be in cash or in kind.

**Cash Match**—non-federal dollars generated from revenue, from state or local allocations/appropriations, from foundation grants, or from donations.

**In-kind Match**—resources that may include time, plant (facility), equipment, or services, which are ‘fairly evaluated’ (equivalent market value or cost is assessed/assigned) contributed for purposes directly in support of planning and/or implementation of the grant. For example, staff from other child-serving agencies whose salaries are paid with state or local dollars can donate their time to collaborative planning. The proportion of their salary donated to this effort can then be counted as non-federal match. Use of donated space (e.g., meeting rooms) and equipment (e.g., copiers) can also be sources of in-kind match.

**Match Ratios**—the proportion or percentage of non-federal funds required to match federal dollars. For example:

- ◆ a 1:3 match generally indicates that for each \$3 of federal funds provided in the grant, \$1 of non-federal funds is required for match
- ◆ a 1:1 match requires not less than \$1 (non-federal match) for each \$1 of federal funds provided in the grant
- ◆ a 2:1 match indicates not less than \$2 (non-federal match) for each \$1 of federal funds provided in the grant.

**Blended funding**—the practice of blending or ‘weaving’ two or more funding streams in a way that maintains their categorical identity/mandate. Blending funds require practice change, but not necessarily program change. If staff from various agencies work together with a family in an integrated Child and Family Service Team, and blend their dollars to pay for services and supports, no program change is required and no dollars are actually exchanged. Each agency picks up the cost of service/support within the constraints of their existing mandates.

**Enhanced funding**—bringing more, or ‘new’ money into the community, such as grant funds or revenues previously inaccessible to a given agency now made accessible through a contract arrangement. For example, if an Area Program extends its Medicaid provider status to another child-serving agency via contract, that agency can draw down revenues that are new to its system, enhancing the total funds available for service in the community.

**Pooled funding**—the practice of merging funds that originate from separate funding streams into a common ‘pot’ which no longer belongs to any one individual entity. An example of pooled funding is Flexible Funds, where all participants combine dollars from more than one source for use. Flexible Funds are an effective strategy to promote the development and delivery of non-traditional services, supports, and wraparound approaches.

## Managed Care Terms

**Managed Care**—a type of health care delivery that emphasizes active coordination and arrangement of health services. Managed care typically involves three key components:

- ◆ oversight of the care given
- ◆ contract relationships with organizations of the providers giving care
- ◆ benefits or services covered/provided.

**Capitation**—1) The method of payment in which the provider is paid a fixed amount for each person served no matter what the actual number or nature of services delivered. 2) The cost of providing an individual with a specific set of services over a set period of time, usually a month or a year. Capitation puts a ‘lid’ on payments per person that otherwise might change under a fee-for-service system.

**Fee for Service**—after a provider renders a service, the health plan is billed and the consumer must pay the difference between provider charges and what their health plan pays.

**Carve-Outs**—a strategy in which a payer separates (“carves-out”) a portion of the benefit/service and hires a Managed Care Organization to provide these benefits. Many HMOs adopt this strategy because they do not have in-house expertise related to the service “carved out.” Mental health services (referred to as behavioral health) are often provided through a carve-out.



# Community Resource Mapping Inventory

## **A Planning Tool to identify formal and ‘informal’ community resources, assess duplication and build comprehensive, sustainable resources**

Planning for sustainability should begin early and continue as a priority throughout the life of a demonstration project. Given the depth of trust necessary for agencies to develop and sustain a comprehensive community-based initiative, collaborative governance structures offer the ideal venue to assess formal and resources, duplication, and opportunities to build a lasting comprehensive system of services for youth, families, their neighborhoods and community.

The first step in building a comprehensive sustainability and match structure is consensus among partners regarding their commitment to this effort. Once it is clear that all partners are on board, a Community Resource Mapping Inventory can be developed to assist the community in thinking about all the resources (e.g., services, staff, funds) currently being expended for children and youth that meet the (demonstration project) target population criteria. This process yields more than the completion of the inventory—it forces a dialogue that assists communities to see how they can continue their collaborative system of care process after start-up federal funds expire. The mapping inventory involves several basic steps that may be adapted according to the needs of each Collaborative:

### **1 Identify the geographic community.**

What communities and counties will participate? Reach consensus about current and future geographic boundaries for the system of care effort and make sure everyone is clear on the agreement.

