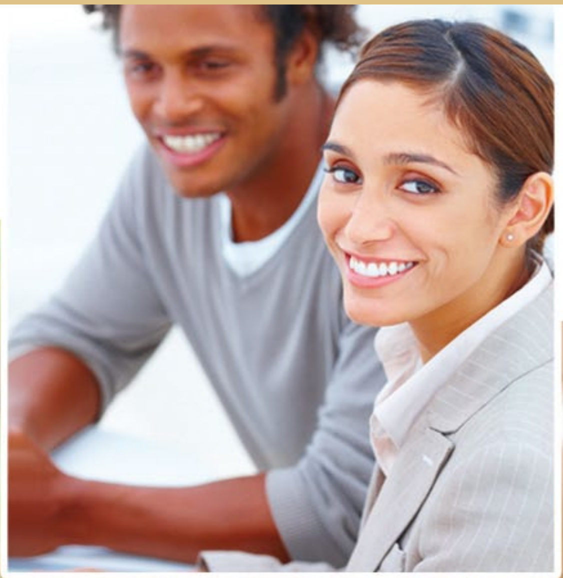
Resource Kit

The Community Learning Centre

Holistically planned action for educational and community change



Québec

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Ministère de l'Éducation, du Loisir et du Sport
Community Learning Centres—Resource Kit

ISBN 978-2-550-60913-1 (print version)
(French edition: ISBN 978-2-550-59743-8)

Guidebook (PDF)
ISBN 978-2-550-59744-5
(French edition: ISBN 978-2-550-59745-2)

Framework for Action (PDF)
ISBN 978-2-550-59746-9
(French edition: ISBN 978-2-550-59747-6)

Workbook (PDF)
ISBN 978-2-550-59748-3
(French edition: ISBN 978-2-550-59749-0)

Templates (PDF)
ISBN 978-2-550-59750-6
(French edition: ISBN 978-2-550-59751-3)

Legal Deposit—Bibliothèque et Archives nationales du Québec, 2012
Legal Deposit—Library and Archives Canada, 2012

11-00179-A

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THE COMMUNITY LEARNING CENTRE

Framework for Action

for Anglophone Schools, Centres and Communities

Holistically planned action for educational and community change

Framework

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educational and community change

The Community Learning Centre

Holistically planned action for educational and community change

A series promoting educational success and the development of the Anglophone community in Québec.

The CLC Resource Kit: Framework for Action for Anglophone Schools, Centres and Communities. Une version française de ce document est disponible sous le titre, *Trousse de ressources CSC : Le cadre d'action à l'intention des écoles, des centres et des communautés anglophones (révisé)*.

Working Document (2007.09.25)

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Acknowledgment

The Coordinating Committee wishes to acknowledge the input from the CLC coordinators, whose feedback was very helpful in producing this edition.

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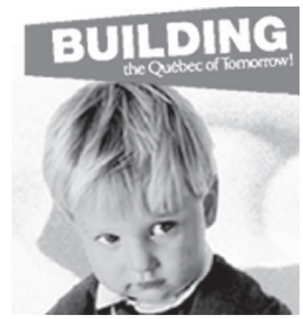
■ MEETING THE CHALLENGE

The idea of *equal educational opportunity* is a longstanding theme of public policy around the world, reflecting the importance that people attach to education both for individuals and society. Initial schooling is no longer a sufficient preparation for an ever-changing world; ***lifelong learning*** is now required.

For this reason, schools and vocational and adult training centres in Québec have been the focus of ongoing reform that has shifted the emphasis previously placed on universal *access to* schooling, to *success from* schooling for both youth and adults.



During this same period, the Québec government has pursued a policy of *regionalization*, that is, increased decision making at the local and regional levels, with an emphasis on economic development. The current era of "globalization" has increased the importance of these initiatives, as both the public and private sectors struggle to learn how to ***think globally*** and ***act locally***.

In an educational context, this policy reflects a more ***ecological*** view of school and community as an organic whole, rather than as totally separate entities. This in turn requires a more ***holistic*** approach to planning and managing educational and community change.

The English-speaking minority: This challenge is particularly acute for English educational institutions and communities, especially in those regions where Anglophones make up a very small percentage of the total population and the English school is the only English-language public sector institution in the community. These communities reflect a rich diversity of social, cultural and other characteristics but they share a common desire to strengthen the ***vitality*** of their communities through a tapestry of connections among individuals and groups.

It is for this reason that the Ministère de l'Éducation, du Loisir et du Sport du Québec (MELS) has supported the development of this ***Community Learning Centre Framework for Action*** in order to assist school/centre and community leaders who wish to meet this challenge.

The Framework in Brief

A new idea, no matter how promising, will not take hold of its own accord. It must be nurtured and given adequate support so that these changes can be successfully implemented and sustained over time. The purpose of this ***Framework for Action*** is to provide the first strand of this support. It is the centrepiece of a series of publications, available on-line on the LEARN CLC Web site (see **For More Information**, p. 21).

Relationships between schools/centres and the community include both short-term and longer-term interactions between individuals, families, groups or organizations. This Framework does not encompass all of these forms. It envisages an ***ongoing*** form of ***collaboration*** among various partners that come together to create an ***organization*** (see definitions provided in Step 1, page 1).

A **theory of change** "offers a picture of important destinations and guides you on what to look for on the journey to ensure you are on the right pathway."

This Framework was built on a ***grounded theory of sustainable change***. Being grounded means that the theory is based on lessons learned from the "real world" experiences of people and organizations. The theory maps the "pathways of change" that experience has shown can lead to socially important results (see text box),1 that are sustainable over time. It consists of ***five major action steps*** to be undertaken by a school/centre and community partners to create a CLC, in order to promote student success and community development.

If you are already involved in such an initiative, use the outline which follows to see where you need to start.

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

• **Key terms** used in this Framework are defined in boxes such as this and in a **Glossary** on p. 22.

Guiding Principles

First, the Framework is meant to be ***comprehensive*** and ***practical***, dealing with relevant issues in a manner that people in the field will find helpful, without being unduly complex. Therefore, the Framework attempts to say everything that needs to be said in as short and straightforward a way as possible.

Second, schools/centres and other frontline service providers are under pressure to achieve a multitude of results. Accordingly, the Framework has been designed to ***dovetail*** with existing policies and programs.

Third, the Framework recognizes the fundamental importance of ***reciprocity***; it must respond to the needs, aspirations and contexts of *all* partners. Although it was not possible to consider every potential partner, let alone deal with all their concerns, the Framework addresses all issues from this wider perspective.

Fourth, the Framework is ***advisory***, ***not prescriptive***. It is *open-ended*, setting forth the issues to be dealt with but leaving many details to be decided by you, the users.

Your Steps, Your Sequence, Your Time Line

You decide where to start, which steps to skip, the sequence of chosen steps and what you do in each step. If you are already involved in some form of school-community collaboration, Step 2 may be the place to start. You may wish to defer signing the partnership agreement until the planning stage has been completed. ***It's up to you***.

If you are starting at the beginning, then you can expect a timeline of approximately one year to complete the first three major steps (Explore, Initiate and Plan), before your CLC is "up and running" (Step 4). However, it may take more or less time depending on the complexity of the venture and whether some steps have already been accomplished (e.g. you have a process for evaluating school/centre success that can simply be adapted).

Whatever your situation, it would be useful to sketch out a provisional time line to provide some sense of direction before actually proceeding beyond Step 1.

1 EXPLORE

- **Organization**: entity composed of individuals, groups or other organizations, that act together to achieve shared goals within an identifiable structure defined by formal or informal rules

Step 1 presents the first in a series of "pathways of change,"[1] designed to foster student success and community development by means of a CLC. More specifically, the purpose of this step is to explore the possible creation of a CLC as an ***organization*** (defined below). As can be seen by the definition of a CLC that follows (p. 2), the CLC is a form of ***ongoing collaboration***, not a "one-off" venture. Step 1 comprises three steps:

- See what CLCs look like in other communities.
- Create an image of a CLC for your community.
- Decide to proceed.

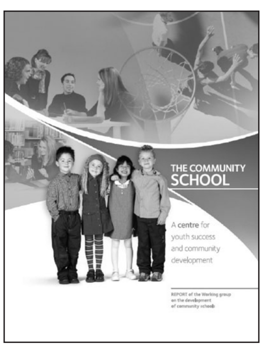
1.1 See What CLCs Look Like in Other Communities

Community Schools–A Promising Response

"No effort . . . has captured the essence of systemic reform more completely than the implementation of collaborative school-linked services."

Ideas such as *community education, community schools* and *educational community* have become increasingly popular in many jurisdictions because there is strong evidence that these notions offer a promising response to schools/centres and communities (see text box).[2] In Québec, for example, the *Supporting Montréal Schools* program actively promotes partnerships between schools and local communities, as does *New Approaches, New Solutions*.[3]

The CLC offers the potential to build the "***social capital***" of English-speaking communities through its collaborative partnership approach. These enhanced connections among individuals and groups "shape their access to important resources and to the social support that allows for the effective negotiation of the challenges they face."[4]



The Diversity of Community Schools

As illustrated by a recent Québec report, The Community School,[5] this expression is the most common name for a CLC. Although a CLC can take on a variety of forms, a common thread of values and beliefs runs across the range of these forms. Generally, they reflect an *ecological* view of school and community as an organic whole, rather than as totally separate entities. Like an **ecosystem** in nature, communities are complex, characterized by diversity rather than uniformity.

1. Organizational Research Services, 2004, p. 1.
2. Wang, Haertel & Walberg, 1998, p. 1.
3. See, e.g. Ministère de l'Éducation du Québec, 2000.
4. Pocock, 2006, p. 1.
5. See Working Group on the Development of Community Schools, 2005.

Pluralistic communities share common values but respect and celebrate the individual values of its members: "A community of people is a place . . . rife with activity, mutual respect, and the recognition that everyone in that place is responsible for and accountable to one another . . . ."[6] Schools/centres play a key role in transmitting and shaping values. They provide a mirror of society, reflecting both what we are and what we would like to be.

Community schools are often called "**extended**" or "**full service**" schools to emphasize their extended offerings and hours of operation. One of the best sources of information on these schools is the Coalition for Community Schools, whose capsule definition is cited below.

> Boiled down to the basics, a community school is both a set of partnerships and a place where services, supports and opportunities lead to improved student learning, stronger families and healthier communities. Using public schools as a hub, inventive, enduring relationships among educators, families, community volunteers, business, health and social service agencies, youth development organizations and others committed to children are changing the educational landscape—permanently—by transforming traditional schools into partnerships for excellence.[7]

The Children's Aid Society describes a community school, as: "an integral part of the neighborhood, a focal point in the community to which children and their parents could turn for a vast range of supports and services."[8]

Saskatchewan Learning has done considerable work developing a community school culture, which they call a caring and respectful school environment, a culture that is grounded in the community education movement,[9] and is part of SchoolPLUS,[10] their system-wide reform of education vesting schools with a dual mission to:

- educate children and youth—through a responsive learning program that enhances student outcomes, and
- serve as centres for social, health, recreation, culture, justice and other services for children, youth and their families

The CLC as Defined by the Framework

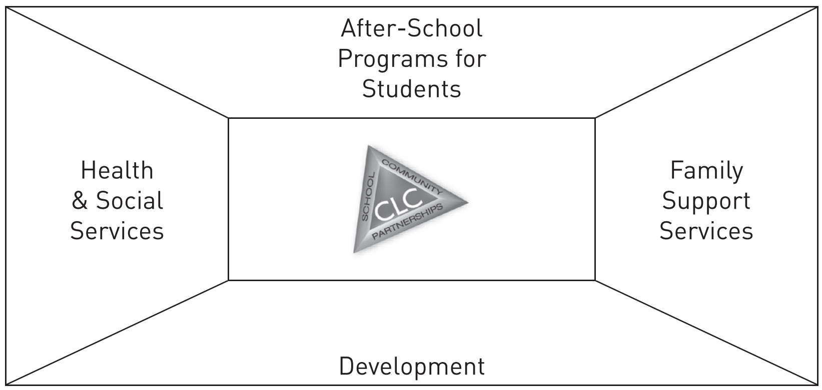
The Framework defines a CLC as an equal partnership of schools/centres, public or private agencies and community groups, working in collaboration to develop, implement and evaluate activities to answer school and community needs that will enhance student success and the vitality of the English-speaking community of Québec. Using a grounded theory of sustainable change (see p. IV), the Framework incorporates two complementary images of a CLC as a "learning community" and as a "hub" of community service.

6. Senge et al, 2000, p. 461.
7. Coalition for Community Schools, n.d., p. 2.
8. Children's Aid Society, 2001, p. 8.
9. See Saskatchewan Learning, 2000.
10. See Saskatchewan Learning, 2002.

A learning community is "a group of people who take an active, reflective, collaborative, learning-oriented, and growth-promoting approach toward the mysteries, problems, and perplexities of teaching and learning.[11] It thrives on individual and organizational learning by all members of the school community, continually reflecting not only about *how* things are done, but *why* (see text box above).[12]

Learning community:
"a place . . . rife with activity, mutual respect, and the recognition that everyone in that place is responsible for and accountable to one another . . ."

The CLC as a ***hub*** places it at the centre of a network of services such as those shown here. The school/centre might provide the major locus of its activities or they might be delivered in various locations. In any case, the aim is to reduce, even eliminate, barriers between the school/centre and the community.



These images reflect the Framework's core belief that a CLC can build the social capital of English-speaking communities in Québec, to the benefit of students, families and community members.

1.2 Create an Image of a CLC for Your Community

Testing the Waters

In order to determine if others share, or might come to share, an interest in creating a CLC, someone needs to take a leadership role to involve other ***stakeholders*** in a "conversation" about creating a CLC. Depending on where interest was initiated and the nature of the community, this expanding dialogue might begin with members of the school/centre governing board, a community group, or representatives of local agencies that you believe might have an interest in a CLC. This initial conversation must be grounded in some vision of the nature and purpose of a CLC, enabling stakeholders to answer two questions:

- **What is a CLC?**
- **Why would we want one?**

Building Trust

A successful partnership is built in stages, but the foundation of all these stages is trust. All partners must feel that they are valued, that their opinions matter and that will be treated with respect.

11. Mitchell & Sackney, 2000, p. 9.
12. Senge et al., 2000, p. 461.

One should assume that as the dialogue about the CLC evolves, this group of partners will change. Some may lose interest as the purpose of the CLC becomes clearer, while others not yet considered may need to be added.

Expectations and Benefits

Research on community schools in the United States found that in general, community schools provided four major benefits:

- improved student learning
- enhanced family engagement with students and schools
- more effective functioning of schools, and
- increased community vitality[13]

Visit the Harvard Family Research Project for research on the benefits of school-community collaboration.

No innovation such as a CLC will provide the same benefits in every community. However, a CLC can meet a wide range of expectations in different contexts, as suggested below.

Expectations

Generally, a CLC can be expected to:

- provide access to the conditions deemed necessary for student success
- respond to the particular culture and needs of the communities it serves
- provide services that are accessible to the broader community
- deliver a range of services that are self-supporting and sustainable over time
- integrate existing services and resources with those available from external agencies
- develop financial/resource partnerships that ensure long-term sustainability
- resonate within its community as a successful response to its needs
- demonstrate flexible and innovative approaches to service delivery

Defining Your Community

Traditionally, the term "community" meant a relatively homogeneous social group such as a neighbourhood: like-minded citizens of similar socioeconomic status whose parents resided there before them and whose children will do so afterward. Some traditional neighbourhood schools still exist but they have become the exception, rather than the rule.

Many English schools and centres have another dimension of community to consider: they serve one population—the "Anglophone community"—but are part of a wider community not defined by language. It would therefore be useful for a school/centre considering the desirability of a CLC to pause at this stage and ask: **How do we define our community?** The answers to this and other questions will enable you to form a working definition of your community. However, this definition is likely to change as you talk to community members about a CLC.

13. Blank, Melaville & Shah, 2003.

Your Vision of a CLC

The *vision* of an organization provides an image of its long-term goal, that is, how the world will be a better place because of the results it achieves. For example, the vision of a local school may consist in being *a place where students, staff, families and community members work together, a school community environment that is stimulating, healthy and safe, a community that is economically and socially viable, providing a future for its young people.* The vision underpins the mission of the CLC and provides the answer to the questions:

- **Why are we doing this?**
- **Why does it matter?**

1.3 Decide to Proceed

One final question remains:

- **Are the partners and their organizations ready to embark on this joint venture?**

The readiness of the emerging partnership to proceed depends on several factors, including the leadership and motivation of each partner.

At this point, you should have the information needed to make a decision to proceed. However, it is possible that further reflection or confirmation of certain conditions may be required. Alternatively, it is possible that you have decided that a CLC is feasible, just not the one that you originally envisaged, causing you to return to the drawing board to come up with a more viable *prospectus*. (You might also decide that some ***other form of collaboration*** between school and community is preferable.)

While it is unlikely that any group beginning a joint venture will have all conditions in place before beginning, it would be wise at this point to ensure that *sufficient* conditions are in place to warrant moving forward. Being *too cautious* creates a risk of losing momentum, but moving *too quickly* may cause the process to unravel, making it difficult to convince people to start again.

"Students, even little ones, are people too. Unless they have some meaningful (to them) role in the enterprise, most educational change, indeed most education, will fail."

It is also appropriate to begin thinking about ***how students can be actively involved*** in the development of the CLC. There is ample evidence from both research and practice that students of all ages can make a real, not merely a symbolic, contribution to the development of innovations in school (see text box)[14].

14. Fullan, 2001, p. 151.

2 INITIATE

The purpose of this step is to initiate the partnership. Step 2 comprises four steps:

- Map your needs and assets.
- Develop mission statement.
- Allocate responsibilities and resources.
- Conclude Partnership Agreement.

This is a key transition point where ***commitment replaces contemplation,*** but the actual actions taken will depend on the scope of the CLC being undertaken.

2.1 Map Your Needs and Assets

In addition to understanding the broad contours of the contextual landscape, it is important to situate the proposed CLC in terms of the needs and assets of the community. There is little point in creating a CLC if it does not respond to ***real needs*** or merely duplicates existing resources. Community assets come in a variety of forms, including tangible resources (e.g. a gymnasium), human resources (e.g. volunteers), and intangible resources, such as community spirit. ***Asset mapping*** can be used to create a "map" of these assets. Such a map is meant to be:

- *realistic* – by starting with what you have
- *positive* – through a discovery of community assets, and
- *inclusive* – recognizing a range of public, community and private assets[15]

Example: Some adults might possess a range of skills in technical drawing, but not the up-to-date skills required to use computer-assisted design programs. The need is the gap between their current skill set and that required for employment in this field.

2.2 Develop Mission Statement

The mission should inspire and motivate participants and other stakeholders, providing the basis for ***organizational transformation*** (see text box).[16] It provides the foundation of the partnership, articulating its:

- values and purpose
- desired results
- guiding principles

Setting directions that have "considerable value or moral weight" is an "absolutely key task" for transformational leaders.

Values and Purpose

Values ought to serve as "beacons" to guide public policy and practice in accordance with the values of society. Not every community has the same "mix" of values. A CLC should reflect on the values of its community as it develops its vision and mission.

15. Fuller, Guy & Pietsch, 2002, p. 4.
16. Leithwood, Jantzi, & Steinbach, 1999, p. 70.

One of the goals of the SUN initiative is based on an image of schools as a "a safe, supervised and positive environment for expanded experiences that improve student achievement, attendance, behavior and other skills for healthy development and academic success."

The vision provides an *image* of its goals, as shown by the example in the text box from SUN, the Schools for Uniting Neighborhoods initiative.[17] A mission statement can be nothing more than a slogan but research shows that successful organizations are actually guided by their mission statement, ensuring that its core values and beliefs are firmly in place and are not compromised or blurred over time.

A school's mission statement is contained in its educational project (or a centre's statement of goals); likewise, another agency or a community group will likely come to the table with its mission statement. A key challenge facing the fledging CLC in drafting its mission statement is first to understand where each partner, individually, is coming from and second, where, together, they want to go and the results they want to achieve.

Desired Results

This Framework uses a ***results-based management*** approach to the development and operation of a CLC. This approach operates from the assumption that various actions (usually called activities) can produce results, as defined below.

- **Result**: a describable or measurable change that occurs because of some action supported by various resources.

Results-based management focuses our attention on the changes we want to see happen in the lives of children, families and communities. However, some changes are dependent on others, a sequence of change that is called a ***results chain***.

		Results				
Activities	→	Short-Term **Outputs** (Objectives)	→	Medium-Term **Outcomes** (Purpose)	→	Long-Term **Impact** (Goal)

As shown here, these successive levels of results relate to the short-, medium- and long-term reasons for the activity, usually expressed as its objectives, purpose and goal. These reasons answer the question: ***Why*** are we undertaking this activity? The expected results in each level answer the question: ***What will happen*** because of this activity from the short to the long term?

Keeping a spotlight on results does not mean that we ignore how the organization operates, as reflected in the definition of organizational performance adopted by this Framework:

- **Organizational performance**: the extent to which an organization or a system *operates* and *achieves results* in accordance with the expectations of stakeholders.

17. Hamann, 2003, pp. 7-8.

This definition is based on a belief that both what we do and what we achieve matter. Results-based management therefore focuses on the planning of activities *in relation* to intended results.

Since a mission statement is not something that an organization should be continually revising, it is preferable to limit this exercise to determining “results areas”—a general statement of the type of results foreseen at each level, rather than making a list of specific results. This task is better left for Step 3 (Planning, p. **12**).

Guiding Principles

Guiding principles tell stakeholders and the public what the CLC stands for and where it is going. Policy and practice regarding community schools suggest that these guiding principles relate to three general areas: purpose; leadership for building community and managing for results.

- Guiding principles related to **purpose** help remind us why we are pursuing a particular course of action. They serve to keep decision making linked to the “bigger picture.”
- **Leadership** is critical in building any organization. Guiding principles in this area state what is expected of the leadership of the CLC.
- Leaders must not only inspire change, they must manage it. Guiding principles in this area state what **managing for results** requires in terms of planning and coordinating service delivery, and evaluating the results.

Guiding principles provide reference points for action, but they should not be cast in stone. Like a mission statement, guiding principles provide both a direction and a set of values, especially when the going gets tough. Guiding principles are easy to follow on good days but much harder to live with on bad days. Given that the CLC is a long-term venture, guiding principles should help sustain it through both good and bad times.

Review Partner Mission Statements

The CLC will almost certainly affect the educational project of the school, or the equivalent mission statement of a centre, community group or agency involved in the CLC. In the case of a minor CLC initiative, each partner should expect to revise its educational project/mission statement to accommodate this new initiative. By contrast, in the case of a major CLC initiative, the school/centre, and possibly other partners, should expect to merge both into one integrated document.

2.3 Allocate Responsibilities and Resources

Having set the course, the purpose of this step is to decide on how the CLC and the partnership should be ***structured***, as well as how the roles and responsibilities assigned and resources allocated.

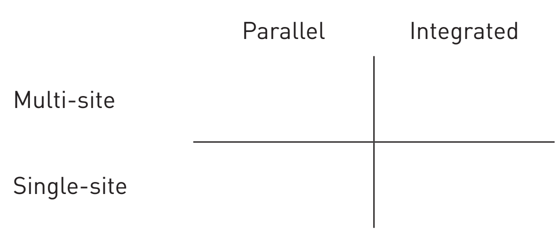
Because the scope and complexity of the CLC can vary widely, this section can only present a general overview of the range of roles and responsibilities to be considered. However, in all cases, the key by-words are:

- **Reciprocity –** a CLC is not a one-way street, with purpose and benefits defined by and on behalf of only one partner, be it the school/centre or any other organization or group.
- **Equal Voice –** even if the partnership comprises large and small organizations, or has one partner that contributes the lion's share of the resources, *all* partners should have an equal say at the table.
- **Collaboration –** successfully pursuing common goals through a new organizational structure requires more than a formal relationship; it requires a collaborative culture.
- **Flexibility –** not only does "one size" not fit all CLCs, one size will not fit any CLC all the time; one must always be prepared to adapt as changing circumstances require.

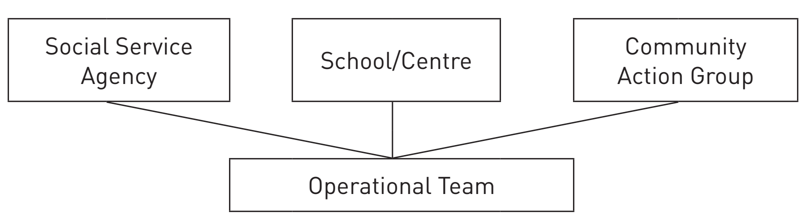
Reciprocity	**Equal Voice**
Collaboration	**Flexibility**

Structuring the CLC and the Partnership

The structures of school-community ventures vary from parallel models, where old and new structures co-exist, each with its own mandate, to integrated models, where the old is replaced by a new hybrid structure. They may also vary in terms of the level of the partnership from single-school to multisite initiatives. The combination of these two dimensions is shown below.



This Framework assumes a streamlined approach that does not include any formal structure for the partners. All work is delegated by them to an ***operational team***, for example:



The Operational Team

The "operational team" (or whatever you decide to call it) will consist of a team leader, representatives of the partners and key stakeholder groups, as well as any ***critical friends*** or other resource persons. Moreover: "Because students will be most dramatically affected by changes, they should be afforded ways to contribute to the community school effort." (see text box).[18]

> "By including children and youth . . . you will help ensure that your school reflects the needs of its young people, and you will give older students genuine opportunities to develop leadership skills and a sense of responsibility for their community."

There are many ways to make up an operational team; however, based on the experience of other jurisdictions, one appointment is crucial, namely:

- a ***coordinator/facilitator*** who fulfills a leadership role and provides technical assistance

Depending on the scope of the CLC, this appointment may be full- or part-time or may be exercised by more than one person. For example, a generalist from within the school/centre could act as the team leader, with an outside resource person providing technical assistance.

Allocation of Resources

All activities foreseen for the CLC will require resources—financial, human and material. Although the first will typically be used to purchase the latter types, some of these nonfinancial resources may come as contributions "in kind" from one or more partners.

At this stage, it is important to determine the broad parameters of the resources that each partner is—or might be—willing to contribute and any conditions that are likely to be attached to their allocation. For example, a funding agency might make its contribution contingent on being matched by another agency or upon the approval of the Action Plan (Step 3).

It is equally important to consider resources with a view to the long term, especially if the CLC has received "start-up" funding that eventually must be replaced. In other words:

- Does the CLC have, or can it acquire the necessary resources to be sustainable over time?

2.4 Conclude Partnership Agreement

This step marks the end of the initiation process when you decide if you are ready to proceed. A joint venture such as a CLC needs to be "formalized" so that the partners and other concerned stakeholders have a clear understanding of what has been agreed. Generally, this will be done in a written document that could take several forms, including a:

- contract
- protocol
- memorandum of understanding

> **All systems are go!**
> ✓ Partners are fully committed.
> ✓ CLC mission is clearly defined.
> ✓ CLC structure and roles are determined.
> ✓ Resources are allocated.
> ✓ Enabling conditions are in place.

In a formal written agreement, it is inappropriate to include details that are subject to change. Thus, for example, rather than include a detailed budget as part of the agreement, it is preferable to specify the financial and other resources to be provided by each

18. Children's Aid Society, 2001, p. 85.

partner during the life of the agreement, as well as the terms and conditions for the approval and revision of annual budgets.

The length and amount of detail of a partnership agreement will vary with the nature and complexity of the CLC, but any agreement should contain the following:

Some joint ventures may be better served by less formal arrangements; that is something you will decide locally.

- an identification of the partners
- a mission statement
- responsibilities of partners and the "operational team"
- allocation of resources
- any other relevant provisions (e.g. duration)

The conclusion of the Partnership Agreement will typically involve the following tasks:

- drafting each section of the agreement
- reviewing all provisions in a consolidated draft
- referring tentative agreement to partners for approval
- signing the agreement

In such a case, signature may be deferred until the end of Step 3.

NOTE. In the first year of a CLC, some partners may not be willing to sign the agreement until the action plan has been approved.

3 DEVELOP AN ACTION PLAN

The purpose of this step is to complete the Action Plan for the operation of the CLC. Step 3 comprises five steps:

- Determine desired results.
- Determine programs and services to be offered.
- Determine capacity to deliver services.
- Determine means to evaluate actions and results.
- Complete Action Plan.

The Action Plan maps the "***pathways to change***" envisaged by the Framework and, more specifically, by the Partnership Agreement. Planning is a balancing act: too much planning may lead to "gridlock," but too little planning may lead to chaos. A CLC's Action Plan can also be seen as a key means of *managing risk*.

- **Risk:** uncertainty about the achievement of the intended result or what that result (or the attempt to achieve it) may cause.

Risks may be visible, with immediate effect, but they may be hidden, threatening the long-term sustainability of the venture.

3.1 Determine Desired Results

The first planning task is to determine the results which the CLC wishes to achieve or to which it intends to contribute, based on the various results areas decided by the partnership in Step 2.2 (p. **6**).

Planning alone will not guarantee success, but the lack of appropriate planning will likely guarantee failure.

Making the Vision Concrete

Images of the ***impact*** of program work can seem quite vague, for example:

- more prosperous economy

These images usually become clearer with ***outcomes*** and more concrete with the ***outputs***; for example:

- graduates are employed in their chosen field (outcome)
- students in a vocational centre graduate (output)

In a joint venture, determining results means seeking points of ***convergence*** between the results sought by the various partners. This leads to establishing a mutually beneficial results chain.

Establishing the Results Chain

Results-based planning begins at the end of this chain by specifying the long-term results that we wish to see occur. Then, the technique of ***back mapping*** is used to determine the medium-term and subsequently the short-term results that must first occur to achieve them. (The next link in the results chain—the activities that will produce these short-term results—is dealt with in Step 3.2.)

Results Chain				
Outputs	→	Outcomes	→	Impact

As a joint venture of two or more organizations, the CLC seeks to achieve results that are desired by the partners. **For example**:

- A community group wishes to see young women who are either pregnant or single mothers adopt a healthy lifestyle and become more effective caregivers (short-term result).
- If successful, this will lead to healthier children, who are then more successful in school (medium-term result).
- The school is equally supportive of pursuing this result and so they create a CLC that offers, among other services, a support program for young women who are either pregnant or single mothers.

Even if you cannot determine the precise steps to be taken on the path to longer-term results, you should be able to map out broad strategies to achieve them and the approximate time frame for each. Determining short-term results is a much more concrete and immediate exercise, as the results are to be achieved not in some future time but, for example, by the end of the school year.

3.2 Determine Programs and Services to Be Offered

Choosing services to be offered requires a blend of creativity and practicality. Most of all, it requires a clear ***focus*** on feasible but effective means to achieve desired results.

Continuing the back mapping begun in the previous step, one looks for services that will produce desired results, thereby passing from *Why and to what end?* to ***How and by what means?*** The challenge for the CLC is to be *guided*, but not *blinded*, by its vision: "Programs and projects need to be grounded in reality, not in the organizations' *ideal* vision of how things *should* work."[19]

No service can be determined without a consideration of the organization's capacity to deliver the service in question. These capacities (dealt with in Step 3.3) include a range of human and material resources. Except for volunteers and other donated services, all these resources cost money. Therefore, determining which service to offer must include an analysis of costs, a key factor in deciding among alternative modes of delivering the same service and in choosing one service over another.

Given the wide range of community school initiatives across an equally wide range of contexts, a CLC can find inspiration in many existing services and programs. Making appropriate choices is critical as most organizations cannot afford to invest scarce resources if they do not support the results being sought.

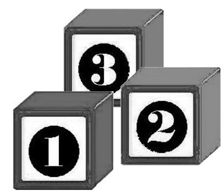
19. Delpeche et al., 2003, p. 14, emphasis added.

Once the program of activities has been decided, provision must be made for "monitoring" them.

- **Monitoring:** an ongoing process to ensure that planned activities or processes (including resources) are "on track" and that progress is being made toward intended results.

In this Framework, monitoring (which also applies to Step 3.3) is distinguished from "evaluation," a systematic inquiry about the CLC's performance (see Step 3.4). In monitoring performance, you are *keeping an eye* on the *warning lights* and other key *system gauges* to ensure that the system is performing satisfactorily.

3.3 Determine Capacity to Deliver Services



The performance of any CLC will ultimately be judged on the basis of how well it delivers services and achieves intended results. However, organizations, like people, cannot perform unless they have *capacity*, that is, "what it takes" to do well. Capacity provides the "***building blocks***" of performance, while capacity building determines which blocks are important, how they should fit together and then assembles them.

- **Organizational capacity:** the resources, systems and other capabilities of an organization that enable it to attain and sustain high levels of performance in accordance with the expectations of its stakeholders.
- **Organizational capacity development:** a continuing process by which an organization increases its capabilities to perform.

The lack of capacity is the most important reason why innovations fail and, more particularly, why they are not sustained.[20] Capacity is of obvious importance to a CLC, as the reason for its creation is to share the capacity of its partners so that together they can produce results that none of its partners could achieve singly.

Capacity development and the enhanced capacity it creates can be viewed as the last links in the results chain. In this step, one back maps from the services that will produce desired results to the capacities required to deliver these services and, if necessary, to the actions required to build these capacities.

A CLC inherits some of the capacities of its partner organizations but it may not have all the capacities it needs, especially as a new organization. An important planning task, therefore, is to determine which building blocks are required and how they should be assembled to best meet its needs in its context.

20. Fullan, 2001, p. 18.

Building blocks come in all sorts of tangible shapes (e.g. facilities and equipment) and intangible forms (e.g. interpersonal relations and organizational culture). Capacity building is not something that can be completed as a start-up activity but is a long-term endeavour. However, paying attention to capacity building from the start is perhaps the most important thing a new CLC can do to ensure its sustainability over time.

3.4 Determine Means to Evaluate Actions and Results

"Evaluation" is another term with multiple meanings. In this Framework, it is defined as follows:

- **Evaluation:** a systematic inquiry about the performance of an organization (e.g. CLC) for the dual purpose of accountability and improvement.

"Youth participation in evaluation is a process of involving young people in assessing community programs that affect their lives. It is not 'token' involvement, but active engagement where youth have real influence in decisions."

This Framework has been designed to support "**self-evaluation**,"[21] an approach in which the organization takes primary responsibility for evaluating its own *performance*, as defined previously in Step 2.2. This approach is consistent with both Québec's public service management framework and the school-centred reform of education.

Self-evaluation is a ***participatory process*** involving all major stakeholders (see text box).[22] Like the overall process described by this Framework, it begins with planning, the focus of this step (3.4), then proceeds to the actual conduct of the evaluation (Step 5), which ends with "feedback loops" that set the stage for the next cycle of planning and service delivery. Like any so-called *linear* process, it is not as straightforward in practice as it appears on paper, with a good deal of "back and forth" movement along the way.

Setting the Direction

Mindful of keeping the evaluation manageable, this Framework limits the scope of site-level evaluation by a CLC to ***key areas of performance*** addressed cyclically (e.g. annually). This limitation does not ignore the importance of more in-depth or specialized evaluations, it merely assumes that they will be a shared responsibility of the CLC, its partners, local and regional agencies or relevant government ministries, according to the nature and purpose of these evaluations.

Once the course of the evaluation has been set, the usual tasks of project/program management come into play, namely organizing the flow of work and allocating resources. Sketching out a preliminary time line may be the first "reality check" of the exercise as the evaluation team compares the scope of the evaluation as originally envisaged and the *actual* amount of time available.