### **2 Identify all currently participating organizations.**

Is everyone ‘at the table?’ It is important not to wait until every single entity is present to move forward, as long as there is consensus regarding critical mass—proceed. Work to ensure that collaborative is diverse in representation and includes non-traditional stakeholders such as business, schools, media, faith community,

family members and community-based service providers. Discuss why other partners are not currently participating and whether/ what strategies will be employed to get them there. Bring others to the table as possible in the future.

### **3 Discuss the description of the required target population.**

*Unbundle* the diagnosis requirements and reframe them around need. For example, each partner should assess their own ‘population’ for children and youth who a) have significant challenges in home, school or community related to unmet or ‘under-met’ mental health needs, and b) are receiving or need to receive the services of more than one public agency. This process helps eliminate the problem of agencies believing that this is solely a lead agency ‘program’ and increases the realization that there is a set of youngsters and families needing/accessing services across agencies.

### **4 Identify services/programs provided.**

Identify services/programs being provided by the participating organizations for these youngsters/families, *and* associated funding streams (e.g., Families for Kids, Special Education, Office of Juvenile Justice, etc.). Note: By now, duplication of services and programs should become more and more apparent.

### **5 Inventory each agency/organization’s expenditures.**

How much money, from what funding streams, are devoted to the services for these children, youth, and their families in a given year? Define/agree upon fiscal year or years. (This will probably require the direct or indirect participation of each agency/organizations finance department to ensure complete information.)

### **6 Identify funds expended but not fully matched.**

Identify funds expended but not fully matched with, or necessary for match with federal funds. (This will probably require the direct or indirect participation of each agency/organizations finance department to ensure complete information.)

### **7 Discuss spending resources collaboratively.**

Discuss resources that could be better spent if provided collaboratively (once areas of duplication have been identified), as well as the identification of federal fund maximization opportunities. For example, if a crisis-outreach service is needed, and more



than one agency provides some level of crisis-intervention, can a portion of funds dedicated to crisis services be combined (blended or pooled) across funding streams to develop a more responsive/ collaborative outreach service?

#### **8 Assess redundancy.**

Assess the redundancy of separate case management within each agency. Family members can help agencies realize what it's like for them to maneuver between multiple case managers and plans. Discuss openly how each agency's mandates must/will be met regarding case management requirements and pilot a unified case management 'one family/one plan' approach.

#### **9 Use Resource Mapping Inventory.**

Summarize the purpose and findings of the Resource Mapping Inventory and ensure endorsement by all collaborative members.

#### **10 Develop and implement plan.**

Develop and implement a plan to systematically formalize and strategically implement the collaborative service and system approach:

- ◆ How the new approach will be piloted (i.e., the number of youngsters/families who will be approached to participate, the geographic areas of initial participation)?
- ◆ How (and how often) will the Collaborative measure outcomes, address challenges? *Brainstorm potential challenges/solutions in advance.*
- ◆ What are the implications for training (e.g., practice, record keeping)?
- ◆ Monitor and assess results, gradually expanding the effort.

#### **11 Share information and results to ensure support.**

Understand how will the Collaborative share information and results to ensure support? What is the role of each member of the Collaborative in promoting the sustained success of the effort? What assistance is needed to move the system forward? (From/for family members? Evaluators? Policy-makers?) *Regular publicizing of accomplishments is critical for success—create a sense of urgency, momentum and commitment to ensure that stakeholder view the effort as important and worthy of their support!!*

# Community Mapping Inventory Template

Agency/ Organization	Geographic Area & Population Served	Primary Services Provided	Expenditures for Target Populations	Funding Streams	Funds Available to Blend, Pool, Match	Potential Collaborations
Juvenile Justice						
Child Welfare						
Mental Health						
Public Schools						
Family Advocacy & Support						
Public Health						
Other						
Other						

# Assessing Sustainability Planning and Implementation

1. Are family members (i.e., of youth being served) present and fully participating in discussions and planning for sustainability? Can they comfortably describe why and how the demonstration project will be sustained?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Are internal and external stakeholders included in the collaborative? Is the process surrounding power and decision-making with stakeholders regarding sustainability constructive and positive?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Are the necessary decision-makers present to help the collaborative effectively address policy, program and practice issues related to sustaining project activities and broadened 'institutionalization' to the larger system?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Is communication about sustainability open and clear? Are discussions frank, include barriers the project is experiencing? Do participants demonstrate a comfort level that allows them to express confusion, disagreement, or the need for further information?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Adapted from Borden, Lynne & Perkins, Daniel. "Assessing Your Collaboration: A Self Evaluation Tool" Ohio State University & University of Florida (1999).

5. Has the collaborative established a clear understanding about sustainability—what it means, what elements should be sustained, how each participant will contribute? Are goals and strategies related to implementing a sustainability plan clear?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. In planning for sustainability, does leadership facilitate team building, and capitalize on diversity and (individual, group and organizational) strengths to maximize success? For example, stakeholders may have unique skills in finance planning, special relationships in the faith community, etc. that could be instrumental in sustainability efforts, but may go unrecognized if participants do not feel valued as experts in their own right.

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7. Do participants involved in sustainability planning and implementation feel connected through a common vision and mission? Do they have established informal and formal communication networks?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Does the collaborative understand the relationship between community and sustainability? The impact and benefit of a sustained/broadened effort on the community's citizens, its cultures, values and habits? Is a project-community capacity-building partnership of interest to community leaders?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. Is the community informed about the project and its effort to/interest in sustainability? Is there a clear plan regarding how to mobilize citizens, decision-makers and other stakeholders in support of sustainability? Is the level of participation sufficient, enthusiastic?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. Does the project have sufficient resources (political, in-kind, financial, and human) to launch sustainability planning and implementation? Do participants understand the political, financial and programmatic implications of a broadened/sustained effort? Do they fully support it?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. Is there a plan to collect and/or identify data to measure outcomes and goal achievement? Is there a plan to communicate data as part of a public education and engagement strategy?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

12. Is there a plan to benchmark sustainability planning and implementation? A plan to roll out the process over time? Is there flexibility built into these plans to address changing circumstances and emerging issues?

Yes Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Recommendations for action steps to address areas of concern: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Recommendations regarding publicizing successes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



# Self-Guided 'Match Integrity' Checklist

It is important to be cautious blending funds to build sources of match for sustainability since there are scores of funding streams supporting service delivery and staff positions in any given community. Many if not most, federal funding streams require that a portion of nonfederal funds be spent before federal reimbursement for a given service. Staff positions in human service organizations may be funded with portions of federal *and* nonfederal funds. Even services and positions funded with nonfederal monies may be 'tagged' internally for a given agency's match requirements. This set of circumstances should not discourage collaboratives from maximizing federal and nonfederal funding resources. Due to the enormous level of duplication in service delivery across public agencies, there are sufficient unmatched dollars for blended and pooled funding approaches, and to match grant funds. However, it is critical that collaboratives proceed with caution. The best source of information regarding the nature of a given funding stream is the host agency. If there is uncertainty regarding the appropriateness of using funds for match, it is always best to obtain accurate information from knowledgeable staff. The following checklist can be used as a general guide to assist collaboratives as they venture into the world of collaborative funding:

1. Are the funds under discussion from a federal source?

***Remember that federal funds cannot be used as match for other federal funds. This is known as 'double dipping.'***

2. Are the funds under discussion used to match federal funds?

***Most agency staff will not readily know the answer to this question. Seek clarity from the agency finance office. Even if portion of nonfederal funds are dedicated for federal match, there may be an additional undedicated portion remaining that is perfectly legitimate to be used as match for federal dollars.***

3. Assuming clarity for items 1 and 2, if you have nonfederal/un-matched funds available, should they be classified as ‘cash’ match, or in-kind match?