If the evaluation is to have credibility, the plan should outline the ethical and other standards it will respect. Any evaluation needs to be ***trustworthy***; if stakeholders do not have faith that it paints a complete and accurate picture of whatever is being evaluated, they will ignore its findings. If this happens, all the investment of time and energy may be for nothing.

21. See Smith, 2004.

22. Horsch, et al., 2002, p. 1

Deciding What Will Be Evaluated

Organizational performance is concerned with the entire spectrum of the results chain discussed earlier, from:

- building organizational capacity to provide services, to
- delivering the services to students and the community, and
- achieving intended results (short, medium and long term)

In order to focus the evaluation on the most important aspects of its performance, the CLC must decide precisely which aspects will be evaluated. This decision defines the ***objects*** of the evaluation, that is, *what* performance will be evaluated, but not *how good* that performance should be. The latter requires some expression of performance "standards." Once again, a confusion of terms abounds; in this Framework, we use the three terms defined below.

> - **Performance standards**: specify the level(s) or degree(s) of desired performance, often using various *evaluation criteria* that enable us to observe and measure performance.
> - **Performance targets**: specify the expected level of performance, often in a given space of time, with respect to some object of evaluation.
> - **Benchmark**: a comparative reference point for setting *performance standards* and *targets*.

Once a CLC has decided what is to be evaluated, it must then ask itself: ***How*** do we measure performance in relation to each object?

Measuring Performance

Because organizational performance is neither simple nor straightforward, the evaluation is usually done by means of performance *indicators* as defined below:

> - **Indicator:** a *pointer* that provides a *proxy measure* or a symbolic representation of organizational performance.

Indicators tend to be viewed as specialized statistics that *quantify* performance; however, *qualitative* indicators (e.g. visual and narrative expressions) can be useful when quantitative measures are not feasible or when a more *symbolic* representation of quality is desired.

The production of indicators requires **sources** of appropriate data and the **means** to collect and analyze them, which often involves the creation of "instruments" such as questionnaires and rating scales. This exercise provides another reality check as the feasibility of using any given indicator depends on having the capacity to produce it.

Producing indicators can become quite technical; however, the most important point remains that the indicators must measure what matters to the CLC.[23]

23. Stoll & Fink, 1996, pp. 166-167.

AN EXAMPLE OF PERFORMANCE MEASUREMENT

- A desired result, that graduates obtain work in their chosen field within two years, becomes an **object** of the evaluation.
- A survey reveals two **benchmarks**: the average for all centres in Québec is 80% (employment in chosen field within two years) and the rate of the top ten centres is 90-95%.
- Aspiring to be a top centre, the **standard** of 90% is set.
- However, given its past performance (50-60%), successive **targets** of 70%, 80% and 90% are set for a three-year period.
- The chosen **indicator** is the percentage of graduates who report finding such employment.
- The **sources/methods** of **data collection**: a questionnaire mailed to graduates two years after graduation; of **analysis**: quantitative data will be analyzed using a spreadsheet, while qualitative data will be analyzed separately.

The Action Plan
- Intended Results
- Activities
- Monitoring
- Evaluation
- Work Plan
- Resources

Sign Partnership Agreement, if the actual signing of the partnership agreement (Step 2.5) was deferred until the action plan was completed.

3.5 Complete Action Plan

This final step is first used to consolidate and review all aspects of the Action Plan completed in steps 3.1 to 3.4, while taking into account each partner's annual planning.

Review Partner Planning

The Action Plan will almost certainly affect the school/centre's success plan and the equivalent plans of each community group or agency involved in the CLC. The impact of the Action Plan on the success plan or its equivalent should be determined before it is presented to the partners for approval.

Once the plan has been reviewed, it needs to be approved in accordance with any relevant parameters of the Partnership Agreement.

4 IMPLEMENT ACTION PLAN

The purpose of this step is to implement the Action Plan developed in the previous step. Step 4 comprises three steps:

- Allocate resources and begin service delivery.
- Allocate resources and conduct capacity building.
- Monitor service delivery and capacity building.

This is the second key transition point in the process, where ***action replaces planning***.

In this step, you will enter the first link of the results chain, by undertaking the activities that have been designed to produce the short-term results set for the CLC.

4.1 Allocate Resources and Begin Service Delivery

This step is, in theory, quite straightforward: simply do what the Action Plan says should be done, for example, hire or reassign the staff and allocate the resources provided for each program and other service foreseen in the plan. However, in practice, this step may prove to be more difficult and some "re-tooling" of the Action Plan may be required.

4.2 Allocate Resources and Conduct Capacity Building

As noted earlier (p. **14**), service delivery requires capacity and it is possible that some capacity-building activities may need to occur before some aspects of service delivery are undertaken. Others may take place at the same time or at a later date as circumstances warrant. The key point is that capacity development should not be neglected and put off until that mythical future state, when there will be time for such things.

4.3 Monitor Service Delivery and Capacity Building

Once again, this step puts into practice the plan adopted for keeping both service delivery and capacity building on track in terms of progress toward results, conduct of activities and allocation of resources.

Conducting the evaluation of the CLC's performance flows from the evaluation plan developed in Step 3.4.

5 EVALUATE

The purpose of this step is to conduct the evaluation of the service delivery and capacity building carried out in the previous step. Step 5 comprises three steps:

- Collect the data.
- Analyze the data.
- Report to stakeholders.

This step completes the programmatic cycle and sets the stage for the next one to begin.

5.1 Collect the Data

Data are simply *bits* of information used to produce the indicators described earlier (p. **16**). There are two major types of data:

- **quantitative data**, that are numerical in nature, that is, information bits that can be counted
- **qualitative data**, that are verbal or visual in nature, that is, information bits that cannot be counted

There are a wide variety of methods for collecting data, including:

- interactions with people
- observation of settings or activities
- archival gathering of data

The data collection process is largely predetermined by the methods chosen to produce the indicators in Step 3.4.

5.2 Analyze the Data

The principal task at this stage is to assemble the bits and pieces collected in the previous step and make sense of them.

The processing of quantitative data consists of three major tasks:

- entering the data in a computerized data file
- performing various statistical operations on the data
- tabulating the results

The analysis of qualitative data requires a very different process, however, they provide a richness not found in quantitative data.[24]

Once all the data are in and analyzed, the evaluation team will be in a position to develop conclusions. It is at this point that the team needs to ensure that its findings accurately reflect the data collected and analyzed and that its conclusions are firmly grounded in these findings

24. See Patton, 2002.

5.3 Report to Stakeholders

Just as CLCs vary in terms of purpose, scope, and so forth, evaluation reports vary widely from informal short reports to longer and more formal ones. There is no single format nor one generic outline that will work for all CLC evaluation reports. However, in this day and age of *multimedia*, conventional *paper reporting* is hardly sufficient; reporting will also include Web sites and other electronic media, as well as face-to-face communication.

As a learning community, a CLC needs to continually reflect on its experience. Like a reflective practitioner, organizations need to step outside the flow of everyday work in order to gather information about what has taken place, interpret that information in light of the organization's goals and context and generate ***lessons learned*** on the basis of this reflection. These lessons learned form an important part of the report and provide the basis for what the organization needs to do in future action plans.

If a CLC does not make real use of evaluation findings, it is extremely unlikely that the improvement purpose will be served. Accordingly, the outcomes of the evaluation include follow-up actions for future improvement. In addition to multiple uses of data by stakeholders, these actions become part of the feedback loops for the next planning cycle, that is, the application of lessons learned from reflections on past experience to future policy and practice.

Reporting and the Partners

In the same way that planning the evaluation must relate to each partner's plan for evaluating its own performance, reporting on the evaluation of the CLC must either take this other reporting process into account or merge with it, depending on decisions made in the planning stage.

A Final Word

The evaluation report is the public proof that schools can "speak for themselves," as illustrated by this image from a report commissioned by the National Union of Teachers in the UK[25] This image also reflects the important role that students can and should play, not only in evaluation, but in the development of any major policy initiative.

The report also marks a pivotal point between one planning cycle and the next. At the beginning of this cycle we asked: What is a CLC and why would we want one? Hopefully, at this point you will have a positive response to this question while asking another one: ***Yes, but can we sustain it in the future?***

25. See MacBeath, Boyd, Rand & Bell, 1996.

Sustainability is a key element in the theory of change underlying this Framework. That is why capacity-building is given so much prominence in this Framework, including the evaluation of capacity-building activities. The "buzz" created by an innovation, especially if external support is provided, can lead to initial success, but only organizational capacity can sustain it over the long term. The evaluation report provides the basis for developing various capacities and ensuring that the vision that inspired the partners to create the CLC in the first place can be sustained over time.

FOR MORE INFORMATION

This document is one of several publications in a series entitled available on the LEARN CLC Web site, including the following:

- ***A Promising Direction for English Education in Québec*** and ***So You Want to Create a Community Learning Centre: An Overview of the CLC Framework for Action*** provide an introduction to CLCs for a general audience.
- ***The CLC Resource Kit*** (which includes the ***Framework***, a ***Guidebook***, ***Templates*** and a ***Workbook***) provides detailed suggestions for implementing the Framework for the person responsible for coordinating this process.

More information on community schools in general, as well as this Framework in particular, can be obtained from a variety of sources, starting with the publications contained in the Reference List. Many of these publications can be obtained free from the Web site included in the reference.

GLOSSARY OF KEY TERMS

• **Benchmark**: a comparative reference point for setting *performance standards* and *targets*.
• **CLC**, or community learning centre: an equal partnership of schools/centres, public or private agencies and community groups, working in collaboration to develop, implement and evaluate activities to answer school and community needs that will enhance student success and the vitality of the English-speaking community of Québec
• **Evaluation**: a systematic inquiry about the performance of an organization (e.g. CLC) for the dual purpose of accountability and improvement.
• **Indicator**: a *pointer* that provides a *proxy measure* or a symbolic representation of organizational performance.
• **Monitoring**: an ongoing process to ensure that planned activities or processes (including resources) are "on track" and that progress is being made toward intended results.
• **Organization**: an entity composed of individuals, groups or other organizations, that act together toward some shared goals within an identifiable structure defined by formal and informal rules.
• **Organizational capacity**: the resources, systems and other capabilities of an organization that enable it to attain and sustain high levels of performance in accordance with the expectations of its stakeholders.
• **Organizational capacity development**: a continuing process by which an organization increases its capabilities to perform.
• **Organizational performance**: the extent to which an organization or a system *operates* and *achieves results* in accordance with the expectations of stakeholders.
• **Performance standards**: specify the level(s) or degree(s) of desired performance, often using various *evaluation criteria* that enable us to observe and measure performance.
• **Performance targets**: specify the expected level of performance, often in a given space of time, with respect to some object of evaluation.
• **Result**: a describable or measurable change that occurs because of some action supported by various resources: • **outputs**: short-term results (objectives) • **outcomes**: medium-term results (purpose) • **impact**: long-term results (goal)
• **Results chain**: the sequence of change from program resources and activities to outputs, outcomes and impact.
• **Risk**: uncertainty about the achievement of the intended result or what that result (or the attempt to achieve it) may cause.

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Resource Kit

THE COMMUNITY LEARNING CENTRE

Guidebook

for Implementing a Collaborative School-Community Partnership

Holistically planned action for educational and community change

Guidebook

The Community Learning Centre

THE CLC RESOURCE KIT

Guidebook

for Implementing a Collaborative School-Community Partnership

Holistically planned action for educational and community change

The Community Learning Centre

Holistically planned action for educational and community change

A series promoting educational success and the development of the Anglophone community in Québec.

The CLC Resource Kit: Guidebook for Implementing a Collaborative School-Community Partnership

Working Document (2007.09.25)

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Acknowledgment

The Coordinating Committee wishes to acknowledge the input from the CLC coordinators, whose feedback was very helpful in producing this edition.

Ministère de l'Éducation, du Loisir et du Sport
Community Learning Centres—Resource Kit

ISBN 978-2-550-60913-1 (print version)
(French edition: ISBN 978-2-550-59743-8)

Guidebook (PDF)
ISBN 978-2-550-59744-5
(French edition: ISBN 978-2-550-59745-2)

Legal Deposit—Bibliothèque et Archives nationales du Québec, 2012
Legal Deposit—Library and Archives Canada, 2012

11-00179-A

SUMMARY

Lists the same **Steps** found in the Framework (pp. IV-V), plus additional headings corresponding to the operational challenges of each step.

TABLE OF CONTENTS

USING THIS GUIDEBOOK

The Framework for Action

Recognizing the importance of the school-community collaboration, the Ministère de l'Éducation, du Loisir et du Sport du Québec (MELS) supported the development of the **CLC *Framework for Action***. It outlines a series of steps that schools, vocational and adult training centres and community groups can use to create a *community learning centre*.

MELS then mandated LEARN to revise and publish the Framework, and to create other related materials. All LEARN publications supporting CLCs are available on the **CLC** Web site under the general series title, ***The CLC Resource Kit***.

What You Can Expect From the Guidebook

The Guidebook provides guidelines and resources for implementing the "grounded theory of sustainable change" outlined in the Framework (see below).

The Guidebook has been written for those assuming a leadership role in coordinating each of these steps, be they novice or expert leaders.

More specifically, it offers *practical* and *user-friendly* suggestions as to **how to** achieve the purpose of and undertake the actions foreseen for each step. For example, it should enable schools and their partners to:

- conduct consultations on the potential for a CLC in the community
- complete a mapping of the community's needs and assets
- identify key priority areas for action
- create partnership agreements
- prepare an action plan with impacts, outcomes, outputs and activities
- design a monitoring and evaluation plan

What you should not expect is a *blueprint* prescribing what you must do at every step. ***It's up to you*** to use the Guidebook as a resource that you can adapt to suit your own situation and needs.[1]

A Grounded Theory of Sustainable Change

Creating a CLC constitutes a ***journey of change*** for which the CLC Framework and related materials provide a "roadmap" (see text box).[2] Together, they express an underlying "grounded theory" of "sustainable change."

1. Leading a CLC requires a wide range of knowledge and skills and this Guidebook does not pretend to deal with all of them nor even deal completely with those subjects it does present. Thus, left to other texts are:
   - school effectiveness and school improvement (see e.g. Harris & Bennett, 2005; Joyce, Calhoun & Hopkins, 1999; MacBeath & Mortimore, 2001)
   - research methods (see e.g. Anderson, 1998; Gall, Gall & Borg, 2006; Patton, 2002)
   - organizational leadership and change (see e.g. Fullan, 2001; Hargreaves, Lieberman, Fullan & Hopkins, 2006; Wagner et al., 2006; Watson, 2003)
2. Organizational Research Services, 2004, p. 1.

"Every community needs a roadmap for change. Instead of bridges, avenues and freeways, this map would illustrate destinations of progress and the routes to travel on the way to achieving progress. The map would also provide commentary about assumptions, such as the final destination, the context for the map, the processes to engage in during the journey and the belief system that underlies the importance of traveling in a particular way. This type of map is called a 'theory of change'."

"**Grounded theory**" refers to the development of theory based on the study of the real world. Thus, one begins by observing change in real organizations and then slowly and carefully building theories and "formulating them into a logical, systematic, and explanatory scheme."[3] Once woven together, these strands becomes the organization"s "**theory of change**."

Any theory of change begins with a desired *destination*: a set of results based on the organization's values and beliefs. The theory is "fleshed out" by a strategically planned alignment of actions and conditions that evidence from experience or research demonstrates are necessary and sufficient to achieve intended results.[4] Qualifying such a change theory as "**sustainable**" adds a time dimension—change that is meant to last.

CLC Partnership → Create Condition & Provide Services → Ongoing Student Success & Lasting Community Development

Simply put, the Frameworks' theory of sustainable change is that a CLC, following the guidelines presented here, can create conditions and provide services that will promote ongoing student success and lasting community development, as shown below.

No fixed set of conditions or services is prescribed but those suggested are grounded in the experience of diverse communities in multiple contexts. You can use these suggestions to build your own theory of change to meet the needs of your community.

Organization of the Guidebook

The five main sections of the Guidebook correspond to the **Five Steps** of the Framework.[5]

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

Framework, p. **#**

Individual steps include a cross-reference to the Framework in the right margin (⌦) as shown here.

To help map your journey through the Guidebook, each step begins with a summary of what is to follow, presented in a table entitled "**Step X at-a-Glance**," signalled by the icon shown here in the right margin.

Primary material (that which is essential to complete each step) is contained in the main body of text, and presented in paragraphs that are flush with left margin (as seen here).

- **Secondary** material (that provides additional information) is contained in bulleted paragraphs that are indented (as seen here), as well as in **EXHIBITS** (**bold**, centred heading in SMALL CAPS as shown below), **text boxes** and **graphics** (in the text or in the right margin), as well as **footnotes** at the bottom of the page.

EXHIBITS

Exhibits are used to display short quotations, examples, comments, etc., and serve to allow the primary information contained in the main body of the text to flow around this secondary material, as shown here.

3. Strauss & Corbin, 1998, p. 21.
4. See Anderson, 2004, 2005; Auspos & Kubisch, 2004; Kreider, 2000; Organizational Research Services, 2004; see also, the Web site of the **Change Leadership Group** at the Harvard Graduate School of Education.
5. A summary of the **results** anticipated from and the **operational challenges** of each step can be found on page **IX**.

Key words in the text are highlighted in a **bold** font. The Guidebook also makes frequent use of icons, such as the "map tack" shown above or the "flag" shown in the right margin.[6]

Audit Step

Templates. – The icon shown here in the right margin signals a template that can be used to develop various instruments (e.g. rating scale) and forms (e.g. work plan). The templates and instructions for using them are provided in ***Templates for Collaborative Action Planning***. As also shown in the right margin above, a cross-reference to the template is included in parentheses.[7]

See **Evaluation Checklist**

Templates, p. **#**

The Guidebook uses **hyperlinks** to enable you to go directly to other sections of the Guidebook (as seen below for the Reference List), as well as to relevant Web sites (e.g. **Coalition for Community Schools**).

- This only works if you are using the PDF version ( ) of the Guidebook (from the **CLC** Web site) on your computer.

You can use **key words** to search the PDF version for material on a topic (e.g. "capacity").

Footnotes at the bottom of the page provide a link to source materials quoted (including quotes in text boxes), as well some comments on the text, while ✓ notations in light blue text boxes highlight other source materials.

On the **CLC** Web site, you will find: the ***CLC Resource Kit***:

- ✓ *Framework for Action for Anglophone Schools, Centres and Communities*
- ✓ *Guidebook for Implementing a Collaborative School-Community Partnership*
- ✓ *Templates for Collaborative Action Planning*
- ✓ *Workbook for Individualized Planning*

and other **documents:**

- ✓ *A Promising Direction for English Education in Québec*
- ✓ *So You Want to Create a Community Learning Centre: An Overview of the CLC Framework for Action*
- ✓ *From Values to Results: Key Issues and Challenges for Building and Sustaining School-Community Collaboration*

A **Glossary** of all key terms can be found near the end of the Guidebook (p. **98**), followed by a **Reference List** (p. **102**) providing bibliographic details of all source materials

It's up to you. Like the Framework, this Guidebook is *advisory, not prescriptive*. It is your decision to:

- **adopt** the suggestions for any given step
- **adapt** them to better meet your needs, or
- **replace** them with some other approach

Every local context is different. At the end of the day, what counts is that your actions lead to the results you have set and that you are comfortable with both the means and the ends of this process. After all, it's your destination and your journey: *it's up to you where you go and how to get there.*

A Summary of Anticipated Results

The following summarizes the results being sought by each of the five major steps of the Framework in order to create the conditions and provide the services that will lead to ongoing student success and lasting community development.

6. The Guidebook includes an eight-step process to conduct an **evaluation audit** (see p. **55**); each step of the audit is signalled by a 'flag' as shown above.
7. A set of blank templates is also provided in another companion document: ***Workbook for Individualized Planning***. It is published in a **Word** version so that you can use it to create your own instruments and forms. Cross-references to the Workbook are signalled in the text, the right margin or a footnote, as shown here (**Workbook**, Step **#**).

STEP	ENABLING RESULT	→	PRIMARY OUTPUT	→	INITIAL OUTCOME
1	Relevance and feasibility of CLC ascertained	→	Decision to proceed (precondition for Step 2)	→	Step 2 undertaken
2	Consensus among partners regarding proposed venture	→	Partnership Agreement (precondition for Step 3)	→	Step 3 undertaken
3	Desired results, actions to be taken and means to evaluate determined	→	Action Plan (precondition for Step 4)	→	Step 4 undertaken
4	Services to students and community, and capacity-building activities provided	→	"First-level" results from service delivery and capacity building	→	Enhanced student success and community development, according to CLC purpose
5	Relevant data collected and analyzed; lessons learned and feedback loops constructed	→	Evaluation reports (accountability to stakeholders and data for improvement)	→	Changes to purpose, and ways and means, as required; ready for next cycle

See **Checklist of Operational Challenges**

Templates, p. **3**

Operational Challenges

The following shows the ➢ *operational challenges* of each of the steps outlined in the Framework to be undertaken by a school/centre and community partners to achieve the results outlined above.

ACTION STEPS AND OPERATIONAL CHALLENGES	
1 EXPLORE	
1.1	See What CLCs Look Like in Other Communities ➢ Gather useful information about community schools ➢ Construct your knowledge about community schools
1.2	Create an image of a CLC for your community ➢ Construct an initial map of the community ➢ Determine the implications of a CLC for your community
1.3	Decide to Proceed ➢ Determine if the partners and their organizations are ready to embark on this joint venture ➢ Produce the anticipated output for Step 1: Decision to proceed
2 INITIATE	
2.1	Map Your Needs and Assets ➢ Identify the needs of the community in relation to the type of CLC envisaged ➢ Identify the assets of the community in relation to meeting the foregoing needs
2.2	Develop Mission Statement ➢ Prepare a statement of values and purpose for the CLC ➢ Identify the kinds of results that the partners expect from the CLC ➢ Establish an appropriate set of principles to guide the operation of the CLC ➢ Combine the foregoing elements to draft a mission statement ➢ Determine how the proposed CLC affects each partner's mission statement

ACTION STEPS AND OPERATIONAL CHALLENGES (CONT.)	
2.3	Allocate Responsibilities and Resources ➢ Structure the CLC to meet identified needs, while dealing with contextual realities ➢ Given the structure of the CLC, assign appropriate roles and responsibilities to the partners ➢ Given these decisions, assign appropriate roles and responsibilities to the operational team ➢ Given the above decisions, determine the general parameters governing the allocation of resources for the CLC
2.4	Conclude Partnership Agreement ➢ Establish an appropriate process for concluding the Partnership Agreement ➢ Determine the content of the Partnership Agreement ➢ Produce the anticipated output for Step 2: A signed Partnership Agreement
3 PLAN	
3.1	Determine Desired Results ➢ Seek points of convergence between the results sought by the various partners ➢ Establish a mutually beneficial chain of intended results
3.2	Determine Programs and Services to Be Offered ➢ Determine the activities that are likely to produce the short-term results that have been set for service delivery ➢ Establish a process to monitor service delivery that is both feasible and effective
3.3	Determine Capacity to Deliver Services ➢ Develop a holistic understanding of the performance capacity for our CLC ➢ Determine the activities that are likely to produce the short-term results that have been, or should have been, set for capacity development ➢ Establish a process to monitor capacity building that is both feasible and effective
3.4	Determine Means to Evaluate Actions and Results ➢ Establish the parameters that define the nature and limits of the evaluation ➢ Decide how to plan the evaluation ➢ Determine precisely what will be evaluated ➢ Adopt performance standards for each object to be evaluated ➢ Select appropriate indicators to measure the objects to be evaluated ➢ Determine appropriate sources and methods of data collection and analysis for each indicator selected
3.5	Complete Action Plan ➢ Establish an appropriate process for concluding the Action Plan ➢ Determine how the CLC action plan fits with each partner's annual plan ➢ Determine the content of the Action Plan ➢ Produce the anticipated output for Step 3: An approved Action Plan
4 IMPLEMENT	
4.1	Allocate Resources and Begin Service Delivery ➢ Carry out the plan for the delivery of services ➢ Produce the first set of outputs anticipated for Step 4: Initial results from services provided to students and community
4.2	Allocate Resources and Conduct Capacity Building ➢ Carry out the plan for building capacity ➢ Produce the second set of outputs anticipated for Step 4: Initial results from capacity building of CLC
4.3	Monitor Service Delivery and Capacity Building ➢ Carry out the plan for monitoring service delivery and capacity building

ACTION STEPS AND OPERATIONAL CHALLENGES (CONT.)	
5 EVALUATE	
5.1	Collect the Data ➢ Find the necessary data to produce the indicators chosen ➢ Collect the data chosen after determining appropriate methods for this purpose
5.2	Analyze the Data ➢ Process the data collected after determining appropriate methods for this purpose ➢ Interpret the processed data after determining appropriate methods for this purpose
5.3	Report to Stakeholders ➢ Document the entire evaluation process ➢ Prepare a comprehensive report of the evaluation, including process, findings and recommendations ➢ Undertake appropriate means to inform various groups of stakeholders about the evaluation ➢ Ensure follow-up from the results of the evaluation, including the lessons learned

- The steps in this process are sequential but what you do in one step may cause you to revisit an earlier step. Going back and forth is not cause for concern; in fact, it is what you should expect (see Your Steps, Your Sequence, Your Time Line in the Framework, p. **V**).

1 EXPLORE

The **purpose** of this step is to explore the possible creation of a CLC. By the end of this step, you should expect to have achieved the results summarized below.

STEP 1 AT-A-GLANCE

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

Step	Enabling Result	→	Primary Output	→	Initial Outcome
1	Relevance and feasibility of CLC ascertained	→	Decision to proceed (precondition for Step 2)	→	Step 2 undertaken

↓

1.1 See what CLCs look like in other communities

↓

1.2 Create an image of a CLC for your community

↓

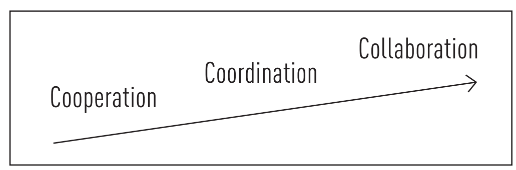
1.3 Decide to Proceed

As shown in this summary, Step 1 comprises three individual steps that enable you to decide whether to proceed with the creation of a CLC.

This brief introduction to Step 1 is intended to provide some key concepts about the nature of a CLC before beginning Step 1.1.

School-community relations can take a variety of forms, which range along a continuum from cooperation to collaboration:

- **cooperation**: informal, *ad hoc* arrangements for some limited purpose between organizations that maintain their own autonomy, through
- **coordination**: a more formal agreement to work together for a limited period of time, to
- **collaboration**: a formal partnership intended to be sustained over time



In this Framework, a CLC is defined as an ***organization***.[8] It shares many of the characteristics of any organization, such a school or a government agency, but it also has its own distinct features. Thus we define a CLC as:

- an equal partnership of schools/centres, public or private agencies and community groups, working in collaboration to develop, implement and evaluate activities to answer school and community needs that will enhance student success and the vitality of the English-speaking community of Québec.

Given this definition, a CLC falls on the high end of the cooperation-collaboration continuum.

A partnership of people: Although a CLC is an organization,[9] in essence, it is a partnership of people; what counts the most are the "processes and relationships" among its

The **Policy Research Initiative** is a excellent source of information on social capital.
- ✓ Schuller, 2001
- ✓ Woolcock, 2001
- ✓ PRI, 2003

8. **Organization**: entity composed of individuals, groups or other organizations, that act together to achieve shared goals within an identifiable structure defined by formal or informal rules.
9. Some people may not be comfortable with defining a CLC this way because of a preconceived image of an organization as a bureaucratic structure. While some organizations are bureaucratic, this characteristic does not apply to organizations in general, and certainly not to a CLC, as envisaged by this Framework.

participants rather than its "structures and rules."[10] The CLC is a means by which its members work together to create 'social capital' for a common end.[11]

- "Family, friends, and acquaintances frequently constitute an important asset essential to the well-being of Canadians. When one is seeking support to make it through hard times, searching for a new job opportunity, or simply living a full and active life, it pays to know people. This is the simple idea behind the concept of social capital."[12]

See the **CHSSN** Web site for material about the importance of social capital for building community vitality.

Social capital comprises several threads, as suggested by a recent report of the Québec Community Health and Social Services Network (CHSSN):[13]

- **Social participation**: generally indicated in voluntary community activities, joining a social club or recreational association.
- **Social support networks**: this aspect refers to care relationships such as the support systems of family, friends and neighbours. It can include formal and informal arrangements.
- **Civic engagement**: indicated in political participation, knowledge of community initiatives, and perception of the capacity of the community to influence events.
- **Social inclusion**: this aspect refers to elements like trust in people and institutions, sense of belonging, and confidence in public institutions.

Holistic vision: A CLC offers an antidote to the compartmentalization of services through a more integrative or holistic approach to service delivery.[14]

Reference to sustainability will be made throughout this Guidebook (see pp. **26**, **33**, **38**, **39**, **48** and **54**).

Sustainability: In this Framework, the CLC is envisaged as a long-term investment–not necessarily forever, but more than a "one-off" venture of limited duration, sustainability. The long term viability of the CLC is an important issue.

- To many people, sustainability is associated almost exclusively with funding.[15] This Framework takes a wider view, that there are significant dimensions of sustainability beyond money, namely its spirit, values, niche and capacity.[16]
- Sustainability does not occur as a matter of course; it is something that any organization must constantly strive for, if it is to endure beyond the "honeymoon" period created by initial enthusiasm and start-up funding.

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10. Mitchell, Walker & Sackney, 1997, p. 52.
11. **Social capital**: networks of social relations that provide assets or access to assets, including human, financial or other resources; it differs from **human capital**, which refers to the competencies, capacities and other attributes possessed by individuals.
12. Policy Research Initiative, 2005, p. 1. A special issue of **ISUMA**, the Canadian Journal of Policy Research (no longer published) is devoted to social capital
13. Pocock, 2006, p. 2.
14. This reflects an ***ecological*** view of school and community as an organic whole which "promotes the interrelationship between the school and the family, and the school and the community" (Saskatchewan Learning, 2000, p. 1).
15. E.g.: "The ability of an organization to secure and manage sufficient resources to enable it to fulfill its mission effectively and consistently over time without excessive dependence on a single funding source" (Horton et al., 2003, p. 164).
16. "The degree to which [an organization] is able to articulate, teach and live its core values with integrity constitutes the foundation and structural framework on which organizational life is built" (David, 2002, p. 7).

The Finance Project in the United States has devoted considerable attention to the sustainability of community-based programs and initiatives. The following exhibit provides a capsule of their sustainability planning framework.[17]

See **The Finance Project** Web site, including several from the US Department of Health and Human Services:

- ✓ USDHHS, 2006a, 2006b

THE FINANCE PROJECT SUSTAINABILITY FRAMEWORK

Element	Description
1 Vision	Capturing what you are trying to achieve and how your initiative fits within your community.
2 Results Orientation	Clearly defining intended results based on data about your community, and planning for and evaluating progress of their achievement.
3 Strategic Financing Orientation	Making the best possible use of existing resources while pursuing opportunities for new sources of funding and other support.
4 Broad-Base Community Support	Continually making efforts to reach out to a broad spectrum of community members to ensure the long-term vitality of the initiative.
5 Key Champions	Seeking out key individuals and groups whose advocacy will galvanize the support of others.
6 Adaptability to Changing Conditions	Anticipating, influencing and responding to changes in the environment that are critical to the initiative's continued viability.
7 Strong Internal Systems	Effective and efficient management systems are necessary to maintaining the quality of the initiative over time.
8 Sustainability Plan	A sustainability plan deals with all the elements necessary for the sustainability of the initiative in a comprehensive and holistic manner.

17. Langford & Flynn, 2003. (The **Finance Project** provides research, consulting, technical assistance and training for public and private sector leaders.)

Framework, p. **1**

1.1 See What CLCs Look Like in Other Communities

As summarized below, the purpose of this step is to see what community schools look like in other communities as an initial step in exploring the desirability and feasibility of creating your own CLC.

STEP 1.1 AT-A-GLANCE

1.1 See What CLCs Look Like in Other Communities → 1.2 Create an Image of a CLC for Your Community → 1.3 Decide to Proceed

Step 1.1
Operational Challenges

Gather useful information about community schools

↓

Construct your knowledge about community schools

↓

Primary Output

Synthesis of what you have learned

The **major challenges** in this step are to find out about CLCs, share that information with others and, together, create a common understanding of what this venture could mean to you and your community.

Gathering Useful Information

The first LEARN publication on CLCs is entitled *A Promising Direction for English Education in Québec* (see **CLC** Web site). It provides a starting point for determining what a CLC could/should look like in your community from the perspective of different "stakeholders."[18]

The material that follows will help you meet this challenge by presenting:

- an overview of different images of community schools
- the implications of becoming a "learning community"
- the implications of becoming a "full-service" centre

The "Knowledge Center" of the Annie E. Casey Foundation is an excellent source of information on community development:

- ✓ Annie E. Casey Foundation, 2007
- ✓ Bailey, 2006
- ✓ Bailey, Jordan & Fiester, 2006
- ✓ Jehl, 2007
- ✓ Jordan, 2006
- ✓ Manno, 2007

Images of Community Schools

Coalition for Community Schools

One of the best sources of such information is the **Coalition for Community Schools**. Their summary definition of a community school is cited below.[19]

18. **Stakeholders**: persons and bodies that have a *stake* in the CLC, who: (a) deliver services, for example, centre staff; (b) are responsible for service delivery, for example, the partners; or (c) benefit from, pay for or are otherwise affected by these services, for example, students, taxpayers and community members.
19. Institute for Educational Leadership, 2002, p. IX.

A SNAPSHOT OF A COMMUNITY SCHOOL (CCS)

Community schools are public schools that are open to students, families, and community members before, during, and after school throughout the year. They have high standards and expectations for students, qualified teachers, and rigorous curriculum. The staff knows that students and their families need more to succeed, so community schools do more.

Before- and after-school programs build on classroom experiences and help students expand their horizons, contribute to their communities, and have fun. Family support centers help with parent involvement, child rearing, employment, housing, and other services. Medical, dental, and mental health services are readily available. Parents and community residents participate in adult education and job training programs, and use the school as a place for community problem solving.

Community schools use the community as a resource to engage students in learning and service, and to help them become problem-solvers in their communities. Volunteers come to community schools to support young people's academic, interpersonal, and career success.

Individual schools and the school system work in partnership with community agencies to operate these unique institutions. Families, students, principals, teachers, and neighborhood residents decide together how to support student learning.