***Refer to the finance definitions for clarity.***

4. How will you document the ‘capture’ of the match?

***It is critical to document match on an ongoing basis (e.g., quarterly) and not wait until the end of a demonstration project! See the Match Projection and Tracking Inventory for a template.***

5. Is the source of match time-limited?

***Award periods for grants (e.g., foundation grants) vary. Don’t assume that because a given source of nonfederal funds is available in one year, it will be available on an ongoing basis.***



# Match Projection and Tracking Template

Agency or Organization Name \_\_\_\_\_

Person Completing Form \_\_\_\_\_

Quarter \_\_\_\_\_ Date \_\_\_\_\_

Budget Items	Project Funds (Federal)	Source & Amount of In-Kind Match (Nonfederal)	Source & Amount of 'Cash' Match (Nonfederal)	Total Funds (Federal + Nonfederal Match)
Salaries/Fringe				
Rent				
Telephone				
Equipment				
Printing/Copying				
Milage/ PerDiem Costs				
Training, Conferences, (including release time)				
Donations				
Other				





## **APPENDIX B**

### **Case Studies**

#### **Communities Sustaining Demonstration Projects**

Match and sustainability issues are unique for each state and community. However, there is value in learning from strategies that other sites have employed to leverage funds and sustain their system of care. Three examples are provided. In the first, LINC describes a community collaborative consisting of state and local leadership. In the second, Wraparound Milwaukee illustrates the specific use of blended funding strategies. In the third, the sustained cross-agency ‘enhanced’ funding utilized in the PEN-PAL Project is described.

#### **Local Investment Commission (LINC)**

The Local Investment Commission (LINC) is a citizen-driven community collaborative involving efforts by the state of Missouri to work with neighborhood leaders, citizens, business, civic and labor leaders to improve the lives of children and families in Kansas City and Jackson County. LINC, as it often is referred to, is involved in initiatives to provide employment to those on welfare,<sup>12</sup> create new businesses in the central city, improve the delivery of human services and help improve the lives of families and children. The efforts are directed by a 36-member citizen commission<sup>13</sup> created in November 1992. The Commission members are nominated locally and appointed by the Director of the State Department of Social Services. Professional advice and support is provided by a professional cabinet<sup>14</sup> which meets with the commission. More than 700 volunteers—professionals, community leaders and citizens—are involved with LINC.

LINC also is the Community Partnership selected by the state of Missouri to administer the Caring Communities fund<sup>15</sup> created by seven state departments—Social Services, Mental Health, Health, Labor, Education, Corrections, and Economic Development—to support and develop school-linked, neighborhood-based services. The fund will be used to support services at selected schools where interest is shown by parents, neighbors and the school principal. The effort involves

60 schools in five school districts with 15,000 students. The school-linked services are part of a larger effort to develop comprehensive integrated neighborhood services through neighborhood involvement, professional development and change management. LINC is involved in other community efforts and partnerships. Its areas of concentration include: children and families, child welfare, aging, health care, housing, school-linked services, welfare reform<sup>16</sup> and business development.

## **LINC's Vision and Mission**

**LINC's Vision**—A caring community that builds on its strengths to provide meaningful opportunities for children, families and individuals to achieve self-sufficiency, attain their highest potential, and contribute to the public good.

**LINC's Mission**—To provide leadership and influence to engage the Kansas City Community in creating the best system to support and strengthen children, families and individuals, holding that system accountable, and changing public attitudes towards the system.

## **Distinguishing Characteristics**

◆ **LINC's scope is comprehensive.**

LINC Commissioners have decided to do “whatever it takes” to promote child and family well-being. From an initial interest in improving the local office of the Missouri Department of Social Services, LINC's work has broadened into the spheres of employment and training, health care, child care, housing, elderly affairs, and education.

◆ **LINC's partnership with state government is producing a new level of citizen involvement in guiding public expenditures.**

From the beginning, state government has supported LINC, and invited the Commission to alter the way public funds are spent in the Kansas City region. LINC's leadership in welfare reform, for example, forged new and productive ties among local employers and state and local social services, manpower development, and economic development agencies, resulting in more jobs for welfare recipients.

◆ **LINC's focus on neighborhoods ensures that services and supports respond to families where they live.**

LINC sees its role as strengthening neighborhood capacity in a variety of ways, from creating leadership roles for neighborhood residents to organizing community data bases around neighborhood boundaries and needs.

◆ **LINC is interested in influence rather than control.**

LINC Commissioners and staff believe their credibility stems in large part from an operating style which values partnership and demonstrates respect for partners. LINC works aggressively to influence how resources are used on behalf of children and families, but not to control other agencies' operations and funds or to compete with them. Commissioners see their role as mobilizing people to work together on community goals, and provide the Kansas City region with a clear community agenda, but not to take over other organizations' turf.

## **Sustainability and LINC**

There are several factors critical to LINC's ability to sustain itself as engine of reform:

◆ **Dedication to citizen engagement**

LINC's citizen leadership strategy has been vital to its success. Citizens committed to improving their community and the lives of its children and families has created a driving force and sustaining influence unique in reform efforts. Certainly there have been tensions between professional and citizens in the course of the work, but new and strengthened relationships emerge continuously.

◆ **Involvement of key leaders with political access**

LINC's citizen leaders have unique access to state and community political and opinion leaders. They have proven a source of strength as LINC seeks supports for its varied initiatives.

◆ **Connections with the State**

LINC's a community-driven creature of the state. The State has worked through LINC on major reform strategies in welfare reform, child welfare reform, child health insurance and other issues. LINC has also worked with state agency leaders to improve key systems. In addition the state has provided financial resources for special initiatives such as LINC's after school work and Caring Communities. This relationship with the state has given LINC access to the resources necessary to move its agenda forward.

◆ **Commitment to Values and Principles**

LINC has maintained a strong commitment to the values and principles which it articulated at its inception: 1) citizens decide at the city level, the neighborhood level and the school site; professionals advise; 2) accountability for results is critical; and 3) neighborhood engagement. LINC's work is not just about services; it is

about comprehensive neighborhood development. Sticking to these principles has made LINC stronger and more sustainable.

For more information, see [www.kclinc.org](http://www.kclinc.org).

## Wraparound Milwaukee

Wisconsin's Wraparound Milwaukee Project<sup>17</sup> (Kamradt, 1998) operates as a public managed care entity. The model emphasized blending funding streams to obtain the level of funding needed to support children with complex needs, support their families, and result in positive outcomes. Three primary components were viewed as critical to this site's approach:

### ◆ Crisis Care

Every child/youth has a crisis/safety plan with availability of 24-hour service. Mobile/outreach crisis teams ensure responsiveness, and become 'gatekeepers' to review potential out of home admissions and to divert whenever possible.

### ◆ Case Management

All children/youth and their families have a case manager to ensure coordinated, accessible care.

### ◆ Provider Network

Organized groups of community and neighborhood-based agencies provide a comprehensive array of services (i.e., in-home therapy, day treatment, respite care, mentors, etc.) for a fixed unit price.

## Phase I: Blending Grant Funds

Wraparound Milwaukee began blending grant monies and revenues generated through Medicaid. Funds were blended in order to maximize resources (i.e., a given child and family might require a service or support that cannot be funded by a particular source of funding). Service plans were needs-driven rather than categorically defined by funding parameters. Therefore, as the needs of the child/family were identified, every source of available funding was identified. The resulting funds were then blended, or braided, to support the delivery of an individualized but comprehensive service package. Grants funded by the Center for Mental Health services target children and youth who have serious emotional problems (and their families) that typically require the services of more than one child-serving agency (child welfare, juvenile justice, behavioral health, schools, etc.). Wraparound Milwaukee served such youth, with an emphasis on those involved in juvenile justice and child