The **CCS Web Site** contains a well-organized set of valuable materials (⌦ **Supp. Mat.**, p. **153**), including:

- ✓ Berg, Melaville & Blank, 2006
- ✓ Blank & Berg, 2006
- ✓ Blank, Melaville & Shah, 2003
- ✓ CCS, 2000
- ✓ Institute for Educational Leadership, 2002
- ✓ Melaville, Berg & Blank, 2006

Saskatchewan Learning (SL) has done considerable work developing a community school culture, which they call a *caring and respectful school environment* (CRSE).[20]

See the **CSRE** Web site and other materials from **Saskatchewan Learning**, including:

- ✓ SL, 2002
- ✓ SL, 2004a, 2004b

20. Task Force on the Role of the School, 2001, p. 142.

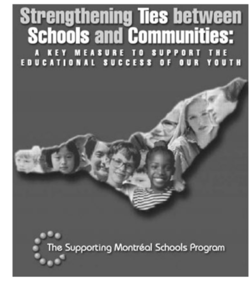
A CARING AND RESPECTFUL SCHOOL COMMUNITY (SASKATCHEWAN)

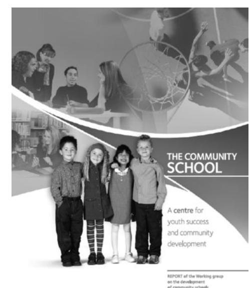
- The Community School concept has its roots in community development ideas. These schools collaborate with community members to strengthen both the school and the community in which the school is located. Close ties to the community ensure that school programs reflect the cultural and socioeconomic life experiences of the children and youth who attend, and also are directed at meeting their unique needs.
- Community Schools are characterized by the provision of at least some of the following integrated school-linked services to children and youth, and their families: education, health, social services, justice and recreation. The school is the most convenient site for the delivery of these community-based services.
- Community Schools value community involvement to enable all students to succeed. Parents especially are encouraged to share responsibility for the education of their children. Community School Councils are made up of representatives from the school, including students, and the community. This structure guides the development of the relationship between school and community, and creates the opportunity for community/school collaboration and participation in important decision making.
- Community Schools focus on community development as well as school development. As well as programs for students, school facilities are used for community events, meetings and programs. Adult education activities and day cares are well suited to Community Schools and serve as examples of how community functions can be integrated into the school. An "open door" policy is evident in these schools.
- Teachers' roles are different in Community Schools. Teachers are compelled to interact much more closely with the community and various service providers. They are more integrally involved with the non-academic needs of children and youth. Teachers require in-service to prepare them to work collaboratively with non-educators.
- Administrators play an important leadership role in Community Schools ensuring that decision making is collaborative and that power is shared with teachers, the Council and other service providers.
- Many adults are present in Community Schools on a daily basis, playing a variety of roles from providing services to acting as volunteers. Students have access to a network of adults who support their learning and development. These include a coordinator, teacher associates, nutrition workers, counselors and elders-in-residence.

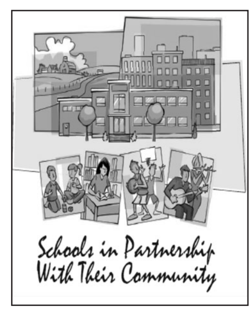
The following provides selected examples of various forms of school-community collaboration in Québec.

SCHOOL-COMMUNITY COLLABORATION IN QUÉBEC

Supporting Montreal Schools	This **program**, which targets elementary schools in the most disadvantaged areas of Montréal, emphasizes the importance of reciprocity in fostering school-community collaboration.[21]
New Approaches, New Solutions	This **strategy**, which targets secondary students in very disadvantaged areas, explicitly recognizes the importance of creating an educational community.[22]
Families, Schools and Communities Succeeding Together	This **program** seeks to build an educational community to foster the success of students from disadvantaged areas.[23]
The Community School	This **report** of a ministerial task force, mandated to clarify the concept and utility of a community school includes thumbnail sketches of several community-school initiatives.[24]
Schools in Partnership With Their Community	This **report** provides a summary of a research project that examined several school-community partnerships.[25]
Healthy Schools	This **joint venture** aims at promoting the educational success, health and well-being of young people through the collaboration of schools, health and social services centres (CSSS) and community groups.[26]







Developing a Working Definition of a CLC

As seen in the material presented previously from the Coalition for Community Schools and Saskatchewan Learning, there are many different ways to think about a CLC and how it should be defined. The following presents two complementary images of a CLC: first as a "learning community" and second as a "hub" of community service. This will be followed by a summary of the elements used to define a CLC in this Framework.

21. Ministère de l'Éducation du Québec, 2000, 2004.
22. Ministère de l'Éducation du Québec, 2002.
23. Ministère de l'Éducation du Québec, 2004b.
24. Working Group on the Development of Community Schools, 2005.
25. Boyer, 2006; see also, Prévost, 2005.
26. Martin & Arcand, 2005; Arcand et al., 2005.

Implications of a Learning Community

The image of a centre as a learning community is not simply an expressive metaphor. The practical question for a would-be CLC is:

- What are the implications for a school/centre, community group or other partners if they were to come together as a learning community?

In order to answer this question, we need to know:

- the characteristics of a learning community, and
- how well the school/centre displays these characteristics at the present time

"**Organizational learning** occurs through a collective process of creating and capturing new ideas, knowledge and insights [and] ... in finding new and better ways of achieving the mission of the organization."

A learning community (or a "learning organization")[27] is not defined by boundaries but by a sharing of values and vision. It thrives on *individual* and *organizational* learning by all members of the school community (see text box),[28] continually reflecting, not only about how things are done, but *why*.

- In a school run as a business, the principal is seen as the *manager*.
- In a pedagogically oriented school, he or she is seen as the *head teacher*.
- But in a learning community, the principal is the ***head learner***.

A learning community has been described as:

- "A group of people pursuing common purposes (and individual purposes as well) with a collective commitment to regularly weighing the value of those purposes, modifying them when that makes sense, and continuously developing more effective and efficient ways of accomplishing these purposes."[29]
- "A group of people who take an active, reflective, collaborative, learning-oriented, and growth-promoting approach toward the mysteries, problems, and perplexities of teaching and learning."[30]
- "A place ... rife with activity, mutual respect, and the recognition that everyone in that place is responsible for and accountable to one another..."[31]

- ✓ Canadian Centre for Management Development, 1994
- ✓ Leithwood & Louis, 1998
- ✓ Mitchell & Sackney, 2000
- ✓ Senge et al., 2000
- ✓ Stoyko, 2001

The importance of being a learning community for a CLC is the premise that you cannot be a centre for community learning on the outside unless you are committed to learning on the inside. For some schools/centres, this image will fit comfortably with current policy and practice; for others, it will be more of a stretch, even a considerable shift in its organizational culture.

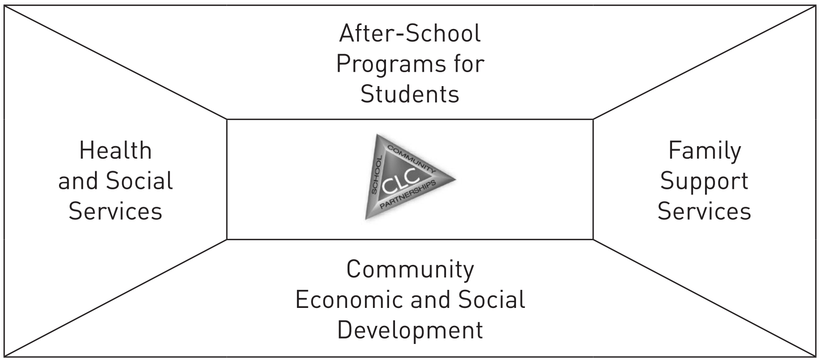
More information about organizational learning and the school/centre as a learning organization can be found in the sources listed on the left (✓).

27. Although some authors differentiate a learning community from a learning organization, in this Guidebook the two terms are used interchangeably.
28. Treasury Board of Canada Secretariat, 2005, p. 10.
29. Leithwood & Aitken, cited in Leithwood & Louis, 1998, p. 2.
30. Mitchell & Sackney, 2000, p. 9.
31. Senge et al, 2000, p. 461.

Implications of a "Hub" of Community Service

The second image of a CLC raises a similar practical question as that explored above, namely:

- What are the implications for a school/centre, community group or other partners if they were to come together as a "hub" of community service?



As stated in the Framework (p. **3**), this image places the CLC at the centre of a network of services such as those illustrated here. The school/centre might provide the major locus of CLC activities or they might be delivered in a variety of locations. In any case, the aim is to diminish or even eliminate barriers between the school/centre and the community.

Most organizations have a physical structure that people identify as its "home base." In the case of a CLC, this may be the school/centre or some other partner. However, it is possible to have a ***virtual CLC*** without any physical structure (see text box).[32]

The **Learning Development Institute** offers an example of a **virtual network**, in this case, communities of research, policy and practice devoted to excellence in the development and study of learning.

Here is an example of a community service hub, provided by the Children's Aid Society model found in New York City schools.[33]

THE SCHOOL AS A HUB (CHILDREN'S AID SOCIETY)

<table>
<tr><td>Each school has a Family Room that serves as a resource centre for services and activities. for parents. They are "lively, crowded and, when called for, serious rooms that extend the home into the school. For many parents, it is an arena of comfort in neighborhoods where there is much stress and hardship."</td><td>The schools have full-service health and social services clinics, staffed by physicians, nurses, social workers and other professionals. "The services are preventative in concept and implementation, but very often they are also interventions, given the critical circumstances faced by many children, youth and families."</td></tr>
<tr><td colspan="2">The programs, services and student instructional programs interact with one another throughout the day. Each school has its own system for coordinating and integrating services and activities. "The programs are geared toward educational improvement, family involvement and comprehensive services. This focus expands not only the utilization and hours of the school, but ownership and accountability that include the Society, and the community."</td></tr>
</table>

32. In order to emphasize the virtual nature of this joint venture, the Learning Development Institute only provides a mailing address *reluctantly* under contact information.

33. Agosto, 1999.

See the **Extended Schools** Web site in the UK for a review of literature and reports on their activities.

The CLC as a hub focuses on its role as a "full-service" or "extended" school. A recent report in the UK has identified two basic types of such schools:

- **Education focus**: schools that expand upon the mission and programs already offered by supplying additional services and facilities.
- **Socioeconomic focus**: schools that are completely reconceptualized and reorganized as a central node for the delivery of health, education and social services to the community.[34]

If you intend to create a CLC as a hub of community service, it would be useful to consider the implications of such a move. The authors of the UK report cited above suggest the following difficulties, barriers and challenges to the sustainable development of extended schools:

- "turf" (e.g. ownership of infrastructure and site)
- governance (especially for complex models)
- funding (e.g. interagency conflict)
- training (i.e. to prepare existing personnel)
- controversy and reluctance (e.g. resistance to using school for non-educational activities)
- differences in aims, cultures and procedures among agencies
- overload (or increased workload)
- *impossibility* (perceived complexity of venture)

The Framework Definition of a CLC

As stated previously, the Framework defines a CLC as:

- an equal partnership of schools/centres, public or private agencies and community groups, working in collaboration to develop, implement and evaluate activities to answer school and community needs that will enhance student success and the vitality of the English-speaking community of Québec.

Taken together, the major elements of the Framework serve to provide a working definition of a CLC, beginning with its underlying grounded theory of sustainable change (see p. **IV**).

As stated repeatedly, this Framework is advisory, not prescriptive. You are free to adapt or adopt those elements that you find helpful in building your own CLC. However, a CLC envisaged by the Framework is defined by several key elements. If you wish to build such a CLC then it is important to consider the implications of these defining elements.

At this beginning stage, the following elements have been presented:

- The CLC envisaged by this Framework was conceived to support **minority English-language communities** in Québec, but this does not preclude the application of the other defining elements to other communities.
- A CLC is an **organization**, meaning it is an entity that has shared goals and an identifiable structure.
- A CLC is a **long-term venture** formed by **equal partners** that include a public school or adult education or vocational centre.

34. Wilkin, White & Kinder, 2003; Wilkin et al., 2003.

- The underlying purpose of this venture is to promote ongoing **student success** and lasting **community development**.
- A CLC is meant to create the **conditions** and provide the **services** that will achieve this purpose.
- Every CLC is guided by its own **theory of change** that articulates both its destination (intended results) and the journey (implementation of conditions and services) that will take it there.

The other defining elements are presented in successive steps of this Guidebook. They include:

- a formal partnership based on shared leadership values and purpose
- a results-based planning process for both service delivery and capacity building, and
- monitoring and evaluation of what the CLC does and the results it achieves

See **Your Synthesis of Community Schools**
Templates, p.6

Synthesizing What You Have Learned

As suggested at the beginning of this step, the information you gather on CLCs only becomes knowledge when you have processed it and made sense of it, for you.

Framework, p. 3

1.2 Create an Image of a CLC for Your Community

As summarized below, the **purpose** of this step is to create your own image of a CLC.

STEP 1.2 AT-A-GLANCE

1.1 See What CLCs Look Like in Other Communities	→	1.2 Create an Image of a CLC for Your Community	→	1.3 Decide to Proceed

Step 1.2
Operational Challenges

Define your community

↓

Determine the implications of a CLC for your community

↓

Primary Output

Preliminary vision of a CLC for your community

The **major challenges** in this step are to define your community and determine the practical consequences that the creation of a CLC is likely to cause, in order to create a vision of a CLC for your community.

Whereas Step 1.1 could be completed by an individual, proceeding with this step necessitates the involvement of other stakeholders who might have an interest in becoming potential partners in forming a CLC (see p. **13**).

Without their involvement, any direction you take may lead to a dead end, rather than where you want to go.

The Children's Aid Society Handbook identifies the following as key members of any community school partnership:

- school representatives
- local community agency
- other social services and youth serving agencies
- parents and community members
- students
- funders[35]

For suggestions on how to initiate contacts with potential partners, see the **Community Table** Web site; as well as:

✓ Molloy et al., 1995, pp. 7-16

Just as students only engage in learning when it makes sense to them, a major change in policy and practice, such as a CLC, is unlikely to be adopted, let alone be sustained, unless the people most affected by it can see how it would work in their context.

However, as their Handbook recognizes, the foregoing is only a starting point and lists the following as other partners to consider:

- child welfare authorities
- vocational schools
- area hospitals and clinics
- local businesses and corporations
- community foundations
- employers
- police and other law enforcement agencies
- libraries
- arts and cultural institutions
- local universities/colleges
- legal assistance organizations

35. Children's Aid Society, 2001, p. 63 ff.

It is usually a good idea to begin with a smaller group and then expand it as the conversation about the CLC unfolds. However, sometimes it is helpful to brainstorm with a larger group that will then reduce the number to those interested in pursuing the conversation. However you decide to proceed, **trust building** begins here!

- It will do little good to talk about a collaborative venture if people do not feel that they are truly being invited as equal partners whose voice will be listened to and respected.

You may wish to provide potential partners with some short pieces of background information such as those listed below (✓).

✓ Blank & Shaw, 2004
✓ Dryfoos, 2002
✓ Kakli et al., 2006
✓ Saskatchewan Learning, 2000
✓ Working Group on the Development of Community Schools, 2005

Deciding on Potential Partners

If you have not done so already, at this point in the process you need to decide on the potential partners of the CLC.

- *Potential* is the operative word here—no one is being asked to commit at this point; each organization or group is being asked if they have a strong enough interest in forming a CLC to pursue this exploratory step.

Potential partners come in all "shapes and sizes." Some may be part of a larger organization at the regional or provincial level.[36] Others, such as a community group, may be a purely "stand-alone" organization or group.

The following exhibit provides strategies for engaging partners and other stakeholders.[37]

For a discussion of context, see *From Values to Results*, pp. 15-20 on the **CLC** Web site.

SIX KEYS TO ENGAGE STAKEHOLDERS

Stakeholders	What Makes It Hard	What Makes It Work
Families	• Negative experiences • Language and cultural differences • Issues of race and class • Lack of preparation	1 Know where you're going: Define vision for family engagement broadly. 2 Share leadership: Encourage families' contributions and leadership. 3 Reach out: Meet families where they are. 4 ID elephant in room: Create a welcoming environment and have honest conversations. 5 Tell your school's story: Be visible in the community. 6 Stay On Course: Continually assess progress.
Staff	• Isolated and overwhelmed staff • Poor implementation • Lack of fit	1 Know where you're going: Ensure staff are involved in planning the school's vision. 2 Share leadership: Begin with the Golden Rule and expect the best from staff. 3 Reach out: Use early adapters and positive results to bring staff along. 4 ID elephant in room: Ensure staff are culturally competent. 5 Tell your school's story: Talk about the school's vision constantly with staff. 6 Stay on course: Make learning part of teaching.

36. For example, a health and social services centre (CSSS) (formerly CLSC) is part of the regional health and social services network which is connected to the Ministère de la Santé et des Services sociaux (MSSS). The newly created CSSS acts as a hub of services for the community (see **CSSS** Web page).

37. Berg, Melaville & Blank, 2006, p. ES-5.

SIX KEYS TO ENGAGE STAKEHOLDERS (cont.)

Stakeholders	What Makes It Hard	What Makes It Work
Partners	• Accountability • Use of space and facilities • School culture versus business culture →	1 Know where you're going: Look for mission match and build formal agreements. 2 Share leadership: Collaborate across boundaries; fund a full-time coordinator. 3 Reach out: Distinguish between school culture versus business and CBO culture. 4 ID elephant in room: Be aware of power differentials. 5 Tell your school's story: Share students' successes and the challenges they face. 6 Stay on course: Don't be afraid to say "No".
The Public	• Lack of training • Politics • Minimal contact with residents who don't have children in school →	1 Know where you're going: Ask for input from the community. 2 Share leadership: Use staff to communicate and be proactive. 3 Reach out: Encourage an ongoing dialogue about education. 4 ID elephant in room: Create a community "hub" where all are welcome. 5 Tell your school's story: Share stories of successes. 6 Stay on course: Use data effectively.

All potential partners are affected by their own particular **context.** These contexts may constitute facilitating or inhibiting conditions in relation to the creation of a CLC.

In addition to looking at the particular contextual features of each potential partner, it is equally important to understand their **shared characteristics**, that is, the local, and possibly regional, context in which the CLC will operate. To understand these common contexts, you must define your community.

For example, a public agency may have access to resources (facilitating condition) but be constrained by the policies that govern its freedom to act (inhibiting condition).

Defining the Community

As noted in the Framework (p. **4**), traditional **neighbourhood schools** still exist but they have become the exception, rather than the rule. The community of a school or centre cannot be assumed. It is therefore useful for a school/centre, community group or other potential partner considering the desirability of a CLC to determine the "boundaries" of its own community, and then the "boundaries" of the CLC's community.

The school/centre may be part of a single community such as a homogenous neighbourhood of like-minded citizens of similar socioeconomic status. However, most schools are more likely to be connected to multiple communities, in both geographic and socioeconomic terms.

- In **urban settings**, many schools still draw from a relatively narrow geographic area but their students come from a widely diverse population, while other schools have a specialized vocation and therefore draw from a wider geographic area.
- In **rural settings**, shrinking student populations have resulted in an increased consolidation of schools for students who must be bussed from many different communities.

- **Adult and vocational training centres** also differ in terms of the range of program offerings and the general “catchment” area of their student body.[38]

The communities served by other organizations and groups will be different than those served by the school/centre. The way in which these various communities intersect will affect how each potential partner views the CLC.

As a **minority community** (see text box),[39] English schools and centres have another dimension of community to consider: they serve one population—the “English-speaking community”—but are part of a wider community not defined by language. Some other potential partners may share this characteristic, while others will not.

There is therefore a need to consider a range of communities in order to define the community of interest for the proposed CLC. The experience of the “Community Table”[40] provides a good starting point for this inquiry.

- The Community Table supports 11 Community Economic Development and Employability Committees (CEDECs). Partnership is the by-word for the Community Table and its 11 CEDECs, as shown in the exhibit that follows.[41]

THE COMMUNITY TABLE

“Deeply rooted in the communities it serves, the Community Table builds partnerships and links to help Québec’s English Linguistic Minority flourish.”	
Major Challenges	• **Community Capacity Building** involves nurturing community pride and encouraging community members to play an active role in their community’s development. It is a crucial first step in an ongoing process. • **Community Economic Development** is an ongoing planning process that builds upon community assets, resources, and expertise. By harnessing community strengths, community economic development encourages individuals to play a leadership role in their community and work to enhance quality of life.
Activities	• building community leadership • facilitating community planning • building partnerships for community economic development (CED) and human resource development (HRD) • engaging communities to collaborate in shared interests • promoting collaboration with Francophone communities within and outside of Québec • enhancing communication of CED and HRD issues and challenges • creating and maintaining linkages with federal and regional partners • supporting CED and the diversification of local economies • supporting vulnerable economic sectors

“A community learning centre is an institution created by a community to preserve and transmit its linguistic and cultural heritage… The centre thus becomes a venue for uniting and expressing the vitality of the community.”

See the **Canadian Heritage** site for a recent study on Francophone CLCs:

✓ Bisson, 2003

✓ See the **Community Table** site for information about English-speaking communities in Québec.

✓ The Community Table, 2000, 2006, 2007

See **Community Boundaries**

Templates, p. 7

38. The catchment area of a school refers to the geographic territory from which the student population is drawn.
39. Pilote, 1999, free translation.
40. The Community Table was created in 1999 as part of a strategic plan for the development of Quebec’s English-speaking communities. Together, the Community Table and the “Government Table” form the National Human Resources Development Committee for the English Linguistic Minority. The government component of this partnership comprises a number of federal government departments and agencies.
41. See The Community Table, 2007.

THE COMMUNITY TABLE (cont.)

Activities	• addressing the impacts of urbanization and rural devitalization • developing the social economy to support CED and HRD • addressing labour market and employability issues and challenges • developing a skilled workforce • increasing entrepreneurship • building the capacity of volunteers to participate in the social economy • engaging youth and older workers in CED

"Community schools … have a common philosophy … based upon the democratic ideal of respect for each individual person and his right to participate in the affairs of the community which concern the common good… Such a program is characterized by change in response to changing needs, continuous experimentation to seek out satisfactory ways of achieving common goals, and careful evaluation of the results of its activities."

See the **Canadian CED Network** for information on community development initiatives in Canada.
✓ Brodhead, 2006

See **A Vision of Your CLC**

Templates, p. 9

Implications for Your Community

At this point, you should have some sense of ***vision***, that is, what the CLC could look like (see text box),[42] and what the boundaries of its community of interest will be. In order to take the conversation with stakeholders to the next level, it would be useful to build on the knowledge you constructed about CLCs in Step 1.1 to determine the implications of a CLC for your community.

How this exercise proceeds obviously depends on the extent to which stakeholders have become knowledgeable about CLCs.

- You might ask everyone to read A *Promising Direction for English Education* or the Framework or you could simply provide a copy when you meet. You might wish to use one of the PowerPoint presentations on the **CLC** Web site or create one from the synthesis you completed in Step 1.1.
- You might wish to use any of the material suggested previously or engage stakeholders in using the template from Step 1.1, *Your Synthesis of Community Schools*.
- In any event, all key stakeholders involved in this conversation should construct their own knowledge about CLCs that includes a general image of a CLC and what can be expected from one as:
  - a learning community
  - a hub of community services
- They should also be familiar with the definition of a CLC and the steps involved in creating one, as provided for in the Framework (see *So You Want to Create a Community Learning Centre* on the **CLC** Web site).

Taken together, these efforts lead to your next challenge: creating an image of what your CLC should look like and a ***vision*** of where it should take you (see examples on p. **26**).

42. Coalition for Community Schools, n.d., p. 2.

1.3 Decide to Proceed

Framework, p. 5

As summarized below, the **purpose** of this step is to decide if there is sufficient interest and support to proceed with the creation of a CLC.

STEP 1.3 AT-A-GLANCE

1.1 See What CLCs Look Like in Other Communities	→	1.2 Create an Image of a CLC for Your Community	→	1.3 Decide to Proceed

Step 1.3 Operational Challenges

Determine if the partners and their organizations are ready to embark on this joint venture

↓

Produce the anticipated output for Step 1

↓

Primary Output

Decision to proceed

The **major challenges** in this step are determining both the desirability and the feasibility of creating a CLC.

- Schools/centres and other frontline service organizations are subject to a barrage of pressures to meet the expectations of their stakeholders.
- Community groups typically lead a precarious existence, relying on over-stretched volunteers to fulfill their mission.

Deciding to create a new organization such as a CLC therefore represents a significant commitment for every potential CLC partner.

✓ **Saskatchewan Learning** is a good source for materials on interagency collaboration and the importance of securing the support of super-ordinate bodies. See **Human Services Integration Forum** and **Publications**

✓ Government of Saskatchewan, 1996, 1997a, 1997b, 2000

Readiness

The fact that potential partners have a vision does not mean that they are *ready* to proceed (even if they are *willing* to do so). This requires determining the "***readiness quotient***" or **RQ** of the emerging partnership to form a CLC.

Relevant factors range from the **tangible** (e.g. sufficient resources), to the **intangible** (e.g. a collaborative culture). They include "**foreground**" factors, that is, those associated with the partners themselves (e.g. the leadership of the partner organization), as well as "**background**" factors, or those that are connected to the partners (e.g. the support a partner can expect from its "parent" organization, such as a social affairs agency from the regional office of its ministry).

- The following illustrates some key factors affecting readiness that might be useful to consider:[43]

FACTORS AFFECTING READINESS

You must have:	These are "mixed blessings":
• a legal/administrative framework that permits the creation of the CLC • acceptance of the process by leaders in the partnership • adequate resources (time and people) to create the CLC	• other changes occurring at the same time, some of which you cannot control • a history of change within the partnership • past experience with innovations (positive and negative)

43. Adapted from Lusthaus et al., 1999, p. 4.

FACTORS AFFECTING READINESS (cont.)

It is nice to have:	These can be major barriers:
• leaders with credibility • a clear vision within the partnership of where it wants to go • additional resources for creating the CLC	• past failures and frustrations with innovations • low levels of capacity (skills and ability) for innovation • superficial or negative incentives to proceed

Tentative Commitment

As stated at the beginning, the decision to proceed is the primary output of this step. In summary, you will have the following choices to consider:

See **Your Readiness Quotient (RQ)**

Templates, p. 11

1. Return to Step 1.1 to consider a new proposal.
2. Delay a decision pending further "bridge building."
3. Consider some other form of collaboration.
4. Proceed with the creation of a CLC as proposed.
5. End exploration process completely.

Although option 2 represents a setback, it does indicate that stakeholders still believe in the potential of the CLC. (Otherwise they would choose option 5.)

Options 1 and **2** are by definition intermediate, as eventually, one must choose options 3, 4 or 5.

- Option 1 means that the previous steps must be revisited as required.
- Option 2 indicates that either there are serious issues of trust and confidence or serious readiness issues (e.g. a low RQ, see p. **22**) that must be dealt with.[44]

If **option 3** is chosen, then this Framework cannot be followed as presented here. However, it may contain various elements that will be useful, provided they are adapted to correspond to the type of collaboration envisaged.

"One way to begin the process of changing school policies is to listen to students' views about them; however, research that focuses on student voice is relatively recent and scarce."

If **option 4** is chosen, it is assumed that there are no serious readiness issues, that is, a moderate to high RQ. It is also important to ensure that all potential partners realize this decision does not constitute an *irrevocable* commitment. Rather, it indicates a willingness to continue toward the creation of a CLC, namely by proceeding to Step 2, presented next.

- When option 4 results from the intermediate exercise of option 1 or 2, then it is assumed that the previous steps of the Framework have been revisited and that the vision statement of the CLC completed in Step 1.1, and possibly revised in Step 1.2, reflects the vision being pursued.[45]

If **option 5** is chosen, then this exploration terminates (at least for the present).

- The Framework stresses the importance of **student involvement** in the creation and development of the CLC. More than a decade ago, one researcher lamented the scarcity of student voice in published research (see text box).[46] The statement quoted from Fullan in the Framework (p. **5**) and other studies suggest that students are able and willing to be involved when given the opportunity.[47]

44. See **YOUR READINESS QUOTIENT** in your **Workbook**.
45. See **A VISION OF YOUR CLC** in your **Workbook**.
46. Nieto, 1994, p. 396
47. See, e.g. MacBeath & Sugimine, 2003; Rudduck, Chaplain & Wallace, 1996; Smith et al., 1998.

2 INITIATE

The **purpose** of this step is to initiate the partnership. By the end of this step, you should expect to have achieved the results summarized below.

STEP 2 AT-A-GLANCE

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

Step	Enabling Result	→	Primary Output	→	Initial Outcome
2	Consensus among partners regarding proposed venture	→	Partnership Agreement (precondition for Step 3)	→	Step 3 undertaken

↓

2.1 Map Your Needs and Assets
↓
2.2 Develop Mission Statement
↓
2.3 Allocate Responsibilities and Resources
↓
2.4 Conclude Partnership Agreement

See the NCSL **Community Leadership** site.
✓ Coleman, 2006

NWREL Building Partnerships Workbook
✓ Dorfman, 1998

"**Community capacity** is the interaction of human, organizational, and social capital existing within a given community that can be leveraged to solve collective problems and improve or maintain the well-being of a given community."

The **major challenges** in this step are to map your needs and assets, develop a statement of your proposed mission, allocate responsibilities and resources, and conclude a partnership agreement.[48]

SHARED LEADERSHIP: A traditional image of an organizational leader is a hierarchy, with a 'big boss' at the top, followers at the bottom, with intermediate bosses in between. As an active learning community, a CLC projects an entirely different image of "shared leadership" that is central to the building of social capital (see text box),[49] referred to in Step 1 (p. 2), which in turn, is the key to building community capacity.

The exhibit that follows is taken from a recent study of the Coalition for Community Schools which suggests that three major types of leaders are crucial to the success of community schools.[50]

48. See the materials provided by the National College for School Leadership (NCSL) in the UK and the Northwest Regional Educational Laboratory (NWREL).

49. "[Community capacity] may operate through informal social processes and/or organized efforts by individuals, organizations, and the networks of association among them and between them and the broader systems of which the community is a part" (Chaskin, 1999, p. 4).

50. Blank, Berg & Melaville, 2006, p. vi.

LEADERSHIP AT ALL LEVELS

Community Leaders	School, local government, civic, corporate and agency leaders whose shared vision and policy commitments say to their constituencies, "We can do this." Typically these leaders organize groups that reflect the unique culture and context of their communities. Often these are cross-boundary entities without formal legal standing; sometimes they are nonprofit organizations. Their power and influence comes not from their legal authority but from the clout, commitment and diversity of the leaders at the table.
Leaders on the Ground	Practitioners and community members at school sites who know local issues and have the skills to build relationships and connect residents to resources and opportunities. They include principals, parents, teachers and community members as well as community school coordinators.
Leaders in the Middle	Organizational managers whose ability to build an infrastructure across institutions and organizations keeps the community school initiative focused. These leaders connect community and school policies and practices, promote the idea of community schools within their organizations and foster alliances among partner institutions. They build infrastructure by focusing on financing, technical assistance and professional development, outcomes and public engagement.

2.1 Map Your Needs and Assets

Framework, p. 6

Building on the definition of community you decided in Step 1.1, the **purpose** of this step is to produce a map of community needs and assets.

STEP 2.1 AT-A-GLANCE

2.1 Map Your Needs and Assets	→	2.2 Develop Mission Statement	→	2.3 Allocate Responsibilities and Resources	→	2.4 Conclude Partnership Agreement

Step 2.1 Operational Challenges

Identify the needs of the community in relation to the type of CLC envisaged

↓

Identify the assets of the community in relation to meeting these needs

↓

Primary Output

A map of community needs and assets

The **major challenges** in this step are to identify the needs to which the CLC could respond, bearing in mind the assets that already exist in the community.

Initiating a CLC from a perceived set of needs can be a positive catalyst to action, provided it does not create a *deficit mentality*, that is, that the community is broken and needs to be fixed:

- "… viewing a community as a list of problems and needs leads to a fragmentation of efforts to provide solutions. This denies the breadth and depth of community wisdom which regards problems—and the community's own problem solving capacities—as tightly intertwined." [51]

The antidote to this potential problem is a dual focus on needs <u>and</u> assets. If, at this point, your vision of the CLC is still quite vague, your approach to this exercise is likely to be more "broad brush" than focused.

Community Needs

Two approaches are typically used to assess needs: "top-down" and "bottom-up."

- A **top-down** approach to assessing needs often fails because it assumes that the agent conducting the assessment knows what stakeholders need (better than they do).
- Conversely, **bottom-up** assessments often fail because they assume that stakeholder demands accurately reflect their needs.

In both approaches, there is often a tendency to confuse needs with what should be done to meet them. When asked to state needs, respondents often answer with a solution, assuming that it will meet the underlying need, as illustrated by the example in the text box.

> **For example,** community members express the *need* for an after-school program. This service is presumed to be a solution to an underlying (and unspecified) student need.

Sometimes, there is a "subtext" to the expression of needs, that is, a perceived need that is not stated but which underlies the expression of the stated need.

- Using the example in the text box, the subtext might be parental need for after-school daycare, rather than any presumed student need for a program.

One way to diminish the confusion between needs and solutions, is first to set about defining needs collaboratively,[52] and second, to think about *levels* of needs, as shown below.

51. Mathie & Cunningham, 2003, p. 3.
52. A collaborative approach avoids either a top-down or a bottom-up approach to assessing needs.

Who Are Your "Target" Beneficiaries:
- students
- parents
- community members
- ...?

LEVELS OF NEED

Level 1 Beneficiary	Start with the needs of "target" beneficiaries (see text box)
↓	
Level 2 Services	then consider the services required to meet these needs, and finally
↓	
Level 3 Resources	determine the resources required to provide these services

Assessing community ***needs*** at each of these levels is not simply a matter of asking people what they want, but determining the ***gaps*** between *what is* and *what should be*.

EXAMPLE:
- Adult student needs identified as gap in current skills in technical drawing.
- Current service gap identified as a short refresher course.
- Current resource gap identified as 30 hours of instructor time plus related costs.

- **Level 1:** Thus, one begins by asking: Where do the target beneficiaries need to be? and Where are they now? The difference (or gap) between these two states—desired and actual—defines their needs.
- **Level 2:** With the needs of beneficiaries clearly in mind, one can then go on to the next level and ask: What services would respond to these needs? What services are currently provided? The difference (or gap) between these desired and actual services defines which services are needed.
- **Level 3:** Finally, one can move on to the third level, asking: What human, financial or other resources would be required to provide needed services? What resources are currently available? The difference (or gap) between these desired and actual resources defines which ones are needed.

Determining the **actual state** at any level requires data to describe current reality. Relying on data means that assertions by respondents are not simply accepted but verified through the use of evidence.[53]

The challenge in determining the **desired state** at any level is not finding evidence but appropriate criteria to justify the level of benefits, services or resources being sought. This is the essential difference between a true assessment of needs and a wish list (an expression of what one wants but does not necessarily need).

In order to determine these needs, you will:

- identify appropriate sources of data (e.g. community members, school records, Census Canada, CHSSN, etc.)
- determine appropriate means to collect these data (e.g. interview community leaders, observe school activities)
- determine appropriate means to analyze, with your partners, the data collected (e.g. content analysis of comments by stakeholders, statistical analysis of data from a rating scale)

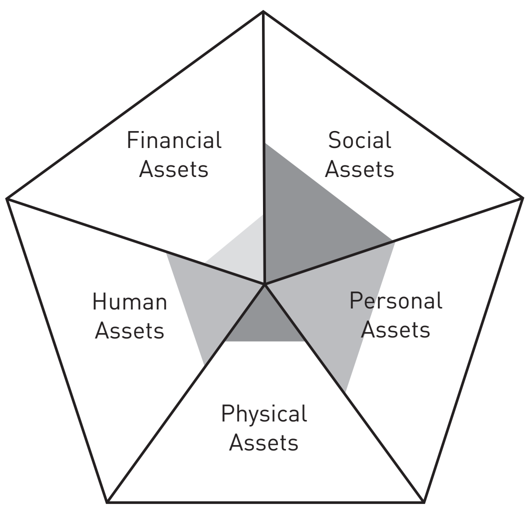
53. See Rebore & Walmsley, 2007; Smith, 2007.

Since needs represent the gap between current reality and these desired states, they cannot be determined unless there is agreement as to what the desired state should include and you have a clear picture of the services and resources that currently exist.

Community Assets

Based on the foregoing assessment, it may appear that a CLC could meet the needs of students, community members or others.

However, the CLC may not be the best way to do so and may not even be required at all, if sufficient assets already exist. ***Asset mapping*** can be used to create a "map" of these existing assets.



Source : http://www.cdnwomen.org/PDFs/FR/FCF-WIT-guide.pdf

- Work sponsored by the Canadian Women's Foundation in Women in Transition Out of Poverty provides an example of asset mapping; [54] another example can be seen in the "whole assets" approach to asset mapping used by the Canadian Rural Partnership.
- The Canadian Rural Partnership uses "storytelling" as a means of eliciting "nuggets" of social history to build a more complete picture of community assets.[55] This approach underscores the importance of people in mobilizing assets.

Canadian Women's Foundation

Canadian Rural Partnership Handbook

ABCD Institute

The Asset-Based Community Development Institute of the Institute for Policy Research, Northwestern University provides a valuable source of materials on asset mapping. Their process includes an **inventory of organizational assets**, as displayed below.

54. Murray & Ferguson, 2001; see also Livingstone & Chagnon, 2004; Canadian Cooperative Association, 2003; Markell, 2004; Murray & Ferguson, 2002.

55. Fuller, Guy & Pletsch, 2002.

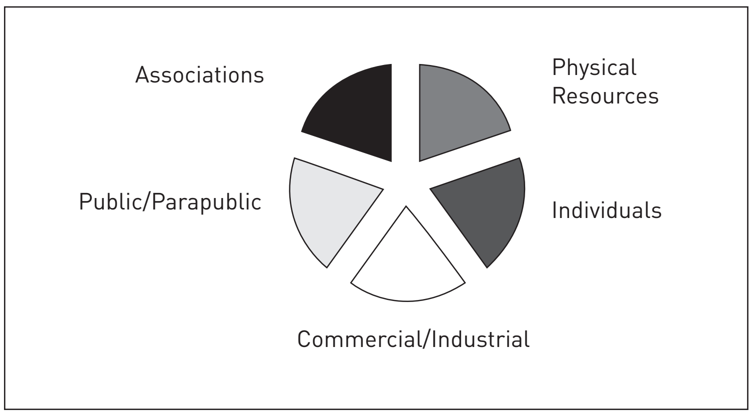
A WINDOW INTO MY ORGANIZATION

Personnel	Space and Facilities	Materials and Equipment
	Expertise	
Constituents	Networks of Connections	Economic Power

They also construct a **map of community assets** illustrated by the pie chart,[56] based on three building blocks:

For additional material, see **NWREL Rural Education.**

- **primary** building blocks: assets and capacities located inside the neighbourhood, largely under neighbourhood control
- **secondary** building blocks: assets located within the community but largely controlled by outsiders
- **potential** building blocks: resources originating outside the neighbourhood, controlled by outsiders[57]



See **A Map of Community Needs & Assets** **Templates**, p. 13

Mapping community needs and assets can be a very "open-ended" exercise if one simply poses general questions about needs and assets. However, it can also be more focused, an approach that seems more suitable for "locating" the proposed CLC on the community map, that is, determining where it fits in relation to community needs and assets.

Another example of a needs assessment can be found in the work sponsored by the **Community Table** of English-speaking communities in Québec.

56. Adapted from Kretzmann & McKnight, 2005.
57. McKnight & Kretzmann, 1996; see also, Kretzmann, 1992.

2.2 Develop Mission Statement

Framework, p. 6

The **purpose** of this step is to develop a statement of the mission of the proposed CLC.

STEP 2.2 AT-A-GLANCE

2.1 Map Your Needs and Assets	→	2.2 Develop Mission Statement	→	2.3 Allocate Responsibilities and Resources	→	2.4 Conclude Partnership Agreement

The **major challenges** in this step are reaching a consensus on the values, purpose and desired results of the CLC, and determining the principles that should guide its operations. You will also need to see if the proposed CLC interfaces with the mission of each partner organization.

The mission statement should serve to *situate* the CLC in its context and to inspire and motivate stakeholders, answering questions such as:

- Why is it necessary?
- Whose interests will it serve?

As stated in "Bridges to Success": "A written vision serves partners as a constant reminder of common goals. It specifies the end-point toward which all their work is directed."[58]

Bridges to Success

However, ultimately it is not how well the mission statement says what it says, but how well the CLC does what it says that will inspire. That inspiration depends as much on the process used to create the mission statement as on the content of the statement itself.[59]

<u>Extract</u> from **Core Values** of Families and Schools Together:

- Parents are the primary prevention agents for their children.
- Trusting relationships help families find and make good use of helpful resources.
- Collaboration across systems to address the needs of at-risk children is necessary and important.
- Stress and social isolation diminish parental effectiveness, and social support increases parental effectiveness.

Crystallizing Values and Purpose

As stated in the Framework (p. **6**), values should serve as "**beacons**" to guide public policy and practice in accordance with the values of society. In an organization such as a CLC, they should also reflect the particular values of its community (see text box).[60]

Time: The mission statement need not be lengthy but the process to produce it may well be. This process is time well spent if it helps clarify the purpose of the venture, resolve differences of intent among the partners and enhance commitment to the CLC.

Step 2.2
Operational Challenges

Agree on the values and purpose for the CLC

↓

Establish an appropriate set of principles to guide the operation of the CLC

↓

Identify the kinds of results that the partners expect from the CLC

↓

Determine how the proposed CLC affects each partner's mission statement

↓

Primary Output

Draft CLC mission statement

58. Melaville, 2004, p. 26.
59. "In building shared vision, a group of people build a sense of commitment together... Without a sustained process for building shared vision, there is no way for a school [or CLC] to articulate its sense of purpose" (Senge et al., 2000, p. 72).
60. Hernandez, 2000, p. 6.

Each organizational partner should have a ***vision*** of its role as articulated in either its mission statement, or some other expression of its character and aims:

- "An organization's vision defines the kind of a world to which it wants to contribute… Missions, on the other hand, are a step in operationalizing the vision, an organization's raison d'être."[61]

Missions will differ in terms of key variables, such as:

- values: the core beliefs of the organization
- purpose: why the organization exists
- character: the nature of the organization
- guidance: the direction it provides to the organization[62]

Ultimately, the indicator of a successful mission is the sustainability of the vision of the organization. [63] The exhibits that follow provide examples of visioning,[64] a vision statement from the Partnership for Family Involvement in Education (PFIE)[65] and the mission statement of the National Community Education Association (NCEA).[66]

See **Partner Mission Statements Templates**, p. 16

EXAMPLES OF VISIONING

- The children of our community will have a safe and fun place to play.
- Through our work, the quality of life in our community will be improved so that individuals, families and businesses will enjoy greater freedom and confidence to prepare for the future.
- Our business venture will be operating well, showing a healthy profit, and be recognized as a community leader in social enterprise and cooperation.

THE PFIE VISION: KEEPING CHILDREN SAFE AND SMART

First and foremost, after-school programs keep children of all ages safe and out of trouble. The after-school are the hours when juvenile crime hits its peak, but through attentive adult supervision, quality after-school programs can protect our children…

After-school programs also can help to improve the academic performance of participating children… in large part because after-school programs allow them to focus attention on areas in which they are having difficulties. Many programs connect learning to more relaxed and enriching activities…

61. Lusthaus et al., 2002, p. 93.
62. See the **LEARN** statement of vision and mission on its Web site.
63. In other words, sustainability means: "Making sure that the initiative's central ideas and beliefs are firmly in place over time and are not compromised or blurred … making sure that the core ideas–collaboration, prevention, equal opportunity–are assimilated into the thinking of individuals and the practices of organizations" (cited in Cornerstone Consulting Group, 2002, p. 10).
64. Frank & Smith, 2000, p. 26.
65. Chung, 2000, p. 2.
66. The NCEA is a professional association for community educators; see **National Models** on the Coalition for Community Schools Web site for this and other examples.

NCEA MISSION STATEMENT

NCEA's mission is to provide leadership to those who build learning communities in response to individual and community needs. It does this by providing its members with national and regional training conferences and workshops; specialized periodicals, publications, and products; opportunities for peer support and networking; and information and referral services. In addition it acts as an advocate for community education by working with related organizations and promoting at the national, state, and local levels:

- parent and community involvement in public education;
- the formation of community partnerships to address community needs; and
- the expansion of lifelong learning opportunities for all community residents.

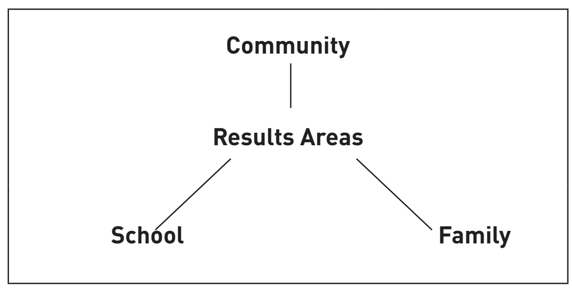
NCEA's members include community education directors or coordinators at the local school district level. Others are school superintendents, state department of education administrators, education professors in colleges and universities, community college administrators, members of state and local school boards and advisory councils, and state legislators.

Results Areas

The CLC Framework has adopted a ***results-based management*** approach to the development and operation of a CLC (see text box).[67] A statement of the "intended results" of any organization is a declaration of what *really matters* to it, an expression of its values and purpose.[68]

A focus on results can be used:
- "to help generate interest in and commitment to improving the lives of children and families;
- "to help them know where they are, where they want to go, and what progress is reasonable to expect; [and]
- "to help them track and improve performance."

Step 3 deals in detail with the development of intended results and a "results chain" (see p. **39**). At this stage, the aim is to set forth "**results areas**",that is, a general statement of the types of results that the partners wish to achieve. Given the general nature of a CLC, these results areas will tend to deal with issues of school, family and community.[69]



The exhibit that follows provides key areas to consider in developing the results areas for your CLC.

RESULTS AREAS TO BE CONSIDERED

• early childhood education
• youth development
• family engagement
• employment opportunities
• arts and sports
• information technology

In terms of your theory of change, these results areas constitute the destination of the journey of change.

The Canadian International Development Agency (**CIDA**) is a valuable source of information on results-based management.

See **Results Areas**
Templates, p. 17

67. Watson, 2000, pp. 7, 8, 9.
68. **Result:** a describable or measurable change that occurs because of some action supported by various resources.
69. Alternatively, one might start with the areas relating to the core mission of each partner.

See **Guiding Principles**

Templates, p. 18

Set Guiding Principles

Guiding principles "chart the course" for the CLC. As stated in the Framework (p. **10**), change theory regarding community schools suggests that guiding principles for community schools relate to three general areas:

- purpose
- leadership for building community
- managing for results[70]

To be useful, guiding principles must be easily understood and helpful in assessing a particular policy, program, action or behaviour. They differ from belief statements which are not action-oriented, and from guidelines which are more specific directions to implement a policy, follow a course of action, etc. (see text box).

Situating Guiding Principles
Belief Statement Transparency is an essential quality of good governance.
Guiding Principle The development of policy should be transparent, that is, open to scrutiny.
Guideline Set forth the method used to develop the policy and make this information available to stakeholders.

The following provides an example from the School of the 21st Century (**21C**), "a model for school-based preschool, after-school care and family support services designed to promote the optimal growth and development of children beginning at birth."[71]

SCHOOL OF THE 21ST CENTURY

The School of the 21st Century is firmly grounded in the belief that all families in need of support and quality child care should be able to obtain these services. To achieve this goal, 21C ... sites uphold the following principles:

- strong parental support and involvement
- universal access to programs achieved through sliding scale fees based on family income
- programmatic focus on the physical, social, emotional and intellectual development of children
- quality programming as measured by staff qualifications, staff-child ratios, group size, staff turnover and other relevant criteria
- professional training and advancement opportunities for child care providers
- non-compulsory programming utilized at the discretion of the family

See **Harmonizing Mission Statements**

Templates, p. 20

Aligning CLC and Partner Mission Statements

One of the guiding principles of the Framework is that the CLC dovetails with existing policy and practice in each partner organization. As this process unfolds, therefore, it is essential that every partner ensure that the emerging mission statement of the CLC and its own mission statement are appropriately aligned.

Putting the Pieces Together

In this final section of this step, the aim is to draft a complete mission statement based on the foregoing pieces.

Creating the mission statement will require the input of all partners, but the drafting should probably be left to one or two persons, with feedback and revision until everyone is comfortable with and feels ownership of the statement.

70. See *From Values to Results*, pp. 41-47, on the **CLC** Web site for a discussion of guiding principles based on these headings; see Melaville, Berg & Blank, 2006, Appendix B, for an elaboration of key principles of various community-based services.

71. School of the 21st Century, n.d., p. 1; see 21C **Guiding Principles** for details.

Whatever means are chosen to draft the mission statement, it is important to remember, as stated at the beginning of this section, that **the process is as important as the product**. This will be the first real test of the partners' willingness and ability to work together for a common purpose.

See **Draft CLC Mission Statement Templates**, p. 21

2.3 Allocate Responsibilities and Resources

Framework, p. 9

Having set the course, the **purpose** of this step is to provide the CLC with an appropriate infrastructure, as well as human and other resources to accomplish its mission.

STEP 2.3 AT-A-GLANCE

2.1 Map Your Needs and Assets → 2.2 Develop Mission Statement → 2.3 Allocate Responsibilities and Resources → 2.4 Conclude Partnership Agreement

The **major challenges** in this step are first to decide how the CLC and the partnership should be structured; then to assign the responsibilities of the bodies and individuals within this structure, and finally, to distribute support to them.

All these decisions should be made in light of the four principles outlined in the Framework (p. **9**):

- reciprocity
- equal voice
- collaboration
- flexibility

Any structures or roles shown here are meant to ***illustrate***, not ***prescribe***, how you should set up your CLC; as always, it is up to you.

Step 2.3 Operational Challenges

Structure the CLC in order to meet identified needs, while dealing with contextual realities

↓

Given the structure of the CLC, assign appropriate roles and responsibilities to the partners

↓

Given these decisions, assign appropriate roles and responsibilities to the operational team

↓

Given the above decisions, determine the general parameters governing the allocation of resources for the CLC

↓

Primary Output

Organizational structure created with primary roles and resources allocated

Structuring the CLC

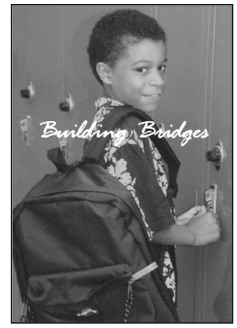
As illustrated in the Framework (p. **9**), a CLC can be structured in relation to two dimensions. Each model has its advantages and disadvantages:

- In **single-site** models, the CLC has only one location, for example, a neighbourhood elementary school. This approach is usually less cumbersome to operate and promotes greater community involvement. However, it offers less scope and may discourage involvement of partners who could find themselves in a multiplicity of CLCs.
- In **multi-site** models, the CLC comprises two or more locations, for example, a regional adult education centre with several satellite centres. This approach can provide more scope and some economies of scale and is attractive to agencies that cover the territory of several schools. On the other hand, it tends to be more complex and can even detract from local ownership.
- In **parallel** models, existing structures accommodate new mandates arising from a community-school partnership. The old and new coexist and the CLC takes on the flavour of an additional program initiative in the school. This approach is less intrusive and easier to operationalize. However, the potential for conflict remains, as old and new structures compete for scarce resources.

Doing What Matters, the handbook of the **Bridges to Success** initiative, contains a range of strategies for building, adapting and maintaining bridges between the school and the community:

- ✓ Melaville, 2004

- In **integrative** models, existing structures are transformed as the school becomes a CLC. This approach is more likely to have significant impact, given its holistic structure and mandate. On the other hand, it is more difficult to create and will be the most disruptive to the status quo.



The first key in choosing and developing the "right" model for a given school/centre and community is to pay attention to local context: one size does not fit all! The second key is to proceed with caution in making structural changes (see text box).[72]

"One common strategy to emphasize collaborative work to improve results is to change organizational arrangements to encourage people and institutions to work together more closely. Yet one of the most resounding pieces of advice, born out of hard-won experience, is not to spend time on making these types of changes, until initiative leaders have gone as far as they could within existing structures."

Governing board: The governing board of a school or centre has an important role to play in charting its course. Thus, for example, the governing board of a school is mandated to adopt the educational project, oversee its implementation and periodically evaluate it.[73] The school success plan comprises the measures to be taken based on the goals and objectives of the educational project. The school principal is responsible for developing the plan, but it must be approved by the governing board.[74] It is obvious, therefore, that the governing board will have a key role to play in creating and implementing a CLC.

School board: If a multisite model is employed, then the school board may well be a member of the partnership. However, even in the case of single-site models, the school board has an important role to play.

- New CLCs face significant challenges, especially in an environment where there are few existing community schools to learn from and those that do exist may not be known.
- A school board that takes a leadership role in creating and sustaining CLCs can diminish the impact of these challenges by creating an environment that fosters their development.

See **Structuring Your CLC**

Templates, p. 23

Other stakeholders: Depending on the partners involved in a CLC, there could be one or more counterparts to the school board if other partners are part of a similar regional organization. In such a case, this body would have an analogous role to play.

- There may be other regional bodies that have a role to play in relation to CLCs. These include the regional branches of government ministries and other public sector bodies.
- Their roles will vary according to their relationship to the partners directly involved, but could include various forms of facilitation and support.

- ✓ See the **HRSDC** Partnership Handbook site for:
- ✓ Frank & Smith, 2000
- ✓ King, Smith & Frank, 2000

The Partnership

Deciding how the partnership itself will be structured, presents choices ranging from very formal to very informal arrangements, depending on the nature and scope of the CLC and the "comfort zone" of each partner with different arrangements.

72. Watson, 2000, p. 17.
73. *Education Act*, s. 74; s. 109 for a vocational or adult education centre.
74. *Education Act*, s. 37.1; s. 97.1 for a vocational or adult education centre.

- In a multi-site partnership, it is likely that the partners will create a two-tier structure, such as a board of directors for the partners and a site-based council in each site.
- In a single-site partnership, there is likely to be no formal body for the partners, who will make decisions informally, often through the same people who make up the operational team (see below).

It is also important to note that although an organization might be formally represented by one person, many others may play a role in the CLC, be it as active participants, resources or advisors.

Regardless of the structure, ***collaboration*** is the by-word (see text box);[75] moreover, even in the absence of any partner-level structure, the partners will still exercise some roles such as the following:

- create and sustain the vision of the CLC
- initiate the CLC by means of the partnership agreement
- ensure liaison among the partners and with outside groups
- act as a "gateway" to home, school and community
- provide policy direction to the operational team
- approve the action plan and the evaluation plan
- be responsible for the operation and results of the CLC
- provide resources, technical assistance, coordination and advice

Therefore, although all work may be delegated to an operational team, it is imperative to determine:

- what decisions the partners will make, and
- how will these decisions be made

Each partner must act in accordance with its own terms of reference. Thus, some roles may be exercised by an individual (e.g. executive director of an agency), while others may have to be fulfilled by a corporate body (e.g. school governing board).

Successful collaboration of partners requires:

- genuine commitment to work together
- strategic leadership
- effective governance arrangements
- assurance of democracy and equality of all partners
- a speedy process for resolving differences

Every Child Matters
Change For Children

See the **Every Child Matters** Web site of the UK Department for Education and Skills (DfES) for information on interagency collaboration, including:

✓ DfES, 2005a, 2005b, 2005c, 2005d

See **Assigning Roles and Responsibilities Templates**, p. 24

The Operational Team

Just as this framework has been designed to dovetail with existing policy and practice, so must the operational work of the CLC (see text box).[76] Harmony between the CLC and current operations is essential but cannot be assumed.

- Potential and actual conflicts need to be managed, especially within the school/centre (assuming that is where the CLC is located).
- This task is facilitated if the principal leads or is a member of the operational team; if not, then a key role of the team leader is to ensure ongoing liaison with the principal.

See **Saskatchewan Learning**,

✓ SL, 2002, 2004a for materials on collaboration.

75. Adapted from Coleman, 2006, p. 16.
76. Adapted from Coleman, 2006, p. 16.

While the literature on community schools emphasizes the role of the principal in relation to the needs of school-community collaboration, it is equally important to address his or her concerns in an appropriate and timely fashion.

Successful operating teams require:
- clearly defined roles
- strong operational leadership
- capacity to build on existing relationships
- effective means of communication
- adequate resources and support

With this important word of caution in mind, the operational team will exercise roles such as the following:

Experience from a wide range of site-based initiatives underscores the importance of team building and providing adequate and ongoing support to the team.

- prepare the draft Action Plan and submit it to the partners
- implement the plans approved by the partners
- monitor delivery of the programs, services and activities
- conduct the evaluation of CLC operations and results
- submit the evaluation report to the partners
- prepare the next Action Plan, as the cycle begins again

Coordinator/Facilitator

For information on the role of a coordinator, see:
- ✓ Churchill Associates, 2003
- ✓ Molloy et al., 2000

As stated in the Framework (p. **10**), every operational team must have a leader, be it a *coordinator/facilitator*, or some other leader occupying a full-or part-time position for this purpose. For example, a full-time coordinator can be expected to:

- act as primary staffer managing all organizational matters
- support the local governing body in promoting the *community education* concept
- ensure liaison with various organizations
- provide leadership to all community school operations[77]

See:
- ✓ NSCL, 2005: **What does a critical friend do?**

The coordinator/facilitator often fulfills the role of a ***critical friend***:

- "someone who understands and is sympathetic to the purpose of the school, knows its circumstances very well, is skilled in offering a second opinion, or sometimes a first opinion, about an issue only half perceived by the school staff, or if perceived, seems impenetrable."[78]

Whatever title he or she is given, this person is usually expected to:

- help a diverse group of individuals become a partnership that can work collaboratively
- identify common concerns about children and families
- develop collaborative efforts to address those concerns
- build and strengthen leadership so that partners share responsibilities when they work together[79]

77. Association for Community Education in British Columbia, 1997, p. 5.
78. Brighouse & Woods, 1999, P. 148.
79. Molloy et al., 2000, p. 3.

Accountability and Reporting

Two key issues in assigning roles and responsibilities concern accountability and reporting:

- **who is responsible to whom**, for the various roles they exercise, and
- the **nature of the role** and **accountability** in relation to other leaders, notably the school/centre principal

The resolution of these issues depends first on the structure of the CLC.

In the case where the CLC is a parallel structure, the operational team and the coordinator/facilitator has (or should have) a clearly defined sphere of activities. However, where the CLC is a integrated structure, it is difficult (even impossible) to determine where the CLC ends and the school/centre begins.

- In both cases, the operational team and the coordinator/facilitator, as well as all others involved in the CLC, must be clear on the reporting relationship. Generally, one would expect that members of the operational team would be responsible to the coordinator/facilitator, who in turn would be responsible to the Partnership.

Thus, **for example**, the principal needs to know that the coordinator/facilitator does not report to him or her. Similarly, even if the coordinator/facilitator has been seconded from one partner organization, for the purpose of exercising his or her role, he or she does not answer to his or her "home" organization.

- The more the CLC and the school/centre are integrated, the greater the importance of settling these kinds of issues. In a fully integrated CLC, maintaining parallel positions of coordinator/facilitator and principal will be extremely difficult if not impossible.
- This does not mean that in such a case one person must assume *all* responsibilities for the CLC and the school/centre. It does mean that one person must have *overall* responsibility.

Allocation of Resources

Determining the resources for any programmatic endeavour is a "**Catch-22**" exercise; the program manager cannot determine the activities that can be offered without knowing the resources available but the funder will not allocate the resources without knowing what planned activities will cost.

- The allocation of resources tends to be an iterative process, with *preliminary* decisions about resources leading to preliminary decisions about programs, then to *tentative* decisions about each, and so forth.

The partners of a newly created CLC may be solely responsible for providing these resources.

- In many cases, the resources provided by partners may be contributions "in-kind" in the form of staff, volunteers or other resources.
- Alternatively, the CLC may have "start-up" funds from another source.

In either case, **sustainable funding** is a critical issue that should be addressed in preparing the Partnership Agreement. However, as mentioned earlier, funding is only one condition of sustainability:

- "Sustainability depends on developing a clear, sensible, and convincing plan for putting in place and keeping in place the key elements that make an initiative successful. It inevitably requires finding adequate funding to keep going. But it also requires an array of other resources: political, technical, and administrative. Figuring out what resources you need and how to marshal them is what sustainability planning is all about." [80]

"The things that everyone says you need to build ... a strong, community-led effort—will, collaboration, data, strategic planning, grassroots support, organizational and individual capacity—are often the things that nobody wants to fund."

Almost every new venture eagerly desires **start-up funding** but these resources can be a mixed blessing:

- First, while low levels of funding may not be of much help, it may be very difficult to sustain high levels once this initial funding ends.
- Second, start-up funding may create unrealistic expectations that most costs will be incurred in this initial period and that the ongoing costs of the venture will be quite low.
- Third, start-up funding may be restricted to the provision of programmatic activities, so that the capacity building that is essential to sustainability is ignored (see text box).[81]
- Fourth, while a very short start-up period (e.g. one year) may be insufficient, a longer period (e.g. 3 years) may encourage participants to defer any consideration of the long term financial sustainability of the venture.

See **Allocating Resources**

Templates, p. 25

Whatever situation prevails, it is incumbent upon the partners to plan resources for tomorrow, not just today.

80. Langford & Flynn, 2003, Module I, p. 1. All of these resources are means to an end. As the authors of this work also acknowledge (see Module II), the cornerstone of sustainability is a vision and articulation of results that enable you to see what it is about the initiative that is worth sustaining.

81. Cited in Cornerstone Consulting Group, 2002, p. 12.

Framework, p. 10

2.4 Conclude Partnership Agreement

The **purpose** of this step is to conclude the partnership agreement.

STEP 2.4 AT-A-GLANCE

2.1 Map Your Needs and Assets → 2.2 Develop Mission Statement → 2.3 Allocate Responsibilities ans Resources → 2.4 Conclude Partnership Agreement

Step 2.4 Operational Challenges

Establish an appropriate process for concluding the partnership agreement
↓
Determine the content of the partnership agreement
↓
Primary Output

A signed Partnership Agreement

The **major challenges** in this step are establishing a process and then determining the content for the agreement that will govern the operation of the CLC.[82]

This step provides the foundation for all actions to follow in Steps 3 to 5. As stated in a recent UK guide:

- "Multi-agency working is dependent on relationships between many different agencies, in different contexts. Documenting the ground rules for your partnership with another agency will help ensure the partnership has a firm foundation and can withstand problems and changes of personnel in key positions."[83]

> Some partners may be put off by too much formality but too little formality, may lead to serious misunderstandings about what has been agreed to, especially when key players leave and are replaced.

Setting a Process

A joint venture such as a CLC needs to be "formalized" so that the partners and other concerned stakeholders have a clear understanding of what has been agreed. The first operational issue in concluding the agreement concerns **process**.

- As noted in the Framework (p. **10**), this is usually done in a written document such as a contract, a memorandum of understanding or a protocol. A first consideration in this process, therefore, is the nature of this agreement.
- Whether a simple agreement to provide a single service or a more complex agreement for a range of services is being concluded, it constitutes a **legally binding contract**. It is important, therefore, to pay close attention to the drafting of its provisions.
- Furthermore, the parties to the agreement must have the **legal authority** to agree to all the provisions it contains and the signatories must be mandated by their respective organizations to sign on their behalf.

> The legal requirements respecting the partnership agreement will vary for each partner. For public sector partners, they will depend on their enabling legislation (education, social affairs, etc.). Private sector partners will likely have fewer restrictions, depending on the terms under which they have been legally constituted.

82. As stated in the Framework (p. 14), in the first year of the partnership, one or more partners may be unwilling to sign the agreement until the action plan has been approved. In such a case, signature may be deferred until the end of Step 3.5.

83. DfES, 2005b, p. 21.

Establishing a viable process requires you to determine who has responsibility for each of the tasks outlined below, with an appropriate time line for each.

- It will be helpful to begin with the **endpoint** of this process—the signature of the agreement—and *tentatively* determine the date by which this should occur in order to dovetail with other administrative time lines for approval of budgets, hiring staff, etc.*

  *The flexibility of this date is important in determining the leeway you will have for completing each task related to the agreement.

Tasks	Draft	→	Review	→	Approve	→	Sign
Responsibilities							
Deadline							

The amount of time required for each task will depend both on the complexity of the process and the content of the agreement.

- If the scope of the agreement is large and complex, the review and approval will likely take longer to complete.
- Similarly, if the draft has to be referred back to the partners' internal governing bodies for reactions and approval, then more time will be required.

This penultimate step may give rise to further revisions, especially if changes requested by one partner lead to other changes requested by another. The final task–signing the agreement–may also be delayed if one or more partners insist on seeing the action plan before signing (see ⌧ **NOTE** at the beginning of Step 2.4)

Determining Content

The second operational issue in concluding the agreement concerns content.

See **The Partnership Agreement**
⌧ **Templates**, p. 27

In a formal written agreement, it is inappropriate to include details that are subject to change. Thus, for example, rather than include a detailed budget as part of the agreement, it is preferable to specify the financial and other resources to be provided by each partner during the life of the agreement, as well as the terms and conditions for the approval and revision of annual budgets.

Closure

In accordance with the process decided above, closure of Step 2 is provided by the signature of the Partnership Agreement by all parties. However, "closure" is also a misnomer as the agreement signifies the *beginning* of the partnership in action.

Although the agreement will always remain an important expression of how the partnership is meant to work, the *real* working relationship happens on a day-to-day basis. True partnership occurs in the actions taken by the partners and the other people who work in and are associated with the CLC. These relationships will rely on the agreement, but they will rely even more on the "give and take" that participants demonstrate in breathing life into the Partnership Agreement.[84]

84. See National Council for Voluntary Organisations, n.d.

3 PLAN

As summarized below, the purpose of this step is to develop an Action Plan[85]. By the end of this step, you should expect to have achieved the results summarized below.

STEP 3 AT-A-GLANCE

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

Step	Enabling Result	→	Primary Output	→	Initial Outcome
3	Desired results, actions to be taken and means to evaluate determined	→	Action Plan (precondition for Step 4)	→	Step 4 undertaken

↓

3.1 Determine Desired Results

↓

3.2 Determine Programs and Services to Be Offered

↓

3.3 Determine Capacity to Deliver Services

↓

3.4 Determine Means to Evaluate Actions and Results

↓

3.5 Complete Action Plan

The **major challenges** in this step are determining where you want to go, how you will get there and how you will evaluate success. In other words, you will use this step to map the "***pathways to change***" envisaged by the Framework. Like any plan based on a theory of change, the Action Plan:

- establishes the **destination** or the end-points of the change process that are desired, and then
- uses ***back mapping*** (see below) to specify what must occur before this destination can be reached and desired changes realized

The process can be long, complex and demanding. Among other demands, it requires organizational leaders to be visionary, realistic and optimistic (see text box).[86]

BACK MAPPING

Back mapping is a key strategy in change theory. It "requires planners to think in backward steps from the long-term goal to the intermediate and then early-term changes that would be required to cause the desired change."[87] In other words, once you establish your destination, you follow the trail from this end-point back to your current position. The purpose of this strategy is to avoid starting out on paths that may not lead to your destination.[88]

85. This plan must be developed in accordance with the parameters you set in Step 2.4 (⌦ See **PARTNERSHIP AGREEMENT** in your **Workbook**).
86. Levin, 2005, p. 199, emphasis added.
87. Anderson, 2004, p. 3.
88. Imagine a person confronted with a maze which typically contains several false trails but only one path that leads to the exit. He or she is likely to follow several dead ends before discovering the right path. However, if the person could see the exit, he or she could map the right path back to the beginning and avoid the false leads.

"**Vision** is necessary to see what might be possible. **Realism** is essential to recognize what can actually be achieved. **Optimism** is required to keep trying to move forward even when the circumstances are not propitious."

Like any grounded theory, the logic of your theory of change must be *demonstrable*, at first by the experience of others, and then, by your experience.

See the **Theory of Change** Web site for on-line materials on their "pathway to change" process.

Managing Risk

- ✓ Pearson & Stecher, 2004
- ✓ Treasury Board of Canada Secretariat, 2001

Planning is a way of "finding order in chaos."[89] A plan, or *a pathway of change*, "allows stakeholders to challenge the underlying logic of the connections between preconditions and planned interventions while everything is still on the drawing board."[90] This same author states that the plan should:

- force planners to be explicit about how resources will be used
- help the group to develop a complete picture of the change process
- help the group to build consensus on how the success will be measured
- help stakeholders develop a "shared understanding of what they are trying to accomplish"

An Action Plan is the foundation for the sustainability of the CLC and the basis on which its performance will be judged. Like any plan, it must take into account any potential risk involved.

- **RISK**, as defined in the Framework,[91] has two faces:
- The first involves the risks that uncertainty poses for the achievement of the intended result
- The second entails the potential risk that the result (or the attempt to achieve it) may cause.

In other words, there are potential risks both to and from what is being planned.

- If participants from one or more of the partner organizations in the CLC have been socialized to equate risk with danger (something to be avoided), then they will be more reticent in supporting a plan that appears to be risky.
- One of the key roles of the team leader, therefore, is to convince them that sometimes innovation requires risk taking. This shift in culture means accepting an appropriate level of risk, commensurate with the likelihood of a given risk occurring and the consequences if it does.

Sustainability: Some risks may threaten the long term sustainability of the venture. Thus for example, if the Partnership did not adequately deal with long term funding, this uncertainty creates a level of risk that must be considered. Other risks to sustainability may not be visible. Detecting any such risks requires both a *long view* and imagination, a perspective that is dealt with in the next section in relation to the determination of short-medium- and long-term results.

Performance: In this Framework, performance has a dual meaning (operational and results-based).[92] This definition keeps the ends in focus without ignoring how those ends are achieved. It reflects the two principal dimensions of a theory of change: the destination and the journey.

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89. Bailey, Jordan & Fiester, 2006, p. 5; see *Imagine, Act, Believe, A Framework for Learning and Results in Community Change Initiative*.
90. Anderson, 2005, p. 9.
91. **Risk**: uncertainty about the achievement of the intended result or what that result (or the attempt to achieve it) may cause.
92. See definition in note 129. This approach is similar to the one adopted by the Organisation for Economic Cooperation and Development (OECD) which defines performance as the extent to which an organization "*operates* according to specific criteria/standards/guidelines or achieves *results* in accordance with stated goals or plans" (2002, p. 29, emphasis added).

Framework, p. 12

3.1 Determine Desired Results

The Mission Statement, adopted in Step 2 (See **Partnership Agreement** in your **Workbook**), outlined the results areas that should direct the work of the CLC. In this step, you sharpen this directionality by specifying the results to be achieved in each of these areas.

STEP 3.1 AT-A-GLANCE

3.1 Determine Desired Results	→	3.2 Determine Programs and Services to Be Offered	→	3.3 Determine Gaps in Capacity to Deliver Services	→	3.4 Determine Means to Evaluate Actions and Results	→	3.5 Complete Action Plan

The **major challenge** in this step is clarifying your intended results at each level of the results chain shown in the Framework (p. **7**):

outputs → outcomes → impact

Step 3.1 Operational Challenges

Seek points of convergence between the results sought by the various partners

↓

Establish a mutually beneficial chain of intended results

↓

Primary Output

Statement of Intended Results learned

"There is a growing body of evidence that suggests a program's success over the long term is associated with the ability of key stakeholders to change the conditions within which programs operate, thereby creating an environment where programs can flourish."