*Wraparound Milwaukee received the State share of the DRG rate for each Medicaid eligible child diverted from inpatient psychiatric admission. DRG stands for diagnosis-related group, a medical coding system to categorize diagnoses into groups (e.g., those with common symptoms/treatment protocols.) This amounted to the 40 percent share of a Medicaid payment that averaged nearly \$15,000 per child (more than \$1.5 million in 1995 was earned through 200 diversions).*

welfare. Monthly projections of the anticipated cost per child for utilization of the 25 core services available to children/youth and their families were developed. The initial projected cost was about \$1,800 per month/per child based on serving up to about 200 children/youth. The Crisis Team reviewed potential admissions in the emergency room at the County's Mental Health Center. Because the project's contract with the County stated that saved monies were to be returned by providing more services for children/youth with serious emotional disturbance in the project and *could not* be used for any other purpose, Wraparound Milwaukee was able to serve many more children under the

blended funding approach than previously. First, by taking responsibility for diverting these children from expensive inpatient care, and serving them appropriately in the community instead (using an array of less expensive, but flexible services that were individualized for each child and 'wrapped' around him/her), the project was able to get the state share of an expensive service, apply it to less expensive alternatives. Therefore, the same dollars were extended, allowing the project to serve more children in the community. By then adding other funds that covered particular services to *this* source of funds, a pool of funds became available—the project identified services needed in the service plan, identified the funding source that can pay for a given service, and created a more comprehensive array of options that begins to look 'seamless' by blending funds together. Each funding source still maintains its categorical integrity, but the *project* takes responsibility for knowing which is which and tracking each one, rather than requiring the child/family to access each service separately.

## **Phase II: Expansion to Youth in Child Welfare and Juvenile Justice**

During Phase I of the Wraparound Milwaukee Project, total enrollment reach 175 children/youth and their families. A wraparound delivery approach was piloted to children who were in residential treatment centers, with a goal to return them to the community with comprehensive wraparound plans. This created the impetus for Phase II of the Project. In Phase II, the project expanded to target all children/youth identified by the Child Welfare Department of Juvenile Court for residential treatment center placement or those already placed who could

be returned home sooner. This expanded the opportunity to create an alternative system of care by blending three funding streams:

- ◆ County funds designated for residential treatment
- ◆ Medicaid reimbursements
- ◆ Grant funds.

A case manager was assigned to work with each child/youth and their family, the Court, and the schools to develop an individual plan of community services designed either to eliminate the need for a residential placement or minimize the length of stay out of home. A managed care consultant helped the project assess potential community service costs by analyzing the cost data for each service provided to the first group of 175 children and establish a monthly cost per child/youth and their family. Once projections on the estimated costs per child were completed, a negotiated rate of \$3,300 per child per month was established. This amount was significantly less than the \$4,700 currently paid by Child Welfare and Juvenile Justice for residential placements.

Key components of the project model contributed to its success. For example, a child and his/her family work with a care coordinator who works with the family as a full partner in developing a comprehensive plan that builds upon the strengths of the family, assesses needs, and brings formal service providers and persons who provide informal support together with the family to deliver an individualized service plan. Each Child and Family Team is 'family-driven' (i.e., the family identifies the persons who provide services and support and the plan is developed in response to the unique strengths, needs and preferences of the family). Emergency services geared toward helping children receive care in the community, are available to each family on an outreach basis, as needed, and crisis/safety plans are part of each service plan. A broad array of services and supports are available to each Child and Family Team, creating a network of options including formal agency/categorical services, along with less traditional supports. The project contracts with a variety of providers to assure the range of service options that help serve children effectively in their communities rather than requiring a more restrictive out of home/community treatment setting. As the array and flexibility of services and supports increased as an alternative to more restrictive care, utilization of costly inpatient care decreased for more than half of enrolled children. Children's functioning in the home, school and community improved, along with decreases in recidivism rates for weapons, property, drug and other offenses.



## **Pitt Edgecomb Nash–Public Academic Liaison Project (PEN-PAL)**

North Carolina’s PEN-PAL Project utilized cross-agency funding as a primary mechanism to build system of care participation across child-serving agencies, enhance the service array, and promote sustainability. Under this approach the Area MH/DD/SAS Programs developed contractual agreements with other agencies to give them the status of contract providers, allow cross agency funding, and assure the quality of services required by MH/DD/SAS Commission rules. Agency staff providers had to meet the credentialing requirements of the Area Programs to be privileged (authorized) to deliver services. Once agency staff were privileged, the Area Program extended its Medicaid provider status through contractual agreement to all community agencies that provide mental health services billable under the state Medicaid Plan. Through these processes, the availability of integrated community based services was expanded and funding streams related to third party reimbursement were shared. Initially, grant funds were provided to help fund Service Coordinators in each agency, along with training regarding Medicaid record requirements, and group clinical supervision. Over the course of the grant, the agencies ‘bought out’ a progressively higher percentage of their respective positions each year until the positions were self sustained in Year 5. As the project broadened its reach to a wider group of children, service delivery increased, thereby producing more revenue to support the outstationed frontline positions. Agencies benefited from the increase in staff resource that was previously not available to them prior to the demonstration grant. Over the course of the project, child-serving agencies increasingly valued the role that these staff played within their own agency (e.g., helping other staff become more effective in working with parents) and with other agencies (e.g., through relationships built with similarly outstationed peers, through application of knowledge gained through intensive System of Care/collaborative training).

### **Current Status of Cross-Agency Funding**

At six years after project initiation, is it still working without federal grant funds?

Karen Salacki, a PEN-PAL Site Director and the Coordinator of Child and Family Services for the Edgecombe-Nash Area MH/DD/SAS Program, offered the

*Agency representatives in the project’s local governance team negotiated a progressive portion of their outstationed positions to be paid for by the host agency in order that 100 percent of the position could be sustained by the end of federal funding support. Revenues generated from service delivery were used to support the cost of staff positions.*

following perspective in response to a set of questions regarding ‘how it’s going’ now that PEN-PAL has graduated from the CMHS grant program:

1. Is cross-agency funding still operational in Edgecombe-Nash?

***We are doing cross agency funding in a number of arenas. These include the Tri County Group Home, which pools funds from OJJ, DSS and Mental Health; Day Treatment, which pools funds from MH and both School systems; and the Day Reporting Center for Juveniles, which pools funds from OJJ, Discretionary funds from the state, both school systems.***

2. Are there reasons you would not recommend cross-agency funding to others as a strategy to promote and sustain a system of care?

***I feel that before you begin to blend actual dollars you need to start out small and build relationships. Maybe do some pooling of staff to work on a project rather than pooling funds to hire one staff. Once there’s trust and understanding among all agencies, then pool the dollars.***

3. What are the 3 biggest benefits to cross-agency funding?

***You can do more with your money when you pool it. (No one agency can develop the service; you have to pool your dollars to make it happen.) Better and more community based services. It gets easier and easier to pool dollars once you do it.***

4. What are the 3 biggest challenges?

***Learning other agencies’ lingo, funding sources, and developing the trust to pool dollars. Having a shared vision is a must.***

5. What are some of the ‘lessons learned’?

***We could not go back to the old way of doing business—the ‘non-pooling’ days. Go slow—pool staff and then dollars. Have people at the table who have the authority to make it happen.***



## APPENDIX C

### Resources to Support Sustainability and Financing

#### Resources To Support Sustainability and Financing for Comprehensive Community-Based Initiatives

**Center for the Study of Social Policy**—a nonprofit organization located in Washington, DC, CSSP assists federal, state, and local governments to improve human services for populations who are disadvantaged. The Center promotes systems reform in human services related to financing, administration and service delivery. <http://www.cssp.org>

**Center on Effective Services for Children**—located in Washington, DC, the center seeks to improve effectiveness and efficiency of children’s services. Offering consultation services, it works with states to develop plans and programs related to funding and program changes. (202) 785-9524

**Center on Budget and Policy Priorities**—located in Washington, DC, the center analyzes budget and policy issues, especially related to low and moderate income families. Information is geared to policymakers, program managers, nonprofits, the media and researchers. (202) 408-1080

**The Children’s Partnership**—located in Washington, DC, is a nonprofit organization that seeks to educate leaders and the public regarding the needs of the nation’s children and to involve them in ways that benefit children. Research and policy analysis reports and materials are made available, along with attention to new trends and emerging issues that will impact children. <http://www.childrenspartnership.org>

**Families and Work Institute**—a nonprofit organization located in New York city, FWI promotes research-based approaches to address the changing nature of work and family life. The center seeks to develop emerging work-life issues, benchmark solutions, and evaluations related to impact between families and work. <http://www.familiesandwork.org>