The clarity of intended results is analogous to "pinpointing" your destination on a map, as opposed to saying: "We are going *that-a-way*."

The goal of **sustainability** is embedded in this step in at least two ways:

- First, longer term outcomes and impact cannot occur unless the CLC is able to sustain its effectiveness over time.
- Second, the results chain must include building the capacity that will enable the achievement of these outcomes and impact (see text box).[93]

The Results Chain–The Sequence of Change

As stated in the Framework (p. **7**), a ***results chain*** is used to express the presumed sequence of change: activities produce outputs that lead to desired outcomes that lead to desired impact.

Activities	→	Results				
		Outputs	→	**Outcomes**	→	**Impact**

- **Activities** are a process using resources and other capacities to produce a result. However, the completion of an activity should not be considered as a result.

93. W.K. Kellogg Foundation, 1998, p. 43; see also W.K. Kellogg Foundation, 2001.

For example:

- A workshop (**activity**) for parents has been completed.
- The **output** of this activity is that parents have enhanced capacity to advocate for their children.
- An anticipated **outcome** of this output is that parents become more effective advocates for their children.

For examples of linked results, see

- ✓ *From Values to Results*, pp. 35-38, and
- ✓ *A Promising Direction for English Education in Québec*, p. 6 on the CLC Web site.

See also:

- ✓ Organizational Research Services, 2004, pp. 13-16

From results **areas**, for example:

- early childhood development

to **smart** results, for example:

- children starting kindergarten have readiness skills to begin reading

- An **output** is defined as the direct result of a given activity.
- Any result (other than long term impact) that cannot be directly linked to a given activity is considered an **outcome**.

Using the **example** in the text box, if parents do not acquire the enhanced capacity envisaged, then there is no result, even though the workshop was completed.

The most important challenge is determining and demonstrating the rationale that links activities, outputs, outcomes and impact. In other words:

- What leads you to believe that the results chain you have in mind is valid?

Answering this question is a form of **back mapping** (p. **37**), as you start at the end of the results chain and move toward the beginning. This exercise expresses the **theory of change** that underpins the causal logic of ***your*** results chain.[94]

Mapping a results chain is often done in graphic form (see example on p. **41**). However, it is also useful to express these relationships in ***narrative*** form. This will test the viability of the linkages depicted on the map.

The Intersection of Complementary Results

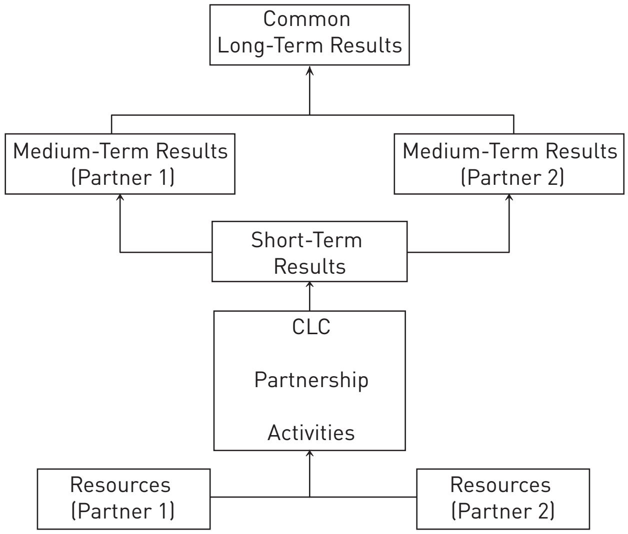
"Making the vision concrete" is the first task in making the shift from the results areas set forth in the mission statement to a set of results that are *operationally* defined, in other words, **SMART** results:

- **S**pecific: state precisely what is being sought
- **M**easurable: so we can see if they are achieved
- **A**chievable: so that success is realistic
- **R**elevant: to client/organizational needs
- **T**ime bound: so we can establish a deadline

The following provides a graphic illustration of the situation described in the Framework (p. **12**) where two partners discover common longer-term results that are served by separate but complementary medium-term results, both of which can be served by short-term results from common activities, thereby justifying a mutual investment of resources.

94. Since the Framework is not prescriptive, the general theory of change which it expresses is articulated differently by each individual CLC when it chooses its own particular activities and results.

BUILDING A JOINT VENTURE



For example: A community organization, concerned with youth justice, partners with a vocational centre. Both organizations seek similar long term results and have different medium-term results that can be supported by a common short-term result as illustrated below.

See **Points of Convergence Templates**, p. 29

Long	A society with less crime, more productive citizens, etc.	
Medium	Reduction in number of juvenile offenders	Employment for graduates
Short	Vocational students graduate (especially those who are at risk of dropping out and turning to crime in lieu of employment)	

Other Issues

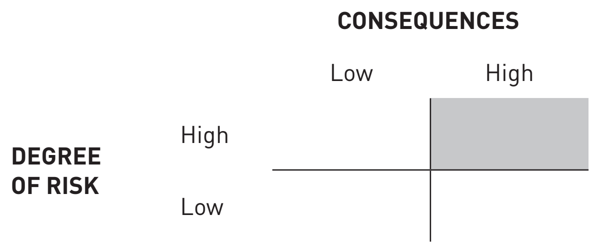
When plotting possible results, one needs to consider three issues:

- **Beneficiary reach**: Determine the reach of the program—Who will benefit, either directly or indirectly, from the intended results?[95]
- **Unintended results**: In addition to plotting intended results, you should look for any unintended results that might occur.[96]

95. Generally, program participants and (if applicable) their group or organization will be the direct beneficiaries from the program outputs, while other individuals, groups or organizations may indirectly benefit from the longer-term results being sought (outcomes and impact).

96. These may only come to light once the program has been launched, but looking for them at the beginning may help avoid some unpleasant surprises later on.

- **Assumptions**: "Assumptions describe the necessary conditions that must exist if the cause-effect relationships between levels of results are to behave as expected."[97] One must assess the consequences of conditions not being achieved and the probability that this may occur (degree of risk) (see graphic).[98]



Unpacking the Results Chain

In this Framework, outputs are short-term results that flow directly from activities and must lead to outcomes, the next level of results.

This exercise constitutes the core function in the development of your theory of change.

- However, in many cases, this chain is more complex than a simple cause and effect relationship of A → B, where A is the output of activity A and B is the intended outcome.
- It is more likely, in fact, that various activities and their outputs are chained in sequence that together lead to one or more linked outcomes.

Understanding this underlying sequence can be thought of as *unpacking* the results chain.

Take, for example, the educational outcome of **graduation**. As illustrated below, back mapping from this result leads to:

- the curricular and cross-curricular ***competencies*** that we expect students to master, then to
- the ***capacities*** that students must have or acquire in order to achieve these competencies, which require
- student **engagement**, that is, presence and active participation in school, and finally
- a host of school-related ***conditions*** that prevent dropping out and support student engagement and the acquisition of various capacities and competencies

97. CIDA, 1999b, section 4.1; see also CIDA, 1999a, 2000, 2004.
98. The risks that fall in the shaded quadrant warrant the most attention: high degree of risk and high level of consequences.

A RESULTS CHAIN TO GRADUATION AND BEYOND

Conditions for Learning → Student Engagement → Student Capacities → Student Competencies → Graduation

Graduation ↓ Postsecondary education ↓ Employment ↓ Prosperity

- Each of these links may comprise one or more **activities**, some to provide services (Step 3.2), some to build organizational capacity in order to provide these services (Step 3.3),
- each producing an **output** which, together,
- lead to the desired **outcome**, that is, graduation
- This outcome is in turn **linked to other outcomes**, such as access to and success in postsecondary education and employment.
- Taken together, these outcomes lead to long term **impacts** on society, such as a stronger economy, higher level of overall prosperity, etc.

See **Statement of Intended Results Templates**, p. 30

Imagine a CLC whose long term impact envisages community members having a healthier lifestyle. Two outcomes were designed to lead to this intended impact and one unintended outcome occurred. The following example shows the results chain for one output leading to one outcome.

Lower Health-Care Costs (Unintended Outcome)

Healthy Diet (Outcome) → Healthy Life-Style (Impact)

Weight Loss (Output) → Fitness (Outcome) → Healthy Life-Style (Impact)

Parental Support (Conditions) ↑ Networking With Community (Other Capacities) ↑ Instructor/Gym (Resources) ↑ Weight Loss (Output)

Framework, p. 13

3.2 Determine Programs and Services to Be Offered

As summarized below, the purpose of this step is to move from intended results to programs and services.

STEP 3.2 AT-A-GLANCE

3.1 Determine Desired Results	→	3.2 Determine Programs and Services to Be Offered	→	3.3 Determine Gaps in Capacity to Deliver Services	→	3.4 Determine Means to Evaluate Actions and Results	→	3.5 Complete Action Plan

Step 3.2 Operational Challenges

Determine the activities that are likely to produce the short-term results (outputs) set for service delivery

↓

Establish a process to monitor service delivery that is both feasible and effective

↓

Primary Output

Service Delivery Plan

The **major challenge** in this step is creating a service delivery plan comprising needed programs and services, as well as a means to monitor service delivery.

Programs and Services

In this step, you are back mapping from the results established in Step 3.1 that are intended to benefit students or the community to the "service activities" that will bring about or contribute to these results.

Service Activities	→	Outputs (for students or community)

The insights gained from your analysis of needs and assets (See **A Map of Community Needs and Assets** in your **Workbook**) should help in deciding which services are most appropriate in your context. However, in each case, the key question remains: What is the rationale for believing that this activity is likely to achieve intended results? What are the necessary conditions for this to occur?

Conditions for Success

A great deal has been learned from research and practice about what works best in multiple contexts and which **factors** or **conditions** are most important in relation to:

- the services themselves
- their actual delivery
- surrounding conditions[99]

Take **for example**, a case where the intended result is improved student awareness about the environment.[100]

99. Ministère de l'Éducation du Québec, 2002, p. 15.

100. Melaville, Berg & Blank, 2006; quotations from pp. 41, 31, 28.

CREATING ENVIRONMENTAL AWARENESS

Services	Some programs, such as the community-based environmental education program, have been found to be better than others at achieving this result because, among other reasons, they provide "instructional settings that increase students' sense of personal responsibility and internal locus of control."
Actual Delivery	However, the program experienced by students is the one actually delivered. Using teaching strategies that encourage students to become active participants in this initiative will enhance its chances of success: "When students engage in learning, they are more likely to care deeply, work harder, and achieve their goals."
Surrounding Conditions	Finally, community-based programs do not operate in a vacuum and their potential is enhanced by a variety of supporting conditions such as linkages with community organizations: "Schools must seek mutually beneficial relationships with community partners who have expertise to share and publicly recognize the assets they bring to student learning and civic development."

Choosing appropriate services requires paying attention to all three types of conditions, some of which may require capacity development, which is dealt with in Step 3.3.[101]

The **allocation of resources** is obviously a function of the funds determined for each service contemplated, as well as any other available resources (e.g. human resources provided by partner). The combination of these resources, plus those required for capacity development (Step 3.3) determine the program budget. However, determining that a given service requires certain resources and allocating them are separate steps in the planning process. This is especially true for human resources:

- At this stage, they are expressed as estimates of the number and cost of different types of staff.
- At a later stage, the exercise becomes one of assigning existing personnel or hiring of new employees or contract staff.

For examples of community school services, see From *Values to Results*, pp. 67-70, on the CLC Web site. See also:

- ✓ Bagby, 2004
- ✓ Kakli et al., 2006
- ✓ Wilkin et al., 2003

Work planning operationalizes the provision of service delivery. A work plan is typically organized as a sequential flow of activities, with assigned responsibilities for various team members, and a time line for their completion.[102] ***Sequencing*** is another important consideration for work planning if:

- one programmatic activity must take place before another is undertaken, or
- some form of capacity development must occur prior to a new program or service being introduced

Sequencing can be thought of as part of *unpacking* the short-term results chain, presented above (p. **42**). Activities may be situated anywhere along this short-term continuum, each producing its own intermediate output(s).

101. Assumptions about conditions for success and any inherent risks must also be taken into account in planning activities, as they were in determining results (p. **42**).

102. The work plans for service delivery, capacity building and evaluation (discussed in Steps 3.3 and 3.4) must be coordinated. In addition, a CLC, especially a new one, has to take into account how these work plans will dovetail with existing programs and services.

Comparing Alternatives

Deciding on appropriate services almost always involves the consideration of alternatives, either in terms of:

- one activity versus another, or
- different means to pursue a given activity

One technique used widely to consider alternative services (or different ways to deliver a given service) is the **SWOT** analysis.[103] First one considers the strengths and the weaknesses of the proposed service, then the opportunities it could create and any threats (risks) it may pose.

SWOT ANALYSIS

STRENGTHS	WEAKNESSES
OPPORTUNITIES	THREATS

See **Analyzing Proposed Services**
Templates, p. 32

See **Service Activities**
Templates, p. 33

See **Service Activities Work Plan**
Templates, p. 34

- Assessing relative strengths/weaknesses and opportunities/threats of any service first entails a consideration of the extent to which it contributes to the desired results.
- Once a suitable link has been established, the relative merits of the service can be properly assessed.
- Services cannot be analyzed without a consideration of the resources that will be needed, including people, materials, equipment, facilities, and so forth.
- Except for volunteers and other forms of donated services, all these resources bear a cost. The most significant cost is personnel. Therefore, estimating the cost of staffing a given program is the core of resource planning.[104]

Being adept at costing alternatives is an important technical skill in this process, but it is only useful if it complements sound judgment when looking at the "big picture" that takes into account all relevant factors in order to answer questions such as:

- Which option will dovetail better with existing programs?
- Does one have a better track record than the other? And so forth.[105]

103. This simple management technique encourages a balanced assessment of any proposal. If it is used routinely, no one need feel defensive when asked: What's the downside of this proposal?

104. The "formula" for making this estimate is quite straightforward. (For each type of personnel, the total cost = number of hours/days of service x hourly/daily rate.) However, deciding which type of personnel to engage, estimating the time required and including contingencies requires the judgment of the planner.

105. Looking at different options requires an assessment of the relative ***cost effectiveness*** of each one: comparing alternatives in a matrix showing **two dimensions**: their relative costs and effectiveness at producing intended results. At an evaluation stage (i.e. after the fact), it may be possible to measure both dimensions, but at a planning stage, estimating effectiveness is a tentative exercise at best. Typically, program planners craft alternatives that they believe will achieve the desired results and compare the costs.

Monitoring Service Delivery

Monitoring, as defined in the Framework,[106] is a key strategy in managing risk that involves continually checking to see what is happening on a day-to-day basis to detect any problems, preferably before they become serious, and even before they arise. Monitoring aims first at prevention, and then, at early intervention by asking:

- Are all key aspects of the activity on track?
- If not, what adjustments should be made?

In general terms, monitoring requires ways and means to keep an eye on the conduct of activities, including the utilization of resources and progress toward results.

- Monitoring **activities** involves looking at process, how the conduct of programs and other services is proceeding, as well as the coordination or administration of these activities.
- Monitoring **resources** and other conditions involves looking at the provision of human, material and other resources, or any other essential conditions (see p. **45**), that are—or were supposed to be—put in place for the activity.
- Monitoring **results** involves looking at progress toward desired results, as distinct from the conduct of the activity (see example in text box).

As stated in the Framework (p. **14**), monitoring is not the same as evaluation,[107] although the terms are used interchangeably by some authors. An organization monitors its activities *as they occur* in order to keep an eye on its performance.[108] An organization evaluates its activities *after they have occurred* (or at least after some stage has occurred) in order to make judgments about its performance (see p. **53**).[109]

One of the perennial problems associated with monitoring is ***overload***, that is, attempting to do too much too often. If the expectations are set too high, then it is likely that the monitoring will begin to fall off or even break down completely—better an imperfect process that works than a perfect one that does not.

Finally, it is necessary to monitor the monitoring, especially in new systems, making adjustments as required to the monitoring process.

For example:
Take an after-school program, where students are supposed to be honing their math skills. The program could well be proceeding exactly as planned, with budget on track, except for one small problem: no one is learning any math!

An analogy from Healthcare: During the drug trial, the hospital monitors the patients to see how they are responding to treatment, if the dosage should be increased or decreased, if there are side-effects, etc., but especially to see if any immediate action needs to be taken.

See **Monitoring Service Delivery Templates**, p. 35

106. **Monitoring**: an ongoing process to ensure that planned activities or processes (including resources) are "on track" and that progress is being made toward intended results.
107. See definition in note 106.
108. See the analogy from health care in the text box, where a hospital is testing an experimental drug on a group of patients.
109. However, as noted at the beginning of Step 5 (p. **71**), although evaluation judgments are made at the end of the year (or some other period), the evaluation process, especially the gathering of data, occurs throughout the year.

Framework, p. 14

3.3 Determine Capacity to Deliver Services

As summarized below, the **purpose** of this step is to build the capacity of the CLC to conduct the service activities decided upon in the previous step.

STEP 3.3 AT-A-GLANCE

3.1 Determine Desired Results → 3.2 Determine Programs and Services to Be Offered → 3.3 Determine Gaps in Capacity to Deliver Services → 3.4 Determine Means to Evaluate Actions and Results → 3.5 Complete Action Plan

Step 3.3 Operational Challenges

Determine the activities that are likely to produce the short-term results set for capacity development

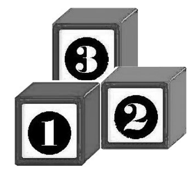
↓

Establish a process to monitor capacity building that is both feasible and effective

↓

Primary Output

Capacity Development Plan learned



The **major challenge** in this step is to complete a capacity development plan comprising the required "building blocks" of capacity, as well as a means to monitor this process.[110]

As defined in this Framework,[111] capacity provides the "***building blocks***" to attain and sustain high levels of performance (see text box).[112] Meeting the "***sustainability challenge***" is one of the most critical tasks of a learning community:

> The CLC may receive assistance from a critical friend to successfully achieve a given result. However, if after that assistance has been provided, the capacity of the CLC has not improved, it will not be able to sustain such results in the future.

- "Creating sustainable conditions means, first, understanding the culture that exists in the (organization) and, second, deciding on those norms and values that deserve to be retained and those that should be changed."[113]

The notion of organizational capacity may seem confusing at first but, as stated in the Framework (p. **14**), capacity simply refers to "what it takes" in order to do well. The CLC's capacity to perform is analogous to an athlete's capacity to successfully complete a race or a student's capacity to learn (see text box).

> Educators know that students need various capacities to achieve learning outcomes. They also know that in order to learn, students must learn to learn. These "meta-learning" capacities are at the heart of the cross-curricular elements of the Québec Education Program.

110. A set of socially important results, backed by appropriate programs and services mean little if the organization does not have the capacity to deliver. Unfortunately, it is also the part that is most often neglected. Accordingly, this step represents a particularly significant set of challenges for the team leader.

111. **Organizational capacity**: the resources, systems and other capabilities of an organization that enable it to attain and sustain high levels of performance in accordance with the expectations of its stakeholders.

112. Hence the traditional wisdom from international development: Give a family a fish and you feed them for a day. Teach them to fish and you feed them for a lifetime.

113. Mitchell & Sackney, 2000, p. 117.

The Building Blocks of Capacity

Horton and his colleagues provide a starting point for thinking about the individual "blocks" for building capacity. According to them,[114] sustainable organizations should ideally have:

- the ability to scan the environment, adapt to it, and seize opportunities it offers
- strong leadership and management
- the ability to attract and retain qualified staff
- the ability to provide relevant benefits and services for maximum impact in communities
- the skills to demonstrate and communicate this impact to leverage further resources
- community support and involvement
- commitment to building sustainable (not dependent) communities

For a short article on capacity building, see the ***Canadian Journal of Educational Administration and Policy***:

- ✓ Mitchell & Sackney, 2001

See also:

- ✓ Horton et al., 2003
- ✓ Lusthaus et al., 2002

Various authors have developed different ways of thinking about capacity and how individual components should fit together. For example:

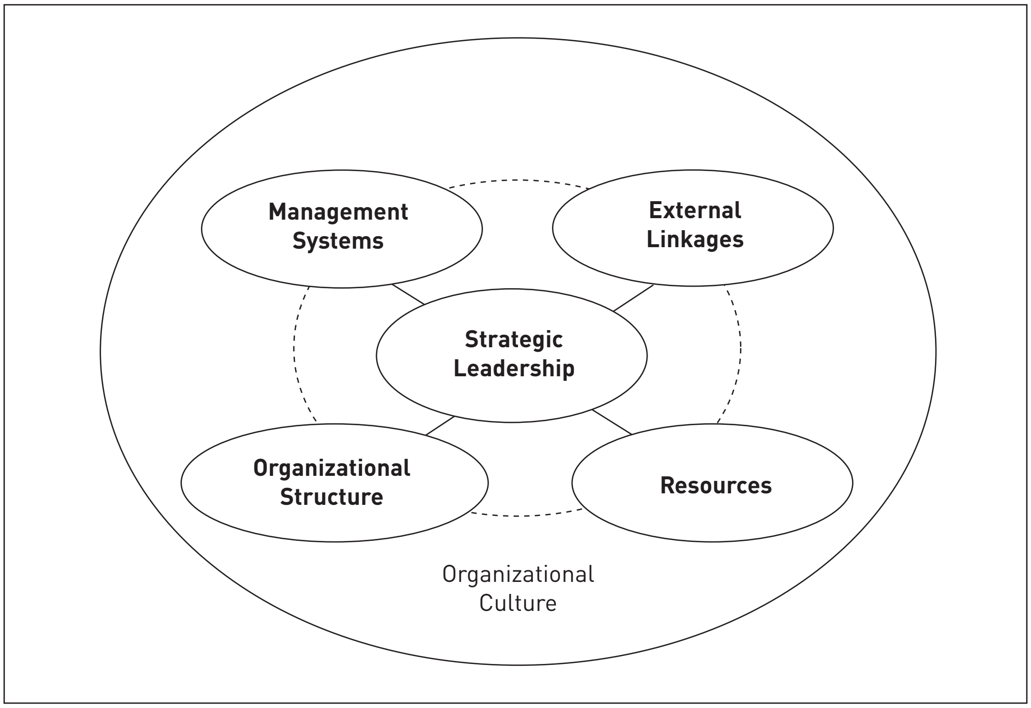
- Mitchell and Sackney emphasize personal and interpersonal capacities for building strong learning communities.[115]
- The framework used by the Venture Philanthropy Partners places aspirations at the apex of a pyramid of building blocks.[116]
- Louise Stoll outlines three influences on the capacity of schools to produce the four *pillars* of *knowledge* required for lifelong learning.[117]

A page on the IDRC Web site, **Evaluation Publications and Resources**, contains a variety of practical materials on capacity development and organizational evaluation.

For purpose of the CLC Framework, we have also drawn on many other sources to arrive at a holistic presentation of the interrelated capacities needed by a CLC to attain and sustain high levels of performance.[118] A simplified image of this integrated set of the building blocks of capacity is presented below.[119]

114. Horton et al., 2003, P. 164.
115. Mitchell & Sackney, 2000.
116. McKinsey & Company, 2001.
117. Stoll, 1999. The four pillars are learning to know, learning to do, learning to live together, and learning to be. The capacity building factors include the learning context of the school and external contextual influences.
118. In developing this set of building blocks, we have relied strongly on the work done by Lusthaus and his colleagues of the International Development Research Centre (IDRC) (Lusthaus et al., 1999, 2002), who have been world leaders in conceptualizing and mapping the elements that comprise organizational capacity and performance.
119. The other key sources are Horton et al., 2003; McKinsey & CompanY, 2001; Mitchell & Sackney, 2000; McLennan & Smith, 2002; and the Task Team on Education Management Development, 1996.

A HOLISTIC VIEW OF THE BUILDING BLOCKS OF CAPACITY



"The failure rate of most planned organizational change initiatives is dramatic. What is most interesting about these failures, however, is the reported reasons for their lack of success [notably] a neglect of the organization's culture."

Organizational culture: The literature on managing change places considerable emphasis at making changes in the *culture* of the organization, that is, its shared assumptions, values and beliefs, the way organizational members see the world. It "runs like an invisible thread throughout the entire subject of capacity building"[120] (see text box).[121] However, organizational culture is intangible and often elusive.

Resources: The primary tangible capacity blocks of an organization are the resources it has at its disposal, namely its financial, human and material resources. In an organization that is a service provider such as a CLC, its most important resource is its staff and associates. If they do not possess the capacity to deliver the services envisaged for the CLC, the latter will not have the capacity to perform, no matter what other capacities it possesses.

Organizational structure: This block refers to the capacity provided by the governance and operational "shell" of the organization for the allocation of authority and other roles and responsibilities. The key elements of this block were determined in Step 2.3 (see p. **29**). However, as the structure becomes operational, deficiencies in the way it supports the performance of the CLC may come to light.

120. McKinsey & Company, 2001, p. 63.

121. Cameron & Quinn, 2006, p. 1.

Management systemps: If organizational structure provides the "hardware" capacity of the CLC, its management systems provide the "software." This block includes the systems to manage service delivery ("line" functions) and those "staff" functions, for example, communication technologies, that operate in the background (see text box).[122]

External linkages: In stark contrast to the traditional image of an inward-looking bureaucracy, this block looks outside the organization to gain capacity from its linkages with other organizations, groups and individuals. Given the very nature of a CLC, this block is a "no brainer"; however, keeping it in mind may be important if you discover that there are some key players who are missing from the Partnership.

Strategic leadership: This core block refers to the capacity to situate the organization in its environment, provide strategic policy direction to it and motivate its members. All of the foregoing types of capacity—and of course capacity building—depend at least to some extent on this block, which in the context of a CLC, implies ***shared leadership***. Thus a recent guide describes authentic leaders as those who are adept at "making the most of what they have" (see text box).[123]

"Think of an organization that has a demonstrated record of success in delivering a particular program, but has very limited skills in such areas as financial management or program evaluation. This skill gap inherently compromises the ability to improve and expand services…"

"Authentic leaders know that leadership is about change that will move the organization toward a better future. They know that to promote change, they must learn the art of change…"

Building Capacity

In this step, you are back mapping from the results that are intended to build the capacity of the CLC to the "capacity-building activities" that will bring about or contribute to these results,[124] which in turn will contribute to the results intended from service delivery, as illustrated below.

CAPACITY BUILDING TOWARD RESULTS

Capacity-Building Activities	→	Outputs (organizational capacity)	→	Service Activities	→	Outputs (for students or community)

Building capacity means creating or improving conditions that have been found, through research and practice, to enable, or even be essential for, the provision of various services (see text box).[125] As noted in the previous step (p. **45**), these factors relate to:

- the services themselves
- the delivery of these services
- surrounding conditions

"[The] ability to change the conditions within which the program operates has oftentimes been more important to its ultimate success than the program's level of innovation. Given this, we need to pay attention to … [the] conditions which support or hinder a program's growth and sustainability, and identify effective strategies for creating supportive conditions and changing difficult or hostile environments."

122. McKinsey & Company, 2001, p. 44.
123. Beach, 2006, p. XVII.
124. **Organizational capacity development**: a continuing process by which an organization increases its capabilities to perform.
125. W.K. Kellogg Foundation, 1998, pp. 43-44.

The exhibit that follows uses the same example provided in Step 3.2 (p. **44**) regarding improved student awareness about the environment to illustrate the consideration of such conditions.

CREATING CAPACITY FOR ENVIRONMENTAL AWARENESS

Services	Capacity building could include the development of a suitable program if none was available (material resources).
Actual Delivery	Capacity building could include professional development for teachers (human resources).
Surrounding Conditions	Capacity building could include the development of links with community groups (external linkages) or changes in the way the teaching time was organized (management systems).

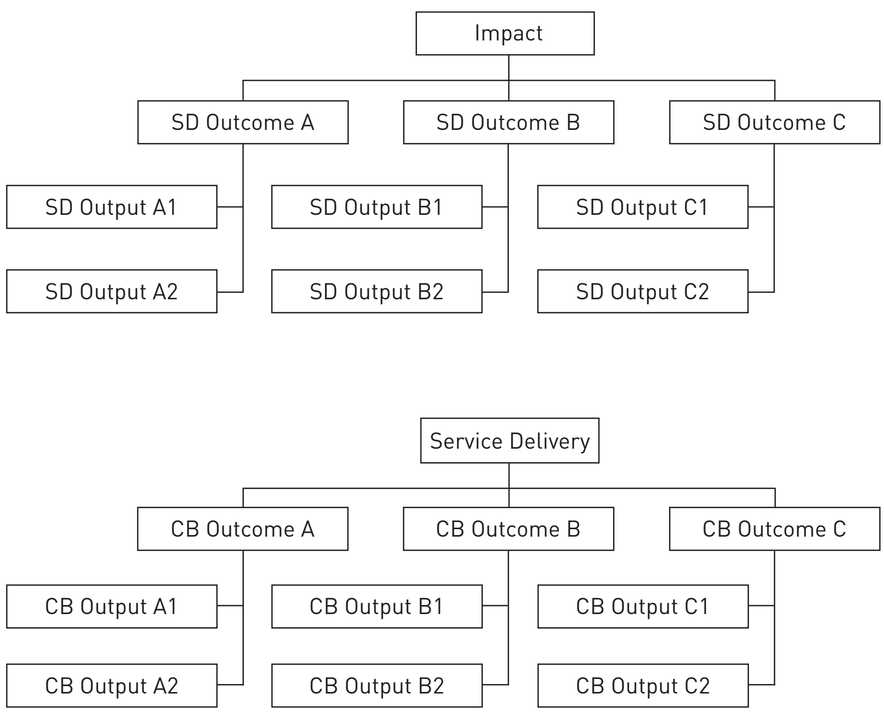
By adding capacity building, you transform a simple results chain shown which only includes results from service delivery, to a "compound" results chain which includes capacity-building results (CB) that support service delivery results (SD).

A "COMPOUND" RESULTS CHAIN

See **Analyzing Current Capacity** **Templates**, p. 36

See **Capacity-Building Activities** **Templates**, p. 38

See **Capacity-building Activities Work Plan** **Templates**, p. 38



In this graphic, the "Service Delivery" box represents the activities that lead to the outputs shown above it.

Monitoring of Capacity Building

As mentioned in the Framework, the process for monitoring service delivery described in the previous section (p. **47**) applies equally to the monitoring of capacity building.

See **Monitoring Capacity Building Templates**, p. 39

3.4 Determine Means to Evaluate Actions and Results

Framework, p. 15

As summarized below, the purpose of this step is to create the plan that will be used to evaluate[126] the performance of the CLC.[127]

STEP 3.4 AT-A-GLANCE

3.1 Determine Desired Results → 3.2 Determine Programs and Services to Be Offered → 3.3 Determine Gaps in Capacity to Deliver Services → 3.4 Determine Means to Evaluate Actions and Results → 3.5 Complete Action Plan

The **major challenges** in this step are multi-layered, beginning with the parameters of the evaluation and then proceeding to determine what will be evaluated and how.

Just like student assessment, organizational evaluation can be **formative** (with an aim of supporting improvement) and **summative** (with an aim of supporting accountability). The Framework definition includes both types, supporting both the improvement of and accountability for organizational performance.

When an organization conducts its own evaluation, it is engaged in a form of "**self-evaluation**." Although some people question the ability of any organization to evaluate itself, self-evaluation is now widely recognized as an essential undertaking of any organization. Self-evaluation is a participatory process, involving all the major stakeholders of the organization, including students—the most neglected participants in school improvement efforts.[128]

Given this Framework's use of a **Theory of Change** approach to planning (see p. **37**), the evaluation seeks to measure performance in terms of both the intended results and the means selected to achieve them.[129]

Step 3.4 Operational Challenges

Establish the parameters that define the nature and limits of the evaluation
↓
Determine precisely what will be evaluated
↓
Adopt performance standards for each object to be evaluated
↓
Select appropriate indicators to measure the objects to be evaluated
↓

Primary Output

Evaluation Plan

126. **Evaluation**: a systematic inquiry about the performance of an organization (e.g. CLC) for the dual purpose of accountability and improvement.

127. **Organizational performance**: the extent to which an organization or a system operates and achieves results in accordance with the expectations of stakeholders.

128. The National College for School Leadership (**NCSL**) provides a good starting point for learning about self-evaluation (NCSL, n.d., MacBeath, n.d.-a, n.d.-b.); see also Conseil supérieur de l'éducation, 1999; Leithwood, Aitken & Jantzi, 2006; MacBeath & McGlynn, 2002; Smith & Gouett, 2002; Sturge Sparkes, 1999.

129. This approach is similar to the use of a "logical framework" (often shortened to "logframe") which "helps the [organization] lay out its desired results, what affects those results, what it plans to do, and how it will measure progress" (Watson, 2000, p. 21). See also W.K. Kellogg Foundation, 2001.

As alluded to earlier in the discussion of monitoring (see p. **47**), evaluation differs from monitoring, essentially because it is used to make **judgments** about whatever is being evaluated. Whereas monitoring data are collected and acted upon "on the go," evaluation implies a pause with time to reflect upon the data to judge both the process and the results of the activity in question.[130]

An Analogy From Health Care: After the drug trial has finished, the hospital evaluates the effectiveness of the drug, that is, the extent to which the condition being treated has been eliminated or its effects attenuated, etc., the efficiency of the drug (cost versus benefits), as well as any unintended results, such as side effects.

Harvard Family Research Project

Evaluation is also an important means of promoting **sustainability**. Researchers from the Harvard Family Research Project go beyond the traditional view of evaluation and sustainability (that if evaluation can show positive results, program managers will be able to secure continued funding to maintain the program). Rather they argue that evaluation can support sustainability as an outcome.[131]

Context: One cannot understand an organization, let alone evaluate its performance, without first considering its context. For the evaluation envisaged by this Framework, the context is delineated by the community map, and the values, nature and purpose of the CLC, as developed in Steps 2.1 and 2.4.

Establishing the Parameters

Establishing the parameters that define the nature and limits of the evaluation involves three major issues:

- the ethical standards governing the evaluation
- the trustworthiness of the evaluation
- the purpose and scope of the evaluation

See the **Ethics Guidelines** of the Canadian Evaluation Society.

See **Statement of Ethics**

Templates, p. 40

Ethical Standards

Most evaluation data will be about people: students, staff members, etc. Guidelines are an important means to ensure that the evaluation follows accepted professional codes of ethics and is respectful of the welfare of those involved in or affected by the evaluation, especially any vulnerable populations such as children with special needs. The guidelines should deal with a number of issues including:

- privacy and confidentiality regarding "raw" data[132]
- informed consent for participants
- accuracy and honesty of analysis and reporting

130. See the continuation of the analogy from health care from page **65** in the text box, where a hospital is testing an experimental drug on a group of patients.
131. Evaluation can help by "tracking progress on sustainability and feeding back regular information that can be used to ensure sustainability is on course, and if not, to point to opportunities for midcourse corrections." (Weiss, Coffman & Bohan-Baker, 2003, p. 2).
132. **Raw data**: information as collected from and about participants in an evaluation.