**Family Support America**—(formerly the Family Resource Coalition of America) located in Chicago, IL, this organization is a consulting, membership, and advocacy entity that works to strengthen and empower families and communities. A primary goal is to build networks, produce

resources, provide consultation and planning related to support the family support movement. (312) 341-0900

**Federation of Families for Children’s Mental Health**—a nonprofit organization located in Alexandria, VA, FFCMH is dedicated to advocacy and policy on behalf of children and youth with serious emotional and behavioral disorders, and their families. The Federation provides resources and technical assistance to communities engaged in system reform efforts to help promote full inclusion and partnership with family members. <http://www.ffcmh.org>

**The Finance Project**—a national initiative designed to enhance the effectiveness, efficiency and equity of public financing for human services, the Finance Project provides a variety of articles regarding financial planning and strategies that are geared to promote public resources and improve return on investments in children, families, and their communities. <http://www.financeproject.org>

**Harvard Family Research Project**—operating out of Cambridge, MA, HFRP develops and disseminates research related to programs and policies impacting families and their children. Evaluation strategies, training for community collaboration and family-center practice, school-linked services, results-based accountability are a few of the area of information available. <http://gseweb.harvard.edu/~hfrp/> (617) 495-9108

**Institute for Educational Leadership**—located in Washington, DC, is a nonprofit organization committed to preparing diverse leaders and helping organizations make better decisions to improve the well-being of children and youth. It provides an independent voice on issues such as demographics; local school boards; preparing young people for the work world; connecting schools, families and communities; educational leadership for the 21st century; and K–12 education reform. <http://www.iel.org>

**Local Initiatives Support Corporation**—established by the Ford Foundation and located in New York City, LISC helps citizen-led groups transform their neighborhoods and communities. Resources include resources related to revitalization, community facilitation, and community organizing and planning and organizational development. <http://www.liscnet.org> (212) 455-9800

**National Black Child Development Institute**—located in Washington, DC, NBCDI focuses on quality of life and opportunities for African American children and their families. It provides resources through public education and leadership development, especially related to health child

welfare, education and child care/early childhood education. It monitors public policy issues related to emerging concerns. <http://www.nbcdi.org>

**National Civic League**—located in Denver, CO, NCL promotes a civic agenda to help communities help all citizens succeed. The League promotes inclusion, collaborative problem solving and consensus building through the delivery of technical assistance, publications, and research. <http://www.csn.net/ncl>

### **Other On-line Resources**

- ◆ Social Policy Virtual Library  
<http://www.bath.ac.uk/~hsstp/world3.htm>
- ◆ The Alliance for National Renewal  
<http://www.ncl.org/>
- ◆ The Community Tool Box  
<http://www.ctb.lsi.ukans.edu/>
- ◆ National Community Builders Network  
<http://www.commbuild.org>
- ◆ Center for Creative Leadership  
<http://www.ccl.org/>
- ◆ Social Services Info Net  
<http://www.Socservices.com>





## APPENDIX D

### Tips for Holding Effective Meetings\*

- ◆ Begin by coordinating the schedules of the most essential representatives for each meeting—the partners that must be present to provide critical information, help make decisions or lead discussions.
- ◆ Set regular meeting dates in order that participants can reserve the time beforehand. Schedule several meetings in advance.
- ◆ Keep mailing lists up to date. Use ‘fax-back’ RSVP forms.
- ◆ Use phone meetings and conference calls with in-person attendance is impossible.
- ◆ Require that only participants who attend meetings have voting privileges to avoid substitutions of key decision makers.
- ◆ Run efficient meetings and create incentives for attending—start and end on time, stick to the agenda. Include great snacks.
- ◆ Rotate responsibility for chairing meetings and setting agendas.
- ◆ Provide child care, transportation and stipends for family and citizen representatives.

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\* Adapted from *Community Mobilization: Strategies to Support Young Children and Their Families* by Amy Dombro, Nina Sazer O'Donnell, Ellen Galinsky, Sarah Melcher & Abby Farber, Families and Work Institute, NY.





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