Trustworthiness of the Evaluation

Evaluation results often attract critics—especially if they are not what stakeholders expected—who inevitably will ask: Is this evaluation ***trustworthy***?[133] Being able to answer such a question depends on the criteria that will satisfy stakeholders. In other words, you must:

- determine what qualities make an evaluation trustworthy, and
- be able to demonstrate that your evaluation possesses these qualities

The Evaluation Center of the University of Western Michigan provides a summary statement of **Evaluation Standards**.

A good starting point toward making the evaluation trustworthy is the adoption of a recognized set of ***evaluation standards*** (generally accepted principles for the conduct of an evaluation).[134]

Trustworthiness must be considered at each stage of the evaluation, as the trustworthiness of the evaluation report depends on how this **process** was conducted. Establishing trustworthiness depends, in part, on the ***rigour*** of the conduct of the evaluation.[135] In this Framework, the principal criteria for establishing the rigour of an evaluation are based on its validity[136] and its dependability.[137]

- **Validity** aims at establishing that both the overall evaluation and the individual actions and products it comprises are demonstrably legitimate, well founded and defensible. Each action and product depends on previous ones. Thus, the findings cannot be valid if they are based on faulty analysis, invalid data, etc.
- **Dependability** is concerned with establishing that the same results would be arrived at if the same instruments or procedures were applied a second time or by another evaluation team.[138]

The Evaluation Audit

The "evaluation audit" is a very useful technique for ascertaining the trustworthiness of an inquiry such as an evaluation, in order to:

- verify that the evaluation *process* has followed generally accepted evaluation procedures
- attest to the accuracy of the *product*, that is, the findings and conclusions of the evaluation

Audit Step

When an external auditor is asked to conduct such an exercise, it usually occurs at the end of the evaluation. However, if you are conducting an internal audit, it is preferable to conduct it in stages, rather than waiting until the end. Accordingly, a "flag" (as shown to the right) will be included at each key point in the Guidebook, where one step of the audit should be conducted.

133. **Trustworthiness**: the evaluation's representation of the performance of the organization is both valid and dependable.
134. See Joint Committee on Standards, 1994.
135. Rigour is not an absolute concept. The aim here is to make the process rigorous enough to be credible, but not so rigorous that it is not feasible.
136. Often termed "credibility" in qualitative research, **validity** is defined in this Framework as the following: any product of or action taken in the evaluation process is valid if it and any prior product or action on which it depends is demonstrably legitimate, well founded and defensible.
137. Often termed "reliability" in quantitative research, **dependability** is defined in this Framework as the following: the instruments and methods used in the evaluation will produce consistent results in given conditions.
138. An evaluation may be valid but not dependable, but it cannot be dependable unless it is first valid. (A valid road sign must point in the right direction, but it is not dependable if it swings in the wind.)

Determining the Boundaries of the Evaluation

The boundaries of the evaluation are determined by its purpose and results, and by its scope.

It is important to emphasize that this evaluation is not intended to evaluate either students or staff members; nor is it intended to evaluate particular programs or other initiatives.

Purpose and results: In this Framework, the evaluation is meant to serve the dual purpose of accountability[139] and improvement,[140] with respect to organizational performance.

- Evaluation serves the accountability purpose by making it possible to report to stakeholders and the public about the performance of the CLC.
- Evaluation serves the improvement purpose by making it possible to provide, data to guide improvement efforts.
- The **outputs** of the evaluation are the evaluation reports and other forms of communication to stakeholders.
- The **outcomes** of the evaluation are enhanced organizational capacity and performance.

In this Framework, performance is an ***active*** concept: it is about what people and organizations *do* (operational performance) and what they *achieve* (results-based performance). Each of these performance focuses spotlights one side of the results chain (activities → results).

- Evaluating the results side informs us about the **effectiveness** of this chain—the extent to which results have been achieved. This is easiest to do for results that were meant to have been achieved at the time the evaluation is conducted, but more difficult to do for progress toward those that are anticipated in the future.[141]
- Evaluating the activities side informs us about the **conduct** of activities—the extent to which they have been carried out in accordance with our expectations, including the **efficiency** of this process, that is, how well resources have been allocated and managed.

Scope: The Framework limits the scope of the site-level evaluation by a CLC to a manageable set of evaluation questions concerned with key areas of performance. This limitation assumes that the conduct of more in-depth or specialized evaluations will be undertaken periodically as a shared responsibility of the CLC, its partners and other bodies, according to the nature and purpose of these evaluations.

The **time frame** of the evaluation also affects its scope. In this Framework, it is assumed that the evaluation will be done every year. However, several variations of this approach are both possible and desirable. A CLC could decide to limit the scope of its by evaluation by:

- evaluating certain matters every year
- evaluating others every second year
- evaluating still others over a three-year period

Audit Step #1

See **Auditing the Evaluation, Step 1**

Templates, p. 42

An evaluation typically begins with an overarching question that it is meant to answer. In a self-evaluation about organizational performance, the implied question is:

How well is my organization performing?

139. Accountability refers to "the requirement of a public body or official to answer for the use of public funds, the performance of public duties or the achievement of anticipated results" (Smith & Sturge Sparkes, 1998, p. 99).
140. "From this perspective, school improvement is a part of the ordinary process of operating the school, rather than a response to a belief that things are terribly wrong or that there are dreadful problems that cry out for immediate solution. Learning how to do things better is simply a way of life ..." (Joyce, Calhoun & Hopkins, 1999, p. 8).
141. The evaluation of longer-term results is essential. Short-term results mean little if they do not lead to intended outcomes or if the latter do not lead to the impact they are meant to produce.

This question is shaped by the definition of performance presented above and the objects of evaluation presented in the next subsection (see below).

See **Evaluation Boundaries**

Templates, p. 46

Work Planning

Evaluation is an ***iterative process*** which is depicted in four steps in the Framework:

- Step 3.4: Determine Means to Evaluate Actions and Results
- Step 5.1: Collect the Data
- Step 5.2: Analyze the Data
- Step 5.3: Report to Stakeholders

Although the focus of this evaluation is the organization, much of the literature on **program evaluation** will be relevant:

- ✓ Boulmetis & Dutwin, 2000
- ✓ Mark, Henry & Julnes, 2000
- ✓ Stufflebeam, 2003

One should expect to revisit steps because of what one does in a subsequent steps. Similarly, although lessons learned from the evaluation are dealt with in the final step, lessons are learned throughout the evaluation process and should be acted upon as soon as is appropriate, not merely at the end.

This first step (3.4) deals with the development of the evaluation work plan which, in this Framework, is part of the overall Action Plan of the CLC.

Planning the evaluation involves a certain amount of preparatory work, especially if it is being done for the first time. One obvious task is the selection of the evaluation team.[142]

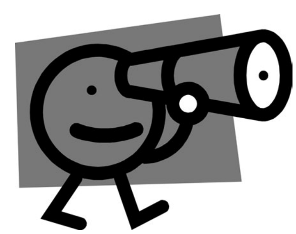
As mentioned in Step 3.2, the work plans for service delivery, capacity building and evaluation must be developed in concert. The evaluation plan is meant to ensure that the evaluation is feasible.

See **Evaluation Work Plan**

Templates, p. 47

Evaluation needs resources. As an essential step in a management-by-results framework, it must have a reasonable claim on available resources. This is why evaluation planning takes place during the same time as other action planning, so that the costs of the evaluation can be taken into account when the CLSC's budget is being prepared.

The Objects of the Evaluation



As stated in the Framework (p. **16**), deciding precisely which aspects of the CLC's performance will be evaluated defines the ***objects*** of the evaluation. Making this decision is analogous to viewing a landscape through a telescope in order to focus on selected objects of interest. This decision extends the overarching evaluation question posed previously to:

- How well is my organization performing ***in relation to*** … [objects chosen]? (see example in text box)
- As shown below, these objects are chosen in relation to the two types of activities in which the CLC will engage, as well as the two dimensions of performance evaluation adopted in the previous subsection.[143]

Work in Field (1)

- A desired result, that graduates obtain work in their chosen field within two years, becomes an **object** of the evaluation.

142. The evaluation team will probably consist of members of the operational team and others (e.g. critical friend). It is not necessary that all team members be able to perform all tasks associated with the evaluation. What is important is that collectively they have the requisite knowledge and skills.

143. **Reminder**: In keeping with the limitation of the evaluation to key areas of performance, the objects chosen must be kept to a manageable number.

THE OBJECTS OF THE EVALUATION

	Results-Based (Effectiveness of **Outcomes** and **Outputs**)	Operational (**Conduct** and **Efficiency**)
Service Delivery		
Capacity Building		

For ideas to help choose objects and indicators, see:

HM Inspectorate of Education [HMIe] of the Scottish Executive Education Department:

✓ HMIe, 2005, 2006a, 2006b, 2006c, 2006d

The evaluation question now becomes:

- How well is my organization performing in relation to the following **objects**:
  - outcomes (effectiveness)
  - outputs (effectiveness)
  - conduct
  - efficiency

  of each activity?

Objects to Be Evaluated: When an outcome or an output is to be evaluated, identifying the object is simply a matter of stating the outcome or output.

When conduct or efficiency is to be evaluated, identifying the object requires formulating a statement, for example:

- engagement of community members in a weekend seminar (conduct)
- administrative staff relations (conduct)
- investment in computerized self-study program for adults (efficiency)

Outcomes and Outputs (Effectiveness)

When the objects to be evaluated are anticipated results (outcomes or outputs), this part of the exercise is completely straightforward, as one is simply asking: To what extent has this result been achieved?

Choosing objects to evaluate the operational performance of an activity (conduct or efficiency) is less straightforward, as discussed briefly below.

Conduct and Efficiency of Activities

Conduct: Operational performance covers a very broad spectrum as it may include everything an organization does—or does not do—to achieve intended results or provide any desired conditions (including capacity).

Generally, this aspect of performance evaluation raises questions such as the following:

- Are participants present and engaged in programmatic activities?
- Are these activities being conducted as expected?
- How can relationships among participants and service providers be characterized?
- Are appropriate administrative measures in place to support programs and services?

Efficiency refers to operational performance in relation to the extent to which an organization makes optimal use of its resources to achieve intended results or provide any desired conditions. Efficiency means *wise* spending not *miserly* spending.[144] This aspect of performance evaluation raises questions such as the following:[145]

144. "Because of the difficulty in capturing all the outcomes of a given program, lower program costs can mean a lack of investment in education, not efficient use of funds. The challenge for schools is ... to look critically at how resources are used to produce programs, conditions and outcomes" (Smith, 2000, p. 69).

145. Adapted from Posavac & Carey, 1992, p. 11.

- Are funds being spent for their intended purpose?
- Can expenditures be attributed to various programs, outcomes and conditions?
- Are outcomes being produced at a reasonable cost?
- Can the costs of different programs, outcomes and conditions be compared?

The objects chosen should provide insights into ***why*** we achieve certain results and why others are only partially achieved or not achieved at all. Understanding operational performance is essential to the improvement purpose of the evaluation.

See **Evaluation Grid (Objects)**

Templates, p. 49

The Trustworthiness of the Objects Selected

In many cases, selecting the objects to be evaluated does not raise any issues of trustworthiness, as the objects are considered as a "given," with only the methodology and reporting being subject to scrutiny for trustworthiness. However, in this Framework, the objects are taken to represent "key areas of performance." If they do not, any evaluation report that claims to represent the performance of the CLC will be deficient and possibly fraudulent, if the selection was deliberatively misrepresentative.

Audit Step #2

The selection should provide, therefore, a reasonable representation of the performance of the CLC, with any omissions declared and explained. (For example, as stated previously, to keep an evaluation manageable, some objects might be omitted this year but be scheduled for evaluation next year.)

See **Auditing the Evaluation, Step 2**

Templates, p. 42

Performance Standards

By determining "performance standards,"[146] we are responding to a crucial aspect of the evaluation question arrived at in the previous subsection:

- ***How well*** is my organization performing in relation to the conduct, efficiency and effectiveness of ... [objects chosen]?

Just as we have "criterion referenced" standards of student achievement, organizational performance standards specify the criteria that will be used to decide whether the standard is met.

In other words, standards help us to define successful performance. Using an analogy from athletics, the desired result is completing the high jump; the standard is how high we set the bar.

Standards may be "unitary" or "multi-level":

- Unitary standards are of the "pass-fail" variety–either the standard is met, or not.
- Multilevel standards comprise "gradations," signalled by expressions such as "excellent," "superior," "acceptable," and so forth. They are analogous to student grades of "A," "B," "C," etc.

For example: The Minister might set an absolute standard that all secondary schools achieve a pass rate of 80%. Alternatively, a relative standard could be set where the pass rate was differentiated, depending on the student composition of each school.

Standards may be set by an outside body (e.g. government policy) or self-determined (i.e. by the organization itself). Regardless as to how they are set, standards may be either absolute or relative.

- Absolute standards apply uniformly to all individuals or organizations concerned.
- Relative standards are applied differentially in recognition of *relevant* contextual factors.

146. **Performance standards**: specify the level(s) or degree(s) of desired performance, often using various *evaluation criteria* that enable us to observe and measure performance.

Work in Field (2)

- A survey reveals two **benchmarks**: the average for all centres in Québec is 80% (employment in chosen field within two years) and the rate of the top ten centres is 90-95%.
- Aspiring to be a top centre, the **standard** of 90% is set.
- However, given its past performance (50-60%), successive **targets** of 70%, 80% and 90% are set for a three-year period.

As embodied in our definition (note **146**), standards are made concrete by **criteria**. Without criteria, standards have little or no meaning. They enable us to answer the following questions:

- How do we know whether the standard has been met?
- How do we differentiate "excellent," "adequate" and "unsatisfactory" (or pass from fail)?

Again, the analogy with student evaluation is useful. A teacher who grades essays A, B, C, etc. without criteria will likely face a chorus of cries that the grading is biased and unfair. The consistent application of appropriate criteria is an essential ingredient of a credible evaluation.

Targets and Benchmarks

The expression "**performance targets**" is often used interchangeably with standards but there is an important difference.[147] Standards specify the level of performance that *should be* attained, while targets specify the level of performance that *we expect*. Targets are often set incrementally, with the target of the final increment coinciding with the bar itself.

- Thus, for example, the standard might specify a pass rate for students in the final year of high school of 90%, with targets set at 70% in year one, 80% in year 2 and 90% in year 3.

Benchmark is a popular "buzz word," again often incorrectly used as a synonym for standards and targets.[148] Originally, the term referred to a landmark used in topographical surveying; the term is now used "rather loosely to describe all manner of comparisons."[149] Benchmarking typically employs one of two techniques for making comparisons: normative reference points and examples of "best practice."

- Normative reference points use statistical norms for comparison and are most often used in relation to results (e.g. "league tables" that rank schools based on predetermined measures of performance such as high school leaving results).
- "Best practice" reference points are set by exemplary policies and practices in high performing organizations for comparison and are more commonly used in relation to operational performance.

See **Evaluation Grid (Standards)**

Templates, p. 49

The example in the textbox serves to show the differences among standards, targets and benchmarks, using the following as an **object** of the evaluation: graduates obtain work in their chosen field within two years.

147. **Performance targets**: specify the expected level of performance, often in a given space of time, with respect to some object of evaluation.
148. **Benchmark**: a comparative reference point for setting performance standards and targets.
149. Kelly, 2001, p. 1.

The Trustworthiness of Performance Standards

Assuming that the objects being evaluated provide a fair representation of the performance of the organization, the performance standards chosen constitute the next element in establishing the trustworthiness of the evaluation. If a standard is to be considered legitimate, it must be underpinned by criteria that stakeholders will accept as a reasonable basis for determining how well the CLC is performing. Using appropriate benchmarks will often be critical in this regard.[150]

Audit Step #3

See **Auditing the Evaluation, Step 3**

Templates, p. 43

Measuring Performance

Evaluation, like any form of systematic inquiry, employs various methodologies in order to answer the questions set for the evaluation. Because organizational performance is neither simple nor straightforward, it is often measured by the use of ***indicators***, the approach adopted in this Framework.[151]

Performance Indicators

Indicators may be *quantitative* or *qualitative* in form.[152] They are widely used to provide quickly understood information on the economy, the environment, social policy and so forth.[153]

The textbox continues with our previous example where an **object** of the evaluation is that graduates obtain work in their chosen field within two years:

Work in Field (3)

- The chosen **indicator** could be the percentage of graduates who report finding such employment.

A variety of metaphors have been used to capture the elusive meaning of an "indicator." The term has been described as a "gauge" or "pointer":

- "Like the odometer, speedometer, temperature and fuel gauges in a car, educational indicators provide essential information about the system's current functioning, suggest whether good progress is being made, and warn of potential problems."[154]

However, Riley provides useful advice about these warning lights.[155]

150. **For example:** Consider a centre that set out to make its facilities "barrier-free" for students with disabilities. If the criteria found in the *National Building Code* (National Research Council, 2005) were used to set the standard, it would have built-in legitimacy. If, by contrast, the only criterion adopted was a ramp to the main entrance, the standard would have little or no legitimacy. (Given the cost of bringing older buildings "up to code," this is also an example of a situation where successive targets could legitimately be set.)

151. **Indicator:** a *pointer* that provides a *proxy measure* or a symbolic representation of organizational performance.

152. Thus, OECD, 2002, p. 25, defines an indicator as a: "Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor."

153. A publication of the Canadian Council on Social Development refers to social indicators as: "statistics, statistical series, and all other forms of evidence that enable us to assess where we stand and are going with respect to our values and goals" (cited in Reid, 2000, p. 22). "Other forms of evidence" (qualitative indicators) are especially useful if the object being evaluated cannot be counted or when a non-quantitative *representation* of the object is desired.

154. Oakes, 1986, p. 1.

155. "Equating performance indicators to 'dials' ... [implies that they] provide clear and unambiguous measures of output. Measures of performance are, instead, more contestable notions, influenced by a complex range of factors and are perhaps more aptly described as 'tin openers' which open up a 'can of worms' and lead to further examination and enquiry" (Riley, 1994, p. 87).

Another helpful image of an indicator states that:

- "Indicators are a way of seeing the 'big picture' by looking at a small piece of it. They tell us which direction we are going: up or down, forward or backward, getting better or worse or staying the same."[156]

This image helps to identify the power and the perils of indicators. The obvious example from the education sector is the ranking of schools on a league table as an indicator of overall school performance.

Because of the contestability of some indicators, it is always preferable to use more than one type of indicator for each object being evaluated.

Using these criteria as a guide, the CLC must find *multiple* indicators (see text box) that provide a *reasonable* measure of performance, that will be accepted by its stakeholders, and that can be produced in a given organizational context.

Trustworthiness: Problems with the validity and dependability of indicators may reside in the indicator itself or in the means used to produce them, as presented below. Therefore, the trustworthiness of the indicators will be considered after this presentation (see below).

See **Evaluation Grid (Indicators)**

Templates, p. 49

Sources and Methods

Producing selected indicators is a technical exercise requiring the determination of appropriate sources and methods of data collection and analysis for each indicator selected.

Meeting this challenge eventually involves the following:

- selecting appropriate sources of data
- adopting, adapting or creating instruments to collect data
- ensuring that ethical guidelines for data collection are respected
- developing methodologies to analyze the data that will be collected

At this planning stage, it is not necessary to create the instruments or develop the methodologies to be used. All of these challenges are dealt with in detail in Step 5.1. The aim at this stage is simply to ensure that:

- appropriate sources of data are available
- appropriate instruments exist or can be developed
- you have or can acquire the capacity to collect and analyze the data envisaged

Work in Field (4)

- The **sources and methods** of data collection could be a questionnaire mailed to graduates two years after graduation, the quantitative data to be analyzed using a spreadsheet, with qualitative data analyzed separately.

The textbox continues with our previous example where an **object** of the evaluation is that graduates obtain work in their chosen field within two years, and the chosen **indicator** is the percentage of graduates who report finding such employment:

The Trustworthiness of Indicators

Validity: At this stage, we are primarily concerned with the degree to which the indicator measures what it is supposed to measure. Given that indicators are really indirect or *proxy* measures of performance, determining validity is often problematic. As a preamble to this exercise, it may be necessary to identify any assumptions being made about a potential indicator, especially if the assumption is being made tacitly.

See **Evaluation Grid (Sources and Methods)**

Templates, p. 49

156. Jacksonville Community Council, cited in Reid, 2000, p. 1.

For example: Many people assume that IQ tests provide a valid measure of intelligence. However, many of these tests are culturally biased and most are only trying to measure cognitive intelligence, to the exclusion of a range of "multiple intelligences" that students possess.[157]

Similarly, as discussed previously, a school's ranking in a league table is often accepted to be a valid indicator of its performance. This acceptance is based on a number of assumptions:

- that the basis of the ranking (school aggregate of standardized test scores) provides a fair basis of comparison across schools
- that average student performance on these tests can be equated with school performance
- that the tests provide a valid measure of student achievement

When these assumptions are unpacked, it quickly becomes obvious that the indicator lacks validity.

As alluded to previously, it is possible for an indicator to have potential validity but be invalid because of the means used to produce it.

For example, stakeholder perception of the "warmth" of school culture can be a valid measure of this construct. However, if the instrument used to gather these opinions is seriously flawed then the resultant indicator will be invalid.

Dependability is also an important consideration in developing indicators:

- Will a given indicator produce the same measure of the same performance each time it is used?

If not, one cannot tell if changes in the measure truly reflect changes in performance or merely the undependability of the indicator. Once again, dependability is a function of the indicator and the means used to produce it.

For example, the percentage of incidents of violence in the playground can be a valid measure of one aspect of school safety using teacher observations whose validity is provided by a structured observation protocol; however, the resultant indicator may be undependable if only some observers can be relied upon.

Audit Step #4

See **Auditing the Evaluation, Step 4**

Templates, p. 43

157. See Gardner, 2006.

Framework, p. 17

3.5 Complete Action Plan

The **purpose** of this step, which brings the planning phase to a close, is to complete the action plan.

STEP 3.5 AT-A-GLANCE

3.1 Determine Desired Results → 3.2 Determine Programs and Services to Be Offered → 3.3 Determine Gaps in Capacity to Deliver Services → 3.4 Determine Means to Evaluate Actions and Results → 3.5 Complete Action Plan

Step 3.5
Operational Challenges

Establish an appropriate process for concluding the Action Plan

↓

Determine how the CLC Action Plan fits with each partner's annual plan

↓

Determine the content of the Action Plan .

↓

Primary Output

Action Plan

The **major challenges** in this step are focussed on both the process and the content of the Action Plan.

Setting a Process

Just as a process had to be developed for the Partnership Agreement (p. **35**), one is needed for the approval of the Action Plan. This process, or at least the broad outline of it, should have been provided for in the Partnership Agreement. If so, then this process must be followed, subject to any allowable changes that seem necessary. If not, then a suitable process will have to be devised.

Like any such process, this involves determining the endpoint of this process—the approval of the Plan—and back mapping the steps required for this approval to be secured.

Tasks	Draft	→	Review	→	Approve
Responsibilities					
Deadline					

The amount of time required for each task will depend both on the complexity of the process and the content of the Action Plan.

- If the scope of the Action Plan is large and complex, the review and approval will likely take longer to complete.
- Similarly, if the draft has to be referred back to the partners' internal governing bodies for reactions and approval, then more time will be required.
- The review may give rise to further revisions, especially if changes requested by one partner lead to other changes requested by another.

Review Partner Planning

As mentioned previously with regard to the CLC's mission statement (Step 2.3), in the case of a minor CLC initiative, the school/centre should expect to revise its success planning process to accommodate this new initiative. By contrast, in the case of a major CLC initiative, the school/centre should expect to merge both into one integrated process. Each partner faces similar challenges, depending on the extent to which its operation is affected by the CLC.

See **Harmonizing Strategic Planning**

Templates, p. 51

Determining Content

The content of the Action Plan has been determined by the preceding Steps 3.1 to 3.4. However, it is advisable to consolidate the content from these steps, making any revisions that are deemed advisable, before it is presented for review and approval.[158]

See **The Action Plan**

Templates, p. 53

158. **Sign Partnership Agreement**, if the actual signing of the partnership agreement (Step 2.4) was deferred until the action plan was completed.

4 IMPLEMENT

The purpose of this step is to implement the action plan developed in the previous step. By the end of this step, you should expect to have achieved the results summarized below.

STEP 4 AT-A-GLANCE

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

Step	Enabling Result	→	Primary Output	→	Initial Outcome
4	Services to students and community, and capacity-building activities provided	→	'First level' results from service delivery and capacity building	→	Enhanced student success and community development, according to CLC purpose

↓

4.1 Allocate Resources and Begin Service Delivery

↓

4.2 Allocate Resources and Conduct Capacity Building

↓

4.3 Monitor Service Delivery and Capacity Building

The **major challenge** in this step is actually undertaking the journey that you planned in Step 3.

4.1 Allocate Resources and Begin Service Delivery

Framework, p. 18

As summarized below, the **purpose** of this step is to provide services and programs for students and community members.

STEP 4.1 AT-A-GLANCE

4.1 Allocate Resources and Begin Service Delivery → 4.2 Allocate Resources and Conduct Capacity Building → 4.3 Monitor Service Delivery and Capacity Building

Step 4.1 Operational Challenges

Carry out the plan for the delivery of services

↓

Primary Output

Initial results from services provided to students and community

The **major challenge** in this step is implementing the service delivery plan and monitoring service delivery.

For the operational team leader of a recently created CLC, this step may present a paradox: it is both old and new, simple and difficult.

- It is old and simple in the sense that it comprises the same actions and the same skills that other programs and services require.
- It is new and difficult in that the programs and other services being offered operate within a new frame of reference: a joint venture of two or more partners shaped by a results-oriented mission.

The *old* aspect of this step provides a sense of security: "been here, can do this," just as the *new* aspect may create insecurity: "not sure what is expected here." This is the point at which the abstract notion of *risk management* becomes real and the qualities of leadership are tested.

This is also the point at which the strengths and weaknesses of the initiation and planning steps come to light.

- If a solid, viable partnership structure has been created, with appropriate roles and responsibilities assigned, supported by adequate resources,
- if realistic results have been operationally defined, with programs and other services designed to achieve these results, and proper attention has been paid to capacity building (see Step 4.2 below),

then this step *should* unfold easily and smoothly.

If, on the other hand,

- there are serious flaws in the partnership structure, if the assignment of roles and responsibilities has been muddled, or lacking in appropriate support,
- if results are not realistic or have not been operationally defined, with a weak match between programs and other services and these results, and if little attention has been paid to capacity building,

then this step *will* not unfold easily and smoothly.

In all likelihood, the reality will be between these two extremes:

- A reasonable partnership structure will have been created, but with some tensions.

- Appropriate roles and responsibilities will have been assigned, but with some details yet to be worked out (e.g. dovetailing roles with those exercised by other site managers).
- Resources will have been provided, but others will always be needed. The results will probably be realistic, although they are less likely to have been operationally defined.
- The design of programs and other services will have assumed that they will achieve intended results, but it is quite possible that all relevant factors will not have been considered.
- Finally, it is likely some attention will have been paid to capacity building but key elements may have been sacrificed in allocating scarce resources.

The reaction of an inexperienced site administrator to the foregoing is likely to be: Help! While the reaction of an experienced site administrator is likely to be: So? That's the way it is. That's what it means to manage a program, to keep it on track toward desired results. To do this requires a timely response to problems as they emerge, and that is a function of monitoring (p. **69**).

Framework, p. 18

4.2 Allocate Resources and Conduct Capacity Building

As summarized below, the **purpose** of this step is to develop the capacity of the CLC to provide services and programs for students and community members.

STEP 4.2 AT-A-GLANCE

4.1 Allocate Resources and Begin Service Delivery	→	4.2 Allocate Resources and Conduct Capacity Building	→	4.3 Monitor Service Delivery and Capacity Building

Step 4.2
Operational Challenges

Carry out the plan for building capacity

↓

Primary Output

Initial results from capacity building of CLC

The **major challenge** in this step is implementing the capacity-building plan and monitor it.

Capacity building is an ongoing process that cannot be accomplished by "one-off" activities. It is not an auxiliary activity, but an essential feature of program management. A CLC cannot aspire to become a learning community without it.

Many of the same comments made above regarding service delivery apply here. In theory, at this point you *simply* have to implement what the action plan has laid out in terms of capacity development. In practice, as with service delivery, this may not be so simple after all. There is even some reason to suggest that the plan may contain several shortcomings:

- first, because the operational team is likely to have less experience with capacity development than with service delivery
- second, there will be greater pressure on the team to focus on services for students, community members, etc., leaving capacity development for tomorrow, tomorrow and …

There is also a danger when pressures are high and time and resources are limited to go with "time-honoured" practices. This expression refers to those practices that are honoured because they are the same ones the organization has relied on time and time again, whether or not they work. (If they did, they would probably be referred to as "success-honoured" practices.)

In terms of capacity development, the "time-honoured" tendency will likely mean a focus on professional development.

- This is not an inappropriate focus; however, it may mean that the holistic approach to capacity development stressed earlier will go by the wayside.
- It may also mean a continuation of the so-called professional development that educators have come to dread: "one-shot workshops on programs and processes that have been developed outside the educators' context or of 'feel-good' talks by educational gurus who expound their ideas on the lecture circuit."[159]

Assuming that holistic capacity development is a new venture, both for members of the operational team and others, considerable leadership is required to make the shift from "time-honoured" to "success-honoured" practices. This approach involves the following:

- **Engagement:** the ability to recognize an issue or situation that has no clear definition, let alone an obvious solution; and the facility to engage others in understanding the issue or situation and discovering a solution together.
- **Systems thinking:** the ability to see the hidden dynamics of complex situations–to think outside the box.
- **Leading learning:** the quality of leadership that models and encourages in others a "learner-centred" as opposed to an "authority-centred" approach to problem solving.
- **Self-awareness:** knowing the impact the leader is having on people and the system and how that impact has changed over time.[160]

Framework, p. 18

4.3 Monitor Service Delivery and Capacity Building

As summarized below, the **purpose** of this step is to monitor the provision of services and programs for students and community members, as well as all capacity-building activities undertaken.

STEP 4.3 AT-A-GLANCE

4.1 Allocate Resources and Begin Service Delivery	→	4.2 Allocate Resources and Conduct Capacity Building	→	4.3 Monitor Service Delivery and Capacity Building

Step 4.3
Operational Challenges

Implement the plan for monitoring service delivery and capacity building

↓

Primary Output

Problems identified and appropriate remedial actions taken

The **major challenge** in this step is implementing the plan to monitor service delivery and capacity building.

Monitoring service delivery is something every administrator does, even if unconsciously and informally. Monitoring capacity building is essentially the same kind of exercise, even if capacity building is a new type of activity. However, if the monitoring envisaged by the Action Plan contemplates a new focus or is more demanding, then this may present a challenge to the operational team leader.

159. Mitchell & Sackney, 2000, p. 38.

160. Roberge, 2000.

Monitoring needs to be simple to be effective. After all, the easiest way to manage the unmanageable is to ignore it! Assuming that the monitoring system envisaged in the plan has followed the advice provided earlier, then the team leader may proceed to implement the plan as summarized below.

- First, ensure that the monitoring system is *operational*. This means that forms and procedures have been devised and preferably pilot-tested to assess their feasibility. Are the forms user-friendly? Do they provide all data required, while excluding any that are not required? (The fastest way to discourage participation in monitoring is to collect data that serve no purpose.)
- Second, communicate the new system to all staff members concerned, emphasizing the importance of monitoring to achieve the results for which the CLC was created. This is an opportunity to receive feedback from stakeholders on the new system, especially if the system was not pilot-tested.
- Third, after making any further revisions required, the team leader must then ensure that data about resources, activities and results are actually collected in accordance with the frequency foreseen in the plan.
- Fourth, the team leader must look at these data on a *regular* basis. Frequency will vary, but the process falls apart if this scrutiny does not occur as often as required to detect potential problems. Prevention and early intervention are the by-words of monitoring.
- Finally, the team leader must do something with the data. The most common failing of monitoring systems, aside from being too cumbersome, is that no one does anything with the information they provide.

In some cases, the team leader will be able to act on his or her own to deal with problems encountered during monitoring. In others, he or she may need to refer the matter back to the team or the partners. In every case, the aim remains the same: see if program services are on track and, if not, make appropriate and timely adjustments.

5 EVALUATE

The purpose of this step is to evaluate the performance of the CLC in relation to the results, actions and resources/conditions foreseen in the Action Plan. By the end of this step, you should expect to have achieved the results summarized below.

STEP 5 AT-A-GLANCE

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

Step	Enabling Result	→	Primary Output	→	Initial Outcome
5	Relevant data collected and analyzed; lessons learned and feedback loops constructed	→	Evaluation reports (Accountability to stakeholders and data for improvement)	→	Changes to purpose, and ways and means, as required; ready for next cycle

↓

5.1 Collect the Data

↓

5.2 Analyze the Data

↓

5.3 Report to Stakeholders

> Evaluation provides the "connector" between the aspirations of this Plan and the reality of implementation: "the reflective link between the dream of what should be and the reality of what is."

Your **focus** in this step is to implement the evaluation plan devised in Step 3.4 by gathering and analyzing the data, and reporting your findings to stakeholders. It is the culmination of one planning cycle and the harbinger of the next, generating reflections on past experience and lessons learned for the future (see text box).[161]

In operational terms, its path is largely predetermined by the evaluation component of the Action Plan (Step 3.4) which established, among other aspects:

- the standards of ethics to be followed
- the boundaries of the evaluation
- what would be measured and how, and
- a work plan to carry out the evaluation

Contrary to what some might expect, evaluation does not occur only at the end of the year (or other evaluation period) but during the year as well, when much of the work of Step 5.1 must be undertaken.

> Resources:
> ✓ Checkoway & Richards-Schuster, n.d.
>
> See also: **CYFERnet**
>
> Children, Youth and Families: Education and Research Network

161. Government of Saskatchewan, 1997a, p. 2.

Framework, p. 19

5.1 Collect the Data

As summarized below, the **purpose** of this step is to gather all relevant data that a CLC then transforms into knowledge about its performance.

STEP 5.1 AT-A-GLANCE

5.1 Collect the Data → 5.2 Analyze the Data → 5.3 Report to Stakeholders

Step 5.1
Operational Challenges

Find the necessary data to produce the indicators chosen

↓

Collect the data chosen after determining appropriate methods for this purpose

↓

Primary Output

Evaluation data for analysis

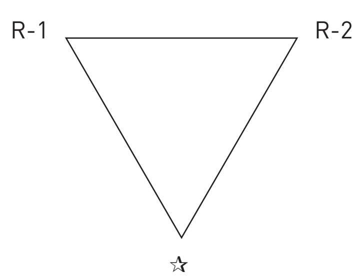
The **major challenges** in this step are finding, and then collecting, ***data***, *or bits* of information. This step begins to build the 'story' of the CLC's performance (see text box) by "assembling good data and drawing [them] into a process of looking at the whole picture."[162]

Sources of Data

People are one of the most common sources of data for an evaluation; they may be used to find out what respondents do or think, or to gather data about anything else. Data may also be found in "**records**," such as a list of student marks or minutes of a meeting; "**documents**," such as reports or photographs; and "**artifacts**," which can include a range of materials from furniture to litter in the playground.[163]

- Data may already exist in a usable form (e.g. a summary record of parental attendance at school events).
- They may exist but require some level of processing to be usable (e.g. raw data about parental attendance that must be compiled and summarized to be usable).
- They may have to be "generated" by the evaluator (e.g. responses by parents on a questionnaire about attendance at school events).

Triangulation: Where possible, you will be looking for complementary sources of data about a given object, a process known as *triangulation*. Like benchmarking, this term comes from surveying: using two reference points instead of just one to pinpoint a location (see text box).



By taking the bearings of two landmarks (R-1, R-2), you can identify your position (☆) by locating yourself at the intersection of these two lines.

162. Earl & Katz, 2006, P. 4.

163. **Record:** "any written or recorded statement prepared by or for an individual or organization for the purpose of attesting to an event or providing an accounting" (Lincoln & Guba, 1985, p. 277).
Document: any written or recorded material that is not a record or a product of the evaluation.
Artifact: any human-made product or "trace evidence" of human activity, other than a document or record.

- In evaluation, triangulation refers to the use of multiple sources of data, methods, perspectives or evaluators to establish greater certainty, and thereby, greater credibility, in the findings and the report.
- Triangulation can be used to identify discrepancies that raise questions about a particular finding or bring to light different perspectives.

Types of Data

As stated in the Framework (p. **19**), there are two major types of data:

- **quantitative data**, that are numerical in nature, that is, information bits that can be counted
- **qualitative data**, that are verbal or visual in nature, that is, information bits that cannot be counted

These terms are often assigned meanings that they were never meant to bear, reflecting a rigid and inaccurate view of these two types of data:

A FALSE DICHOTOMY

Qualitative data are *subjective* and *soft*, therefore, biased and weak	Quantitative data are *objective* and *hard*, therefore, unbiased and strong

This **common but erroneous view** of data is grounded in the "special seductiveness of numbers in modern society."[164] It reflects false assumptions about the nature of both quantitative and qualitative data and the characterization of "objective" data and unbiased and "subjective" data as biased.[165]

Although it is tempting to avoid either of these value-laden terms, they do have a place. In this Guidebook, we use:

- **subjective** to refer to data emanating from one person's consciousness or perception (individual meaning)
- **objective** to refer to data that are external or independent of individual perception (shared meaning)

Both quantitative and qualitative data can be either objective or subjective. For example:

- If respondents provide narrative comments about the warmth of the school climate, they are providing **subjective**, **qualitative** data.
- If they rate the warmth of the school climate on a numeric scale, they are providing **subjective**, **quantitative** data.

It is more useful to think about data in terms of the extent to which they enable you to answer the question you have posed in ways that others will find meaningful and credible.

164. "Numbers convey a sense of precision and accuracy even if the measurements which yielded the numbers are relatively unreliable, invalid, and meaningless... Numbers do not protect against bias; they sometimes merely disguise it" (Patton, 2002, p. 573).

165. Describing data as either hard or soft is a purely emotive expression without any descriptive value and will not be used in this Guidebook.

Subjective data will tend to provide different kinds of information than objective data but neither type of data is inherently better or worse than the other. One may be preferable to the other, depending on your information needs. Take, for example, the question:

Does this school provide a safe environment for students and staff?

- Objective data might come from a checklist of recognized safety features in a public building, a chronology of past incidents of accidents, violence, etc.
- Subjective data might come from the perceptions of stakeholders.

The former would provide useful information but alone would be insufficient if the latter revealed that people were afraid to be in the school after hours.

Identifying the Data

Including different stakeholders in your data set ensures ***diversity of voice***. People are much more likely to pay attention to an evaluation if they have been included as participants.

In Step 3.4, tentative sources of data were identified for each indicator (⌦ See **Evaluation Grid** in your **Workbook**). It would be useful at this point to revisit the Evaluation Grid and decide for each indicator whether these sources still seem appropriate. It may also be necessary to revisit the Work Plan.

Since most data will likely come from people, you find yourself asking questions such as:

- Do I need to send a questionnaire to all parents? Interview all teachers in the school?
- If not, how many, and how do I decide whom to include?

Answering these questions requires a brief discussion of when and how to collect data from a **sample** of the **target population**.[166]

Target Population and Sampling

To decide if a sample is sufficient, we need to answer three questions, as presented below.

When should a sample be used?

Sampling is useful to collect data from a very large target population, for example, the student population of a large school, or if you have some special purpose in mind. However, if not done properly, the effort will have been wasted and the validity of the data compromised.

How should the sample be constructed?

There are two major types of techniques that can be used: *representative* and *purposive* sampling.

Representative sampling: In this technique, the sample is deemed to represent the characteristics of the target population. Ideally, participant selection should be done on a purely **random** basis.[167] However, for site-evaluation purposes, it is acceptable to use a **systematic sample**, where every n^{th} person on a list is chosen.[168]

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166. **Target Population:** all cases or members of the group in question.
Sample: a subset of the target population that may or may not be representative of the latter.
167. **Random sample:** each person in the target population has an equal chance of being selected and each combination of participants is equally likely.
168. A systematic sample is less accurate because the selection is not purely random and adjacent names on the list cannot both be included.

Sometimes, it is necessary to create a **stratified sample**, where the target population is deliberately subdivided into desired subgroups so that each will be represented in the sample (e.g. parents from different neighbourhoods). Despite the obvious advantage of this approach, it is more complex and will increase the size of the sample.

Purposive sampling: In this technique, the sample is not representative of the target population but is selected for some specific purpose on the basis of specified criteria.[169] Since purposive sampling does not rely on statistical rules for selection, great care must be taken to ensure that the sample serves its intended purpose.[170]

How big should it be?

Sample Size: The sample size is a function of two factors: the statistical accuracy being sought,[171] and the size of the total population–the smaller the total population, the bigger the sample required (as a proportion of the target population). If you are working with a small target population, the size of the sample would be so large that it would not be any simpler or less expensive to administer. Moreover, the small percentage not included in the sample may resent being left out.

See **Creating a Sample**
Templates, p. 55

It is also important to remember that it is not only what you ask for (i.e. the sample you envisage), but also what you get (i.e. the sample that responds) that counts: "No matter how well the sample is designed and selected, if people drop out for whatever reason, the remaining respondents will not be representative of the total population."[172]

Evaluation Ethics

Selecting sources of data raises the first practical ethical issues of the evaluation, as they will undoubtedly include ***people as respondents*** and both human and non-human sources of ***data about people***. The treatment of these issues anticipates the means of data collection which will be dealt with below. Therefore, any decisions about ethics made now must be reviewed after these methods have been finalized.

A "direct participant" is someone who takes part in the evaluation by completing a questionnaire, being part of an interview, focus group or observed activity; an "indirect participant" is anyone about whom a third party provides information.

Transparency: Any kind of school evaluation creates anxieties, especially for those stakeholders most affected, notably students and staff.[173]

Transparency is a key feature of the Québec framework for the management and delivery of public services. In this context, transparency begins with the provision of the Statement of Ethics and a written description of the evaluation (See **Statements of Ethics** in your **Workbook**). This description should be short and written in "accessible" language suitable for the intended audience.

169. Three common types of purposive sampling techniques are:
typical case selection, where participants are selected because they represent what is typical, normal or average in the target population
extreme case selection, where participants are selected because they are atypical ("outliers"), departing significantly from the average, and
reputational sampling, where participants are selected on the basis of informed opinion about who can provide the type of information being sought
170. See Patton, 2002, pp. 230-246.
171. The template, *Creating a Sample*, provides guidance in determining sample size.
172. Anderson, 1990, p. 202.
173. That is why the first three ethical guidelines in the suggested *Statement of Ethics* (Templates, p. **40**) deal with the provision of information to stakeholders, especially potential participants.

Transparency is all about "openness," that is, behaving in an open and frank manner with everyone affected by the evaluation. Nothing gets an evaluation off to a worse start than stakeholders feeling that the evaluators are hiding the true purpose or nature of the evaluation. Thus, although any information document should be as brief as possible, the evaluators should be prepared to answer any additional requests for information, subject to the other ethical principles of privacy, confidentiality and anonymity discussed below.

"**Informed consent**" means the permission of an individual for one or both of the following:

- to participate in the evaluation
- to allow a third party to release information about himself or herself

In the case of a minor,[174] consent must also be obtained from the person's parent or guardian.

Consent alone is not deemed to be sufficient unless the individual:

- has been adequately *informed* about the evaluation—its purpose, any risks involved, how any information obtained will be used, and so forth
- agrees to participate *voluntarily*—without any coercion, subtle or otherwise
- has the right to *withdraw* his or her consent at any time[175]

Consent raises three important issues mentioned above: privacy, confidentiality and anonymity—terms that are often confused.

Privacy:[176] Under Québec law: "Every person has a right to respect for his private life."[177] Respecting this right means not crossing the line that separates public from private domains without consent. Thus, obtaining information from or about an individual that is not available to the public without consent is violation of privacy.[178]

It's a small world:
Protecting anonymity can be difficult when the number of participants is small and easier to identify than would be the case with a large-scale evaluation of several organizations.

Confidentiality:[179] Québec access to information legislation[180] stipulates that any personal information that allows a person to be identified is 'nominative information' and, as a general rule, cannot be disclosed, that is, it remains confidential, unless permitted by law or allowed by the individual. Confidentiality shifts the focus from *access* to information to *use of* that information.[181]

Anonymity:[182] Finally, consent agreements must deal with most participants' desire to remain anonymous.[183] Thus, an individual may consent to the evaluator having access to

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174. A minor is anyone who has not attained the "age of majority" which, in Québec, is 18 years (*Québec Civil Code*, art. 153).
175. See Guideline #7 in the suggested *Statement of Ethics* (⌦ **Templates**, p. **40**).
176. **Privacy:** participant's control of other's access to himself or herself and associated information, protection against giving or receiving information.
177. *Charter of Human Rights and Freedoms*, s. 5.
178. See Guideline #4 in the suggested *Statement of Ethics* (⌦ **Templates**, p. **40**).
179. **Confidentiality:** control regarding what may or may not be done with information supplied by or about a participant.
180. *Act Respecting Access to Documents Held by Public Bodies and the Protection of Personal Information.*
181. See Guideline #5 in the suggested *Statement of Ethics* (⌦ **Templates**, p. **40**).
182. **Anonymity:** control regarding whether or not a participant will be identified in any way in published reports or by other means.
183. See Guideline #6 in the suggested *Statement of Ethics* (⌦ **Templates**, p. **40**).

personal information, provided that it is treated confidentially and that he or she is not identified in any report.

As the evaluation is not an exercise performed by a single individual, a critical issue for many participants may be knowing—and controlling—precisely who will have access to "raw" data which permits a person to be identified, both now and in the future.[184] Such concerns may be dealt with by restricting access to team members, using instruments with no nominative labels, or if necessary, identification codes that are subject to special security safeguards.

There will likely be legitimate differences of opinion as to what constitutes "routine information," and these differences must be dealt with in a transparent and respectful manner.

The most difficult task will likely be "drawing the line" between information for which consent is required, and "routine" information, for which consent is not deemed to be required. In the case of research done by an outside body (e.g. university), consent is always required. However, because the evaluation contemplated here falls within the mandate of a public body, the provision of some information does not require consent.[185]

Consent is requested by means of consent forms and accompanying letters explaining the request.

See **Sample Consent Forms**

Templates, p. 57

Trustworthiness of the Data

The trustworthiness of performance indicators is dependent on the trustworthiness of the data. It is therefore necessary to ask:

- Do the data selected for a given indicator provide a valid source of information? Will this source be viewed as credible by stakeholders?
  - The validity of data is affected by sampling; an unrepresentative sample cannot be used to draw valid generalizations about the target population. Problems of validity may arise from the sample envisaged (design or size) or the actual sample collected.
  - Validity can also be affected by any "bias" in the data, be it respondent or documentary bias. The problem may lie in the evaluator, in the choice of data or in the data themselves.
- Can a given source be regarded as dependable, that is, will it produce valid data every time (see text box)?

For example: Teacher observations may be a **valid** source of data regarding playground safety but those immediately consigned to notes will be more **dependable** than those recalled at a later time.

Audit Step #5

See **Auditing the Evaluation, Step 5**

Templates, p. 43

Collecting the Data

Before deciding on the methods and instruments used to collect data (presented below), a preliminary issue at this point is determining who will undertake the various tasks associated with this step:

- develop the consent forms
- construct the instruments
- design the methodology
- administer questionnaires
- conduct interviews

WYCIWYCA: What you collect is what you can analyze. This variation of the computer acronym, "WYSIWYG" (what you see [on screen] is what you get [in print]), underscores the obvious. You can only analyze data that have been collected. Omissions at this stage can be fatal as it will often be too late to go back and collect missing data.

184. See Guidelines #11 and 12 in the suggested *Statement of Ethics* (**Templates**, p. **41**).

185. See Guideline #9 in the suggested *Statement of Ethics* (**Templates**, p. **41**).

The following sources provide examples of various instruments for collecting data:

- ✓ Leithwood, Aitken & Jantzi, 2006
- ✓ Lusthaus et al., 1999
- ✓ MacBeath, 2002
- ✓ HMIe, 2005, 2006a

If experience leads you to conclude that such and such would *normally be expected* in this setting, then noting these non-occurrences becomes an important task for the observer.

Bringing Families and Schools Closer Together: See Supporting Montréal Schools site for **Elementary** templates and guides* (Azdouz et al., 2005), and the NANS site for **Secondary** templates and guides* (Azdouz et al., 2004).

* Templates include an inventory of school practices and questionnaires for parents.

See also the series, ***Evolve Through Evaluation:***

- ✓ Gaudreau, 2005a, 2005b, 2005c

Methods and Instruments

There are a wide variety of methods for collecting data in a site-based evaluation, which have been grouped in the Framework under three broad headings:

- **interactions with people:** this method can be subdivided into three main types:
  - **survey:** usually a "pen and paper" exercise, either face-to-face with a group of respondents or individually by telephone, mail, e-mail or Web server
  - **interview:** a personal interaction between the evaluator(s) and "key informants," usually in person but sometimes by telephone or video hook-up
  - **focus group:** in this method, which is not merely a group interview, the evaluator moderates an informal discussion that is intended to allow "one person's ideas to bounce off another's creating a chain reaction of informative dialogue"[186]
- **observation:** a multi-variant method whereby an observer as participant or spectator in a single or multiple visits uses formal or informal approaches with a narrow or broad focus to observe a setting or activity
- **archival:** gathering of records, documents and artifacts

Observation is less often used in site-based evaluation because of the time and effort required. However, it is a method still worth considering, especially if the observer can master the art of "seeing" what he or she does not see (see text box).

All of the above methods have their advantages and disadvantages.[187] The success at using any one of them depends first on the quality of the instruments used to collect the data, and then on the skills of the persons who actually collect the data. Constructing instruments and training people to use them is probably an area where the team will need the help of a critical friend or some other outside resources.

Each of these major methods uses various ***instruments*** for collecting data. The most common instruments are:

- **questionnaire:** a set of questions used to ascertain opinions or obtain other information from respondents
- **checklist:** a set of characteristics about various objects of inquiry used by respondents or the evaluator to determine the presence or absence of these characteristics
- **rating scale:** a set of statements about various objects of inquiry used by respondents or the evaluator to assess each item, using the scale provided
- **protocol:** guidelines for both the content and the conduct of an interview, a focus group or a structured observation
- **tests:** a set of tasks or problems used to assess individual differences with respect to various skills or knowledge

Some instruments are closely associated with particular methods, a good example being questionnaire and survey. Other instruments are commonly used in different methods. A rating scale, for example, can be completed as part of a survey or used in observation.[188]

186. Anderson, 1998, p. 200.
187. It is therefore useful to become acquainted with their respective strengths and weakness (⌦ **Supp. Mat.**, See p. 46, SWOT analysis).
188. Each method and instrument also has implications for data analysis (dealt with in Step 5.2). It is a good idea to be familiar with these implications before deciding how data will be collected. For example, collecting a mass of quantitative data will be problematic if there is no capacity to

Gathering Archival Data

The first challenge in gathering archival data is knowing what to look for. In some cases, certain types of information must be available by law; in others, prior experience will indicate what types of information one would normally expect to find. In still other cases, this method begins with informal interviews to ascertain not only what information is available but the form(s) in which that information exists.

In some cases, it may be possible to obtain data in more than one form: one that will take considerable time to transform so that it is usable (e.g. scores from individual tests that must be tabulated to determine aggregate scores for the school); one that is ready for analysis. Any work that must be done to make the data usable is dealt with in Step 5.2 (Analyze the Data). At this stage, you simply want to ensure that you obtain the data in the most useful form available.

Archival data can be an important source of ***triangulation*** in evaluation. Thus, student records will confirm or call into question a statement by a respondent that students from all communities served by the school are equally successful. Financial records will enable the evaluator to test the assertion that a particular program is efficient.[189]

See **Sample Instruments**

Templates, p. 59

Designing Your Own Instruments

Even the "best examples" of instruments you might find in books, on the Web or elsewhere must be adapted to meet your needs. It will take time and effort to develop these instruments but the investment is worthwhile, as you can expect to use various versions of them for years to come.

Preparation: When a frontline organization prepares instruments for data collection, there is always pressure "to get on with it" and move quickly to really *do* something–as if designing the instruments was not real action. However, skimping on preparation time is a false economy. Getting the results you want from data collection necessitates back mapping through all the mini steps that are required to get there. Preparation includes "big picture" issues (e.g. Will this method produce the data we need?) to "small picture" issues (e.g. How can we schedule the completion of questionnaires in one school day?)

Form and content: It is not possible in this Guidebook to cover all aspects relating to the form and content of the range of instruments that a CLC might wish to use. However, since many instruments will involve the use of questions for participants, the following provides some guidance in this regard, beginning with **what** type of information can be sought:[190]

conduct the statistical analysis of these data. Conversely, open-ended questions may be easier to construct but are much more time-consuming to process and analyze.

189. Different approaches to evaluation can be seen in the Harvard Family Research Project report, **Beyond the Head Count**, that deals with family involvement in various out-of-school programs.

190. Patton, 1987, pp. 115-119.

SEEKING DIFFERENT KINDS OF INFORMATION

Experience/ Behaviour	• Questions about what a respondent does or has done.
Opinion/Values	• Questions about what a respondent thinks about a given subject.
Emotions	• Questions about how a respondent feels about a given subject.
Knowledge	• Questions about what a respondent knows about a given subject.
Sensory	• Questions about what a respondent has seen, heard, touched tasted or smelled.
Background	• Questions about the respondent's background characteristics.

There are many different ways to pose questions that determine **how** you will obtain any of the above types of information.

ALTERNATIVE WAYS TO POSE QUESTIONS

Types of Questions	Example
"**Open-ended**" questions pose the issue in neutral terms leaving the respondent complete latitude in crafting his or her response.	"How would you describe your involvement in this project?"
"**Leading**" questions are not neutral but suggest the answer that is expected; as a general rule, they should be avoided.	"Tell how this program was successful?"
"**Funnel**" questions start with a wide perspective of a topic and then progressively narrow the focus to "zero in" on subtopics or selected aspects of the general question.	"Tell me about this program." ...[then] "How would you characterize the practicality of the fieldwork component?"
"**Closed**" questions predetermine the possible answers to a question, one of which must be selected by the respondent.	"Generally, would you characterize your experience in this program as: (a) very positive (b) positive (c) negative (d) very negative"

Whatever form questions take, and they will vary for questionnaires, interviews and focus groups, as they will for the purpose of the inquiry, all questions should be **clear**, **specific** and "**singular**" (i.e. do not ask for one answer from two questions: "Do you think this presentation was informative and entertaining?").

Using the instruments: As suggested previously (see note **189**), using some instruments requires more skills than others. Thus, for example, it takes more skill to moderate a focus group than to administer a questionnaire. Accordingly, the following provides some guidance for conducting a **focus group**:[191]

- Keep the discussion **on track** when it wanders from the topic.
- **Draw out** participants, especially shy persons, to ensure that everyone has a say.
- **Rein in** anyone who is monopolizing the discussion or belittling the opinions of others.
- **Verify** what you think you are hearing by summarizing responses.
- Seek various **perspectives**, especially if "group think" seems to predominate.
- Use **probes** to delve into significant issues and stimulate discussion.

191. Adapted from Anderson, 1998, p. 206.

Although "technical skills" tend to predominate in the design of instruments, using them effectively relies on "people skills."

- If participants "tune out" when they complete a questionnaire or "clam up" in a focus group, the best instrument in the world will do little good.

At the end of the day, participants must be motivated to provide forthright and complete answers to your questions. Otherwise, you will be left with no answers or, even worse, answers that look good but in fact are meaningless.

Evaluation Ethics

As mentioned earlier, the methods foreseen to collect data will almost certainly raise various **ethical issues** that were dealt with in the guidelines provided in the parameters governing the evaluation plan (p. **54**) and operationalized in the previous substep (p. **75**). There is a need, therefore, to review the methods chosen in light of the foregoing guidelines to see if any revisions are required in either the sources and methods of data collection or the guidelines themselves. (For example, new methods of data collection require new consent forms.)

In different situations, the instrument, the method or the application may be the primary element in ensuring trustworthy data collection. **Pilot testing** can be invaluable in detecting and correcting problems in all three <u>before</u> they are actually implemented. Ensuring **transparency** throughout the evaluation enhances trustworthiness <u>after</u> they have been implemented.

Trustworthiness of Data Collection

No matter how trustworthy the sources of data may be, the collection of data must be both valid and dependable to maintain the integrity of the evaluation process. The key points to scrutinize can be summarized as follows with respect to instruments, methods and application:

- **Instruments:** Does each instrument measure what it claims to measure about performance? Is the validity of any instrument compromised by any inherent bias (e.g. important items omitted, "leading questions")? Can each instrument be considered inherently dependable?
- **Methods:** Assuming valid and dependable instruments: Do the methods planned maintain the valid measure of performance (e.g. are free from any bias)? Can each method be considered inherently dependable?
- **Application:** Assuming that both instruments and methods are valid and dependable: What aspects of the actual conduct of data collection are likely to compromise either the validity or the dependability of this process? Have appropriate measures been planned to minimize such risks (e.g. training of evaluators), to detect and monitor any problems that occur?

Audit Step #6

See **Auditing the Evaluation, Step 6**

Templates, p. 44

Framework, p. 19

5.2 Analyze the Data

As summarized below, the **purpose** of this step is to make sense of all the data collected in the previous step.

STEP 5.2 AT-A-GLANCE

5.1 Collect the Data → 5.2 Analyze the Data → 5.3 Report to Stakeholders

Step 5.2 Operational Challenges

Process the data collected after determining appropriate methods for this purpose

↓

Interpret the processed data after determining appropriate methods for this purpose

↓

Primary Output

Data analysis tables for report learned

Your **focus** in this step is to process and interpret the data thereby preparing the basis for the report that follows in Step 5.3. The analysis of the data is the pivotal point in the evaluation that determines whether all the effort expended collecting data in Step 5.1 was worthwhile and whether it will be possible in Step 5.3 to construct a report that is useful to stakeholders.[192]

Processing Raw Data

In this substep, one is confronted, hopefully, by the dilemma of success: what to do with all the raw data that have been collected so that they can be interpreted (the next substep). In addition to deciding on the ways and means to analyze the data, a preliminary issue is determining who will undertake various tasks, more specifically:

- set up the data files on the computer
- enter the quantitative data on the computer
- transcribe qualitative data and (if applicable) field notes on the computer
- compute quantitative data and construct appropriate data tables for analysis
- summarize and code qualitative data and construct appropriate data tables for analysis

Processing Quantitative Data

As stated previously, quantitative data are data you can count, such as test scores or categorical responses to a questionnaire (i.e. where respondents check one of a fixed set of possible responses: a, b, c, etc.). In the discussion which follows, we will refer to questionnaire data but the same principles apply to other forms of quantitative data processing.

Although it is possible to do simple data processing by hand, for all practical purposes, data processing is done on a micro-computer, using spreadsheets, database or statistical software.

The processing of quantitative data consists of three major tasks: entering, computing and tabulating the data.

Entering the data: Data are stored in a master file which consists of a set of *fields* (corresponding to columns in a spreadsheet) that define the file structure and a series of *records* (corresponding to rows in a spreadsheet) that contain the information. Normally, each field corresponds to each item on the questionnaire and every record contains one respondent's answers to each of these items.

192. To paraphrase the advice from the Kellogg Foundation (1998, p. 83): a complex analysis that does not lead to improvement is less desirable than a simple analysis that does.

Computing the data: This aspect of the process refers to the methods used to produce *statistics* about the data.[193] Before looking at some methods that are likely to be useful, two cautionary words seem appropriate:

- Producing useful statistics in site-based evaluation does not require highly specialized knowledge or skills.
- Given the relatively small datasets that normally characterize site-based evaluation, there are severe limitations on what can be expected from statistical analysis.

For *Statistics Without Tears*, see
✓ Rowntree, 2000

Simple descriptive statistics can be used to delineate the characteristics of a "distribution" of data about a particular ***variable*** (e.g. student scores on a math test, gender of respondents).[194]

The most common descriptive statistics are the minimum, maximum and "mean" (average) values of a distribution,[195] as well as the "variance"[196] in the range of these values.[197]

See **Quantitative Data Analysis Templates**, p. 65

Tabulating the results: Once various descriptive statistics have been computed, the results need to be "tabulated," that is, displayed in appropriate tables for analysis. Because of the small data sets involved in on-site evaluation, we are interested in differences in the data that *matter*, rather than those that are *statistically significant*.[198]

Processing Qualitative Data

Qualitative data present a paradox: they appear to be easier to deal with but in fact are more difficult. Processing qualitative data consists of three major tasks, which are analogous to those described above for quantitative data processing:

- transcribing the data in a data file so that they can be processed
- sorting, coding and often reducing the data to manageable chunks
- displaying the data in a form that allows the desired analysis to proceed

Once again, if there is a significant amount of data to be processed, a computer is required, using wordprocessing, database or more specialized qualitative data programs.

193. For our purposes, we can think of a *statistic* as a numerical quantity that summarizes some characteristic of a sample or the entire target population.

194. **Variable:** an observable characteristic to which quantitative or qualitative values can be assigned.

195. **Frequency distribution:** the number of observations of different values in a set of data, usually arranged from lowest (*minimum* value) to the highest (*maximum* value).
Mean: the most common measure of the *average* value in a distribution of data that is equal to the sum of all values observed, divided by the number of observations.

196. **Range:** a simple (and sometimes misleading) way to express the variance in a distribution of data, that is equal to the difference between its minimum and maximum values.
Standard deviation: a statistical measure of the variance in a distribution of data that expresses the extent to which the observations vary from the mean of the distribution.

197. Two alternative measures of the average value in a distribution of data are:
Median: value that divides the distribution in half, that is, the value which has an equal number of observations on either side of it.
Mode: value that is equal to the value with the greatest frequency of observations.

198. Statistical significance is usually defined as a statistical finding which is unlikely to have occurred by chance alone.

Transcribing the data: In this step, analogous to the entering of quantitative data, the aim is to transcribe the raw data onto the computer so they can be processed.

Summarizing and coding the data: It is common practice in qualitative analysis to summarize the data in more "manageable chunks," leaving out any content that is irrelevant to the inquiry.[199]

These data summaries do not replace the transcribed data which must be conserved to preserve this link in the audit trail from the evaluation report back to the raw data (see Trustworthiness of Data Analysis, p. **86**).

Coding refers to the use of *labels* or *tags* to assign units of meaning to chunks of data, according to some coding scheme which is predetermined or which emerges from the analysis. Simple forms of coding can be used to organize the data (e.g. by subject matter, positive versus negative comments), while more complex forms can be used to seek out thematic patterns in the data.

Displaying the data: The foregoing process continues until the data have been *displayed* in some format that permits more interpretative analysis to be undertaken. The most common type of display is some form of *matrix*. (See the template, *Qualitative Data Analysis*, below).

See **Qualitative Data Analysis**

Templates, p. 67

Constructing data displays is not an easy task but an extremely important one as these displays constitute the working form in which the qualitative data from the evaluation are viewed in order to conduct the interpretative analysis and answer the questions posed by the evaluation team. As one sourcebook states: "You know what you display."[200]

Interpreting the Data

The final—and obviously critical—stage of the analysis is the interpretation of the data. This involves making judgments about what the data have to say about the performance of the CLC with respect to the objects chosen for evaluation. It is at this point that the evaluation team grapples with the core element of the questions posed earlier: ***How well*** is the CLC doing with respect to ...? This is also the point at which any shortcomings in the design or conduct of the evaluation come home to roost.

This exercise should be relatively straightforward, provided that:

- the object to be evaluated was clearly stated
- an appropriate standard was set
- a suitable indicator, together with appropriate methods for data collection and analysis, were selected
- the necessary data were actually collected and processed for analysis

199. "Unlike the computation of statistical data, this exercise does not follow set conventions or rules; there are general guidelines which apply but it requires more skill and experience to ensure that data are not misinterpreted or that valuable bits are not lost inadvertently or deliberately." (Smith, 2000, p. 131).

200. "Valid analysis requires, and is driven by, displays that are focused enough to permit a viewing of a full data set in the same location, and are arranged systematically to answer the research questions at hand... The chances of drawing and verifying valid conclusions are much greater than for extended text, because the display is arranged coherently to permit careful comparisons, detection of differences, noting of patterns and themes, seeing trends, and so on" (Miles & Huberman, 1994, p. 92).

However, *in practice*, interpreting the data is likely to be less straightforward. If performance standards are found to be too vague, one is left interpreting scores on an instrument as "high" or "low" without being sure what these levels of performance really mean.

For example: Take the case where one of the indicators chosen was student satisfaction and the instrument a questionnaire that asked (among other items) for a rating of a resource room on a five-point scale, plus comments.

Using the **example** in the text box: The quantitative data have been processed, and the frequency of responses in each category (1 to 5) as well as the mean scores have been tabulated. Assuming that the scale was positively graded (1=lowest; 5=highest), then the higher the mean, the better the performance of the CLC as rated by respondents. However, in the absence of an unambiguous standard, what level of performance should be deemed acceptable?

This is where the value of benchmarks becomes evident. As presented previously (p. **60**), they provide internal and external points of comparison that enable the findings to be interpreted with answers to questions such as:

- How well are we doing compared to our performance last year (internal)?
- How well are we doing in comparison to other centres (external)?

However, in the case of a newly established centre, comparison with past performance will only become possible in the future. External comparisons may be equally problematic unless other similar centres use parallel measures of performance *and* make their findings available.

For example: A value-added measure of school performance in relation to student achievement attempts to determine the extent to which a given level of achievement is due to the school, as opposed to that which is due to students' innate abilities and other factors such as family background.

Ideally, the findings should enable the evaluator to discern the "***value added***" by the centre in achieving a particular condition or result. In other words, if a particular outcome is achieved, to what extent is that achievement due to the CLC as opposed to other factors (see text box).

In contrast to making sense of the numbers that quantitative data produce, interpreting qualitative data presents different challenges. As a general rule, qualitative analysis involves some form of *content analysis*, that is, making sense of the words which comprise the data set.[201]

There is no hard and fast demarcation between qualitative data processing and interpretation as there is with quantitative data analysis. Summarizing and coding the data is not a mechanical exercise but one that requires judgment. Throughout this analytic process, the evaluator uses both inductive and deductive reasoning to answer the questions posed for the evaluation.[202]

Interpreting qualitative data may also involve quantitative aspects. It is one thing to discover noteworthy, but isolated, praise or criticism in comments provided by respondents. It is quite another when almost all respondents make similar comments about a given matter.

In some cases, a particular indicator of performance will be based either on quantitative or qualitative data. In others, both forms of data will have been obtained. This permits some level of triangulation, as the evaluator can determine if the quantitative and

201. This exercise is generally understood as searching for themes and patterns in the data: "the analytical process is meant to organize and elucidate telling the story of the data" (Patton, 2002, p. 457).

202. **Inductive** reasoning interprets specific points of data to derive general concepts, while **deductive** reasoning uses predetermined general concepts to interpret specific points of data.

qualitative findings are congruent. If they are, the findings are mutually supportive; if they are not, one needs to explore the differences and attempt to explain them.

Finally, the interpretation of data must take into account any other relevant factors, beginning with the quantity and quality of the data themselves, by asking questions such as the following:

- Is the response rate on the questionnaire high enough to provide a satisfactory level of confidence in the data?
- When the tape recorder malfunctioned, did the field notes adequately capture the data from the interview?
- Did the members of the focus group seem open and frank in expressing their opinions?

Sometimes concerns with some aspect of the data or the data collection process may simply warrant a cautionary note; for example, that these comments came from a small number of respondents. In extreme cases, they might cause you to disregard the data completely. All such concerns, and more importantly, how they are dealt with, affect the trustworthiness of the data analysis (see below).

Evaluation Ethics

If any ethical problems in data collection are only discovered at this stage, it will likely be impossible to correct them.

At this stage, you are concerned with how the analysis is conducted and not with what is reported. The latter raises different ethical issues which will be dealt with in Step 5.3.

Processing and interpreting data raises the following ethical issues:[203]

- First, were all the data gathered in the previous step respectful of consent agreements with participants? If not, some data may have to be excluded from the analysis, even if this results in too few data to complete certain analyses.
- If confronted by too much data, there may be a temptation to reduce the mound to a more meaningful level. This may simply mean setting aside boxes of documents. However, if people went to the trouble to provide you with data you requested, you owe them a "return" on their investment of time.
- In processing the data, the principal ethical concern is honesty and accuracy but this concern is not limited to blatant falsification of numbers—an extreme case. There are more subtle concerns, beginning with ensuring that data have been correctly recorded. During the actual processing itself, problems arise from including or excluding certain data (whether deliberately or carelessly) or from the use of inappropriate procedures.
- In the final stage—interpretation—ethical concerns focus on a fair and balanced interpretation of the evidence.

Trustworthiness of Data Analysis

Data analysis constitutes the next major link in establishing the trustworthiness of the evaluation. Once again, there are significant differences in the way this issue is dealt with in relation to quantitative and qualitative data analysis.

203. See Guideline #10 in the suggested *Statement of Ethics* (⌦ **Templates**, p. **41**).

Quantitative data analysis: Maintaining validity in quantitative data analysis is aided by standardized methods of processing and computing the data. However, like every step, this one is affected by the previous one. For example, the way a questionnaire or other instrument is scaled will affect the computation of the mean of the distribution.[204]

There is even less standardization regarding the interpretation of data, although there certainly are conventions for interpreting quantitative data. The most likely problems to occur here will arise from a lack of precisely defined standards. In such a case, readers may question the validity of an analysis that ascribes epithets of successful performance without any valid basis for making these judgments.

Qualitative data analysis: As stated previously, there are conventions for conducting qualitative data analysis but there is far less standardization of procedures than for quantitative methodologies. Furthermore, given the widespread faith in the truth of numbers, the validity and dependability of qualitative data analysis are likely to be subject to greater scrutiny.

An audit trail is an invaluable means of ensuring that proper procedures have been followed and of keeping track of any anomalies.

As also noted previously, judgments are made all along the continuum of qualitative data analysis from how the data should be the summarized, through how it should be coded and displayed, to how it should be interpreted. Each step along the way raises questions of validity and dependability.

A matter of confidence: The validity of—and the reader's confidence in—the analysis will be enhanced by demonstrating that the judgments are sound and can be relied upon. Such a demonstration can be provided by a variety of means, including:

- explaining the methodology used to arrived at the findings and showing that is was rigorous
- providing examples of the various steps (data summary, coding and display) showing they reflect the totality of the data, accurately depict actual patterns in the data and synthesize the foregoing in a meaningful form
- offering evidence as to how the data analysis was audited by the team, or even better, by an external auditor with a reputation for expertise and integrity
- a variety of techniques such as:
    - the presentation of alternative explanations and conclusions, showing that the ones you arrived at were not the only ones considered
    - use of triangulation of data, methods, evaluators (different team members) and perspectives
    - the contextualization of the analysis, showing how it is grounded in the reality being evaluated

To avoid cluttering the report with detail, these explanations and examples can be placed in an appendix, for anyone with concerns over the methodology.

Audit Step #7

See **Auditing the Evaluation, Step 7**

Templates, p. 44

204. **Example**: Compare the proper use of a 4-point likert scale that treats non-committal responses as "no opinion" and does not count them, to a 5-point scale that treats them as "neither disagree nor agree" by inserting them as a midpoint on the scale. The latter results in an artificial increase in the mean score by including them.

Framework, p. 20

5.3 Report to Stakeholders

As summarized below, the **purpose** of this final step is to prepare and present the evaluation report.

STEP 5.3 AT-A-GLANCE

5.1 Collect the Data → 5.2 Analyze the Data → 5.3 Report to Stakeholders

Step 5.3
Operational Challenges

Document the entire evaluation process

↓

Undertake appropriate means to inform various groups of stakeholders about the evaluation

↓

Prepare a comprehensive report of the evaluation, including process, findings and recommendations

↓

Ensure follow-up from the results of the evaluation, including the lessons learned

↓

Primary Output

Evaluation Report

Your **focus** in this step is to take the results of the analyses of different data and present them to various groups of stakeholders in a way that is meaningful to each of them.

The evaluation report, and more particularly, other forms of communication to stakeholders, are the most visible features of the evaluation process.

If key stakeholders do not clearly understand what the evaluation discovered and the recommendations being made, the entire process will end in *meltdown*.

The antidote to this end is **simplicity**: more light, less heat. Simplicity as a virtue means striving to enlighten rather than impress.[205]

Documenting the Evaluation

Before actually putting fingers to keyboard to draft the report, it is a good idea to pause, assemble all materials that will be needed, and review the evaluation process to date.

If you have been monitoring the evaluation all along, this review should simply constitute the final step in this process. However, assuming that not everyone will have been involved in all aspects of data collection and analysis, this may be the first opportunity for all team members to review the findings and the results of the analysis.

See **Evaluation Checklist**

Templates, p. 68

Audit File

The ***Audit File***, as defined here, is the repository that compiles all relevant nonconfidential from the evaluation. It thus constitutes the public audit trail for the evaluation report discussed below. The following provides an outline of the material to be included in the Audit File (presuming that you have been using or adapting the templates provided):[206]

- **Community Boundaries** in your **Workbook** (Step 1.2)

205. "It often involves more work and creativity to simplify than to rest content with a presentation of complex statistics as they originally emerged from the analysis" (Patton, 1997, p. 310).

206. Some of the materials suggested for inclusion in the Audit File go beyond that which would normally be found in such a compendium. They have been included, especially for a newly created CLC, to ensure that key documents that precede the evaluation plan (the normal starting point) are not forgotten or ignored.

- ⌦ **Partnership Agreement** in your **Workbook)** (Step 2.4):
  - The Partners
  - Mission Statement
  - Division of Responsibilities
  - Allocation of Resources
  - Other Provisions
- ⌦ **See Action Plan** in your **Workbook** (Step 3.5):
  - Intended Results
  - Activities
  - Monitoring
  - Evaluation
  - Work Plan
  - Resources
- ⌦ **Statements of Ethics** in your **Workbook** (Step 3.4) and blank consent forms and letters based on templates provided
- data collection instruments
- methodological notes (e.g. actual collection and analysis of data, including sources of data, instruments, procedures, constraints and limitations)
- data tables, including initial processed data, data summaries and data tables used in analysis
- evaluation reports and other communications to stakeholders about the evaluation
- the evaluation audit based on the template provided

Confidential Record

The ***Confidential Record***, constructed and stored separately, contains all confidential material and is restricted to authorized members of the evaluation team in accordance with the Statement of Ethics. The following provides an outline of the material to be included in the Confidential Record:

- all the raw data (e.g. completed questionnaires, interview tapes)
- completed consent forms
- field notes, etc.

The Evaluation Report

Even though the evaluation report may be the most visible feature of the evaluation process, this does not mean that it will be the most welcome. In addition to the scepticism of readers (see text box),[207] there may well be resistance among the partners—who may be wary of the report coming back to haunt them—or from members of the operational team who will have to write it—report writing can be an onerous task.

"People who read evaluations either say they are too long to read, or they are too short to believe."

Neither foregoing the preparation of an evaluation report nor ignoring these concerns is a viable option. The report does not have to be long and formal but there must be one.

207. Hopkins, 1989, p. 48.

All issues regarding its form and content should be dealt with in the development of your overall strategy for reporting to stakeholders.[208]

Drafting the Report

The *Evaluation Report* is the principal medium to report the findings of the evaluation. How and by whom it is written are critical issues in bringing this final stage of the evaluation to a successful conclusion.

Writing the report collectively is an approach that rarely works. A single author (if possible) will provide consistency of style, unity and coherence of the presentation. However, team discussions are essential:

- before drafting, to decide on what the report should look like, developing an outline, etc.
- after drafting, to provide feedback on both the form and content of the draft, especially the conclusions and recommendations

The **target audience** of the Evaluation Report consists of the key stakeholders of the centre who should be able to get a clear picture of the evaluation from the report without consulting the Evaluation File (although it should be available).[209]

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208. See the template, *Reporting to Stakeholders* in the section Getting the Message Across, beginning on p. **94**.

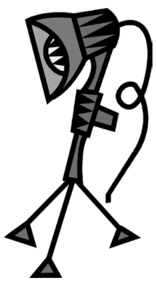
209. **Reaching a diverse audience:** Even though the Performance Profile (which follows) is intended to provide a more popular treatment of the evaluation, the audience of the evaluation report will vary from those who want considerable detail to those who want just a bit more than the Performance Profile provides. This diverse readership can be accommodated by providing material in layers, by clearly separating details from the main points in each section, and by the strategic use of appendixes for supplementary material.

The following provides a suggested outline for such a report:

SUGGESTED REPORT OUTLINE

Report Cover Name of CLC, Title, Author(s)	
Preliminary Pages • Executive Summary • Table of Contents	The Executive Summary provides a 1-2 page abstract of what follows in the Evaluation Report.
Introduction • Purpose of Report • Overview • Statement of Ethics	Briefly describe the purpose and scope of the evaluation, as well as the organization of the report.
Background • Community Context • CLC Purpose and Results • Programs and Services	Provide some general background information about the centre and its community, especially any contextual features that are important for understanding and interpreting the evaluation.
Methodology • The Evaluation Canvas • Data Collection • Data Analysis	Describe how you conducted the evaluation, providing as much information as necessary so that the reader can assess the credibility of the evaluation (additional details can be included in an appendix—see below).
Findings • Service Delivery • Capacity Building	Present the major findings resulting from your analysis of the data, subdividing this part into sections for each major object of the evaluation.
Conclusions • Operational Performance • Achievement of Results	Set forth the conclusions that can be drawn from the evaluation with respect to the operational and results-based performance of the CLC.
Next Steps • Lessons Learned • Recommendations	Summarize the lessons learned from and about the evaluation and the recommendations for future action in relation to intended results, services to clients and capacity building, monitoring and evaluation.
Appendixes • Consent Forms • Instruments • Methodological Notes • Supplementary Data Tables	Include in appendixes any data tables not included in the main body of the report as well as any other material that you feel is useful to a general readership.

In a results-based management framework, the output of the evaluation (the reports) should lead to the outcomes of improved performance and ultimately impact on student success.



The extent to which people read a report provides an indicator of its minimal usefulness. However, the extent to which something happens because they have read it, provides an indicator of its true usefulness. According to one source book from a series on evaluation,[210] the likelihood that evaluation findings will be used and not ignored are increased if:

- the information is communicated to the appropriate potential users
- the report addresses issues that the users perceive to be important
- the report is delivered in time to be useful and in a form that is clearly understood by the intended users

The challenge is to be comprehensive but as brief as possible, especially in an age where we suffer from ***information overload*** and where colourful graphic displays of material are expected as a matter of course. Accordingly, tables, graphs, photographs and other techniques are an important means to ***spotlight*** findings and communicate information in a compact and visually attractive form.

Like any technique, the use of tables and figures does not automatically make a report more effective and accessible.

- First, some people dislike—and therefore ignore—tables and graphs. To ensure that the report is accessible to all audiences, tables and figures should complement, not replace, the narrative.
- Second, they must be connected to the narrative, even for devotees of tabular and graphic displays of data. (Hence, the rule of thumb: never include a table or graph unless you talk about it in the text—if it's not worth talking about, it's not worth including.)

If used skillfully, tables and graphs provide an effective means to convey information in a concise manner. "There is nothing more off-putting in a report than a long paragraph chocked full of numbers and percentages, strung together by repetitious prose."[211]

In addition to tables and graphs, a report can be spotlighted by a wide variety of *visual aids*, including:

- photographs
- *quotable quotes*
- vignettes of real-life situations
- other graphic illustrations such as flow charts

From an **accountability** perspective, the conclusions are the most important part of the report but from an **improvement** perspective, the recommendations are the most critical, as they are the basis for future action. Apart from those who only read the Executive Summary, the conclusions and recommendations are what most people zero in on.

210. Adapted from Morris, Fitz-Gibbon & Freeman, 1987, pp. 9-10.

211. Smith, 2000, p. 152.

Recommendations must flow from the conclusions but they must also be framed to anticipate the future and deal with the real world in which they are meant to be implemented.

- It is always a good idea to limit the number of recommendations: better to have few that are acted upon than many that are ignored.
- It is usually helpful to group recommendations in some way—by theme, importance, time span—and to include some sense of their magnitude. Readers will want to know, for example, whether they are likely to be very costly, highly disruptive, take a long time to implement, etc.

Developing, outlining, drafting and finalizing the report is a mini-process of its own and needs to be planned. The presentation of a draft version to the partners, even if not formally required, is an important step in this process, especially if the report contains any unexpected findings or controversial recommendations (see text box).[212]

> "Evaluation isn't a birthday party, so people aren't looking for surprises. If you're coming up with data that are different than the conventional wisdom, a good evaluation effort … would get those ideas floated during the evaluation process so that when the final report comes out, they aren't a surprise."

Evaluation Ethics

There are some ethical issues that are specific to the reporting stage. First and foremost the evaluation report should:

- be complete and fair in its examination and presentation of the strengths and weaknesses of the centre, so that strengths can be built upon and problem areas addressed
- include the full set of findings along with relevant sources and methods of data collection and analysis, together with any limitations of same
- respect all informed consent agreements regarding confidentiality and anonymity
- be accessible to all informants and other stakeholders

Another ethical issue that may arise in report writing is the handling of *sensitive material*.

- First, "The evaluator needs to be sensitive to possible misinterpretations and overgeneralizations that policymakers and the public are prone to make."[213]
- Second, occasionally an evaluation brings matters to light concerning staff, students or others that must be handled outside the framework of the evaluation.

This is the final check on the ethics of the evaluation; once the report is released, it will likely be too late to right any ethical wrongs that have been missed. If you have any serious questions about ethical issues that you feel unable to adequately address, then the assistance of a critical friend with relevant expertise would be very advisable.

Trustworthiness

Like the above review of ethics, the review of trustworthiness of the report is the final check in a process that began with the selection of the objects to be evaluated.

Creating images: An evaluation report provides a set of images of the performance of the CLC. A valid report produces *true* images, that is, ones that are grounded in the data. A report that presents conclusions that flow, not from the actual data collected and analyzed, but from team members' beliefs about the performance of the organization, has no credibility.

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212. Patton, 1997, p. 334.

213. Newman & Brown, 1996, p. 170.

Bias is an obvious threat to validity at this stage. The person writing the report has the power to distort what may have been a perfectly valid exercise to this point. Bias can occur through *commission*—what is said in the report—and *omission*—what is not said.

Any report must be selective; however, the selection of material to be included must fairly present both negative and positive findings of the evaluation. Moreover, *how* something is said can also reflect bias, or at the very least, the appearance of bias. It is not only important that the report *be* unbiased, it must also *appear* to be unbiased.

Adding colour: We live in an age where public discourse is replete with—some might say plagued by—euphemisms, where failure is described as "experiencing difficulties" and problems have become "challenges." The pressure to conform to such expectations may cause the report writer to "tone down" the language of the report. This is often preferable to a report that is acerbic in tone, creating an unnecessarily black image of the organization. On the other hand, too much toning down can result in a whitewash. Whatever "colour" is adopted, the report should be even-handed so that differences in style or tone do not convey a false image of the matter at hand.

Audit Step #8

See **Auditing the Evaluation, Step 8**

Templates, p. 45

Finally, it should be noted that many of the comments made previously about the trustworthiness of the evaluation process (see pp. **55**, **59**, **61**, **62**, **62**, **77**, **81**, **86**), apply to reporting as well. Thus, for example, if you wish stakeholders to have confidence in the data analysis, you must include material in the report about the analysis (not just the findings).

Reporting and the Partners

As noted in the Framework (p. **20**), the evaluation reporting must dovetail with each partner's reporting of its own performance. This can be dealt with as you develop a reporting strategy (see the template, *Reporting to Stakeholders* at the end of this section).

Getting the Message Across

The Performance Profile

The *Performance Profile* is a popular medium to report the findings of the evaluation to a wider audience comprising centre stakeholders and members of the public. This report is strong on form and short on content; however, it should present a fair and accurate, albeit brief, picture of the evaluation. Since it is not meant to be a comprehensive standalone document, the reader should be referred to the Evaluation Report for more information. As shown in the following *mock-up* for a four-page profile, it does not follow the format of the Evaluation Report

1	2	3	4
Title **Introduction** **Context** **How We Proceeded**	**What We Found**	**What We Found** (cont.)	**Where Do We Go From Here** **For Further Information**

Inexperienced writers tend to view shorter reports as easier to write than longer ones, while experienced writers know the opposite is true. The shorter the report, the more selective one must be with respect to content and the greater the challenge to present the highlights of the evaluation without distorting it.

Other Forms of Communication

No matter how good written reports are, there are more stakeholders than most of us would care to admit who will not read them. They may, however, attend an oral presentation which may be the team's only chance to inform people directly about the results of the evaluation. There are many opportunities which exist or could be created to communicate the results of the evaluation to different audiences.

However, to reach a wider audience, the **Internet** is now the option of choice. Schools and centres have their own Web sites. Highlights can be read easily on screen and documents downloaded for home use. Creating an evaluation Web page, with links to different aspects of the report, related material or other sites can be a creative way to present the report. In the same vein, compact disks and video disks can be used to communicate findings to increasingly visually oriented audiences. The only limit to these possibilities is the creativity of the team and its associates.

See **Reporting to Stakeholders Templates**, p. 69

Next Steps

One of the outcomes of the evaluation is a set of follow-up actions for future improvement. One published report suggests several uses of data to effect community change:

- setting goals and strategies for local use of data
- using data to engage community members
- balancing competing interests of data providers and users
- ensuring data are used fairly[214]

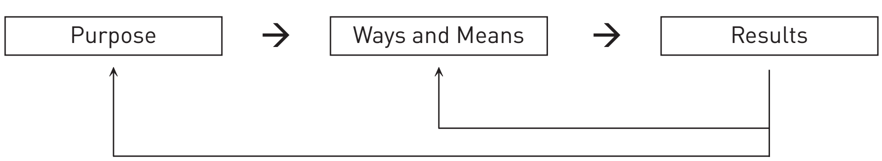
These actions are presaged by the recommendations of the Evaluation Report which, subject to the caveat stated in the text box,[215] flow from the findings and the lessons learned.

- Improvement requires not simply knowing *if* results were achieved, but *why*.

"The core dilemma that confronts organizations [is]: we learn best from experience but we never directly experience the consequences of many of our most important decisions."

However, because an annual performance evaluation asks only a limited number of questions, some kind of follow-up may be required. In many cases, the follow-up can be accomplished informally and quickly, for example, by convening a focus group of students enrolled in these programs. In other cases, a more systematic inquiry is called for.

Feedback loops for next planning cycle: When an organization only questions *how* it is doing, it is engaged in "single-loop" learning, but when it asks *why*, it is engaged in "double-loop" learning. Thus, as illustrated below, the first loop provides feedback on the ways and means used to achieve a desire result, while the second loop provides feedback on the purpose or rationale of the intended results.



214. Annie E. Casey Foundation, 1998, pp. 25-26.

215. Senge, 1990, p. 23.

The first feedback loop considers all decisions made and other actions taken to achieve the results set for the CLC, including:

- the assignment of responsibilities and the allocation of resources (Step 2.4)
- the plan for service delivery and capacity development (Steps 3.2 and 3.3)
- the actual implementation of the plan (Step 4)

The second feedback loop focuses on the underlying reasons for these actions, namely:

- the values and mission of the CLC (Step 2.2)
- the short- and longer-term results which were meant to be achieved (Step 3.1)

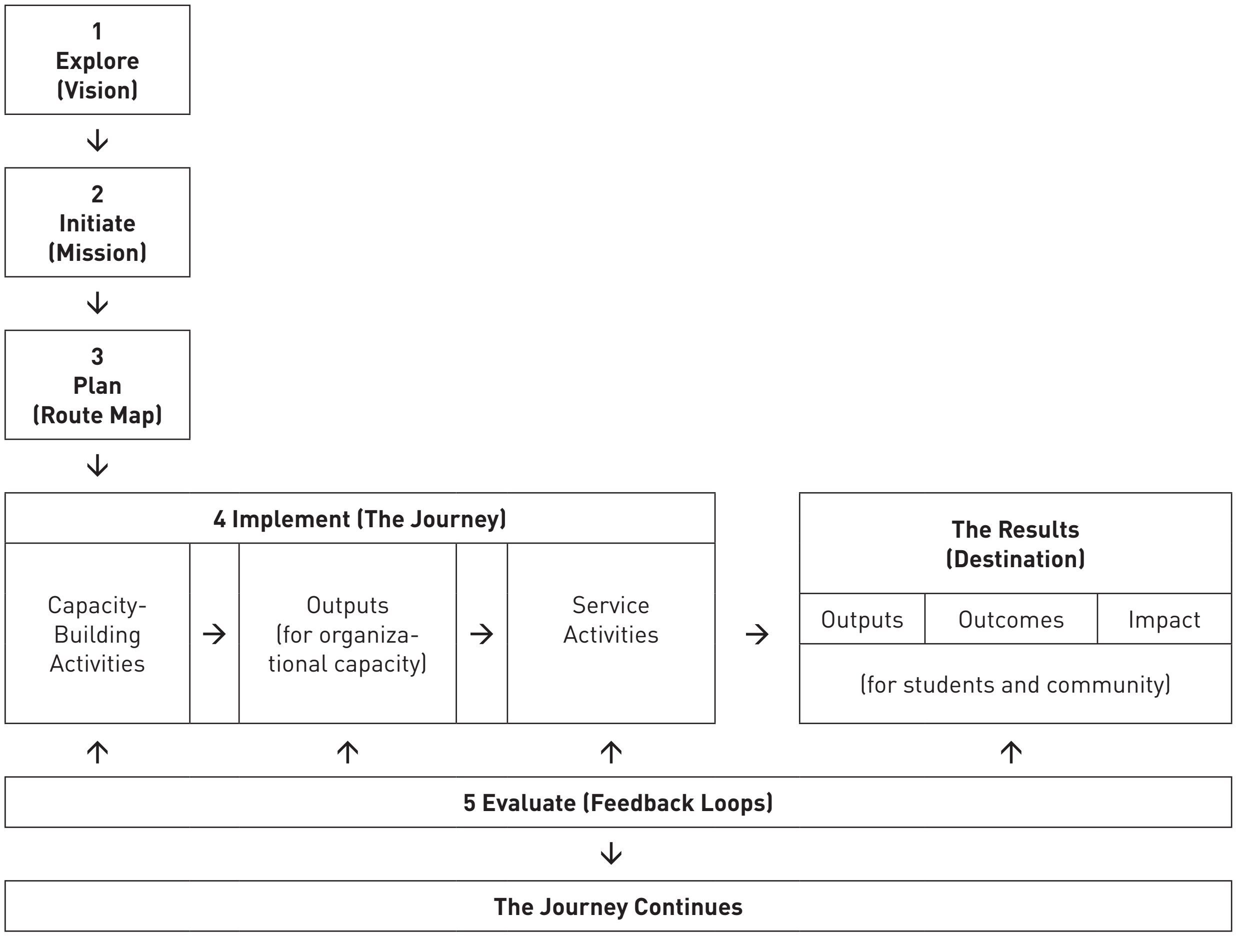
The combination of these two loops is a prelude for the next planning cycle which might confirm the CLC's values, mission and intended results and focus solely on the ways and means to move forward. Alternatively, they might suggest some revisions in its values, mission or intended results.

Thus, the feedback sets the stage for new action and evaluation plans and, possibly, a modified partnership agreement, perhaps with new partners. This feedback is also essential for re-examining your theory of change.

Your Theory of Change: Retrospect and Prospect

This Guidebook began with the Framework's grounded theory of sustainable change (p. **IV**) and its capsule definition of a CLC (p. 2). However, as stated at the outset, the Framework theory of change does not prescribe a fixed set of conditions or services. Rather, you were invited to use the suggestions offered in the Guidebook to build your own theory of change to meet the needs of your community.

- Thus, in **Step 1** you explored the possibilities of a CLC that enabled you to create your own **vision** of a CLC in your community and a decision to proceed.
- In **Step 2**, you transformed the vision into a **mission** statement and Partnership Agreement, outlining your values and purpose, the results areas to be pursued and the principles that would guide your actions.
- In **Step 3**, you transformed this statement of purpose and intent into an Action Plan that provided the **route map** of your journey of change toward your destination (intended results) and the activities required to build capacity and deliver services to achieve them.
- In **Step 4**, you implemented the plan by building capacity and delivering services; in other words, you undertook the **journey of change**.
- At this point, you can see that this journey has already led to some results (**destination**), but others will only be realized in the future, reminding you that change is a long-term process.
- In **Step 5**, you began the evaluation of the journey—*began* because you have yet to evaluate the contribution of the journey to longer-term results. This evaluation also provided **feedback loops** that enable you to reflect on your destination, the planning and conduct of the journey and to **continue your journey** in ways that will benefit students and community.


1
Explore
(Vision)
2
Initiate
(Mission)
3
Plan
(Route Map)
4 Implement (The Journey)
Capacity-Building Activities
Outputs (for organizational capacity)
Service Activities
The Results (Destination)
Outputs
Outcomes
Impact
(for students and community)
5 Evaluate (Feedback Loops)
The Journey Continues

Includes all terms found in the Framework Glossary plus those introduced in the Guidebook.

GLOSSARY OF TERMS

- **Anonymity:** agreement with participants in an evaluation about whether or not they will be identified in any way in published reports or by other means.
- **Artifact:** any human-made product or "trace evidence" of human activity, other than a document or record.
- **Audit trail:** a documentary record of the evaluation process, including its data, procedures and findings.
- **Back mapping:** planning strategy that begins with intended results and then deduces the actions, conditions, etc. that are necessary in order to achieve these results.
- **Benchmark:** a comparative reference point for setting *performance standards* and *targets*.
- **CLC**, or community learning centre: an equal partnership of schools/centres, public or private agencies and community groups, working in collaboration to develop, implement and evaluate activities to answer school and community needs that will enhance student success and the vitality of the English-speaking community of Québec.
- **Confidentiality:** agreement with participants in an evaluation about what will be done (and may not be done) with information supplied by or about them.
- **Deductive reasoning:** the use of predetermined general concepts to interpret specific points of data (see ***inductive reasoning***).
- **Dependability** (reliability): the instruments and methods used in the evaluation will produce consistent results in given conditions.
- **Document:** any written or recorded material that is not a record or a product of the evaluation.
- **Effectiveness:** the extent to which an organization achieves intended results.
- **Efficiency:** the extent to which an organization makes optimal use of the resources at its disposal.
- **Evaluation:** a systematic inquiry about the performance of an organization (e.g. CLC) for the dual purpose of accountability and improvement.
- **Evaluation process:** a series of sequential and linked actions and products that flow from the scope and purpose of the evaluation to the objects of evaluation; to evaluation standards; to indicators; to sources of data; to instruments, methods and conduct of data collection; to instruments, methods and conduct of data analysis; to findings; to conclusions; to recommendations.
- **Evaluation standards:** generally accepted principles for the conduct of an evaluation with respect to four major issues:
  - **utility:** evaluation will serve the information needs of intended users
  - **feasibility:** evaluation will be realistic, prudent, diplomatic, and frugal
  - **propriety:** evaluation will be conducted legally and ethically
  - **accuracy:** evaluation will provide technically adequate information to answer questions posed
- **Feedback loops:** the systematic use of information to review organizational performance, consisting of:
  - **single feedback loops:** regarding <u>only</u> the ways and means the organization employed to achieve results (how), or
  - **double feedback loops:** regarding <u>both</u> the ways and means the organization employed to achieve results <u>and</u> the underlying purpose of those results (how and why)

• **Frequency distribution:** the number of observations of different values in a set of data, usually arranged from lowest (*minimum* value) to the highest (*maximum* value).
• **Grounded theory:** theory developed on the basis of observation of real-world events, organizations, relationships, etc.
• **Human capital:** the competencies, capacities and other attributes possessed by individuals.
• **Indicator:** a *pointer* that provides a *proxy measure* or a symbolic representation of organizational performance.
• **Inductive reasoning:** the interpretation of specific points of data to derive general concepts (see ***deductive reasoning***).
• **Mean:** the most common measure of the *average* value in a distribution of data that is equal to the sum of all values observed, divided by the number of observations.
• **Median:** an alternative measure of the *average* value in a distribution of data that is equal to the value which divides the distribution in half, that is which has an equal number of observations on either side of it.
• **Mission:** fundamental statement of why an organization exists (purpose), including its core values and defining characteristics (see ***vision***).
• **Mode:** an alternative measure of the *average* value in a distribution of data that is equal to the value with the greatest frequency of observations.
• **Monitoring:** an ongoing process to ensure that planned activities or processes (including resources) are "on track" and that progress is being made toward intended results.
• **Need:** gap between actual and desired state with respect to beneficiaries (level 1), services (level 2) or resources (level 3).
• **Objective data:** bits of information that are external or independent of individual perception (shared meaning) (see ***subjective data***).
• **Organization:** an entity composed of individuals, groups or other organizations, that act together toward some shared goals within an identifiable structure defined by formal and informal rules.
• **Organizational capacity:** the resources, systems and other capabilities of an organization that enable it to attain and sustain high levels of performance in accordance with the expectations of its stakeholders.
• **Organizational capacity development:** a continuing process by which an organization increases its capabilities to perform.
• **Organizational performance:** the extent to which an organization or a system *operates* and *achieves results* in accordance with the expectations of stakeholders, hence: • **results-based performance:** the effectiveness of achieving outputs and outcomes • **operational performance:** the conduct and efficiency of the organization
• **Performance standards:** specification of the level(s) or degree(s) of desired performance, often using various *evaluation criteria* that enable us to observe and measure performance.
• **Performance targets:** specification of the expected level of performance, often in a given space of time, with respect to some object of evaluation.
• **Privacy:** control of other's access to oneself and associated information, protection against giving or receiving information.
• **Purposive sample:** a sample is not representative of the target population but is selected for some specific purpose on the basis of specified criteria.

• **Qualitative data:** bits of information that are verbal or visual in nature and cannot, therefore, be counted.
• **Quantitative data:** bits of information that numerical in nature and can, therefore, be counted.
• **Random sample:** each person in the target population has an equal chance of being selected and each combination of participants is equally likely.
• **Range:** a simple (and sometimes misleading) way to express the variance in a distribution of data, that is equal to the difference between its minimum and maximum values.
• **Raw data:** information as collected from and about participants in an evaluation.
• **Record:** "any written or recorded statement prepared by or for an individual or organization for the purpose of attesting to an event or providing an accounting."
• **Representative sample:** sample that is representative of the target population (see ***random sample*** and ***systematic sample***).
• **Result:** a describable or measurable change that occurs because of some action supported by various resources: • **outputs:** short-term results (objectives) • **outcomes:** medium-term results (purpose) • **impact :** long-term results (goal)
• **Results chain:** the sequence of change from program resources and activities to outputs, outcomes and impact.
• **Risk:** uncertainty about the achievement of the intended result or what that result (or the attempt to achieve it) may cause.
• **Sample:** a subset of the target population that may or may not be representative of the latter (see ***representative sample*** and ***purposive sample***).
• **Social capital:** networks of social relations that provide assets or access to assets, including human, financial or other resources.
• **Stakeholders:** persons and bodies that have a *stake* in the CLC, who: (a) deliver services, for example, centre staff; (b) are responsible for service delivery, for example, the partners; or (c) benefit from, pay for or are otherwise affected by these services, for example, students, taxpayers and community members.
• **Standard deviation:** a statistical measure of the variance in a distribution of data that expresses the extent to which the observations vary from the mean of the distribution.
• **Statistical significance:** a statistical finding which is unlikely to have occurred by chance alone.
• **Subjective data:** bits of information that emanate from one person's consciousness or perception (individual meaning) (see ***objective data***).
• **Sustainability:** the long term viability of a policy, program, organization or some other entity to accomplish its purpose over time.
• **Systematic sample:** sample of the target population where every n^{th} person (or other item) on a list is chosen.
• **Target population:** all cases or members of the group in question.
• **Theory of change:** actions and conditions strategically aligned in order to achieve a set of intend results.

• **Triangulation:** the use of multiple sources of data, methods, perspectives or evaluators to establish greater certainty, and thereby, greater credibility in the findings and the report.
• **Trustworthiness:** the evaluation's representation of the performance of the organization is both valid and dependable.
• **Validity** (credibility): any product of or action taken in the *evaluation process* is valid if it and any prior product or action on which it depends is demonstrably legitimate, well founded and defensible.
• **Value-added:** the extent to which a performance result is attributable to the organization.
• **Variable:** an observable characteristic to which quantitative or qualitative values can be assigned.
• **Vision:** an image expressing the impact of the organization, of how the world will be different because of what it does.

NOTES

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Resource Kit

THE COMMUNITY LEARNING CENTRE

Templates

for Collaborative Action Planning

Holistically planned action for educational and community change

Templates

The Community Learning Centre

THE CLC RESOURCE KIT

Templates

for Collaborative Action Planning

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educational and community change

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A series promoting educational success and the development of the Anglophone community in Québec.

The CLC Resource Kit: Templates for Collaborative Action Planning
(Formerly published as part of the CLC Guidebook.)

Working Document (2007.09.25)

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Acknowledgment

The Coordinating Committee wishes to acknowledge the input from the CLC coordinators whose feedback was very helpful in producing this edition.

Community Learning Centres—Resource Kit

ISBN 978-2-550-60913-1 (print version)
(French edition: ISBN 978-2-550-59743-8)

Templates (PDF)
ISBN 978-2-550-59750-6
(French edition: ISBN 978-2-550-59751-3)

Legal Deposit—Bibliothèque et Archives nationales du Québec, 2012
Legal Deposit—Library and Archives Canada, 2012

11-00179-A

SUMMARY

Lists same **Steps** found in Framework (pp. IV-V), plus all templates provided.

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USING THE TEMPLATES

The Framework for Action

In light of the importance of school-community collaboration, the Ministère de l'Éducation, du Loisir et du Sport du Québec (MELS) has supported the development of The CLC Framework for Action. It outlines a series of steps that schools, vocational and adult training centres and community groups can use to create a CLC.

The MELS then mandated LEARN to revise and publish the Framework, and to create other related materials. All LEARN publications supporting CLCs are available on the CLC Web site under the general series title, ***The CLC Resource Kit***.

In order to assist schools, centres and community groups to implement the Framework, LEARN produced the ***Guidebook for Implementing a Collaborative School-Community Partnership*** to provide practical and user-friendly suggestions as to how to achieve the purpose of and undertake the actions foreseen for each step.

Then LEARN produced a series of ***Templates***, which are contained in this PDF publication ( ), ***Templates for Collaborative Action Planning***. Like the Guidebook, it has been written for those assuming a leadership role in coordinating each of the **Five Steps** in the Framework.

1 Explore	→	2 Initiate	→	3 Plan	→	4 Implement	→	5 Evaluate

These **templates** can be used to construct "instruments" for collecting data, measuring performance, etc., as well as "forms" for recording information (e.g. a work plan). Instructions are included for each template.[1] In addition, a cross-reference to the corresponding step in the Guidebook is provided, as signalled by ( ) in the right margin, as shown here.

Guidebook, p. #

Recognizing the importance of adapting these templates, LEARN has also published the ***Workbook for Individualized Planning***. It is available in a **Word** version ( ) so that you can create your own instruments and forms.

1. Any source materials used to develop templates are duly credited, with full bibliographic details provided in the Reference List.

Templates

The following provides a list of templates as well as those found in the Workbook for each step of the Framework.

TEMPLATES	
1 EXPLORE	
1.1	Your Synthesis of Community Schools
1.2	Community Boundaries A Vision of Your CLC
1.3	Your Readiness Quotient (RQ)
2 INITIATE	
2.1	A Map of Community Needs and Assets
2.2	Partner Mission Statements Results Areas Guiding Principles Harmonizing Mission Statements Draft Mission Statement
2.3	Structuring Your CLC Assigning Roles and Responsibilities Allocating Resources
2.4	The Partnership Agreement
3 PLAN	
3.1	Points of Convergence Statement of Intended Results
3.2	Analyzing Proposed Services Service Activities Service Activities Work Plan Monitoring Service Delivery
3.3	Analyzing Capacity Development Needs Capacity-Building Activities Capacity-Building Activities Work Plan Monitoring Capacity Building
3.4	Statement of Ethics Evaluation Boundaries Evaluation Work Plan Evaluation Grid
3.5	Harmonizing Strategic Planning The Action Plan

TEMPLATES (cont.)	
4 IMPLEMENT	
4.1	NA
4.2	NA
4.3	NA
5 EVALUATE	
5.1	Creating a Sample Sample Consent Forms Sample Instruments
5.2	Quantitative Data Analysis Qualitative Data Analysis
5.3	Evaluation Checklist Auditing The Evaluation Reporting to Stakeholders

A Checklist of Operational Challenges

This template can be used as both a memory aid to remind you of the various steps involved in the process as you proceed through the Guidebook, and as checklist, so you can check off (✓) each challenge after it has been addressed.

✓	ACTION STEPS AND OPERATIONAL CHALLENGES	
1 EXPLORE		
	1.1	See What CLCs Look Like in Other Communities ➢ Gather useful information about community schools ➢ Construct your knowledge about community schools
	1.2	Create an image of a CLC for your community ➢ Construct an initial map of the community ➢ Determine the implications of a CLC for your community
	1.3	Decide to Proceed ➢ Determine if the partners and their organizations are ready to embark on this joint venture ➢ Produce the anticipated output for Step 1: Decision to proceed.
2 INITIATE		
	2.1	Map Your Needs and Assets ➢ Identify the needs of the community in relation to the type of CLC envisaged ➢ Identify the assets of the community in relation to meeting the foregoing needs

✓	ACTION STEPS AND OPERATIONAL CHALLENGES (cont.)	
	2.2	Develop Mission Statement ➢ Prepare a statement of values and purpose for the CLC ➢ Identify the kinds of results that the partners expect from the CLC ➢ Establish an appropriate set of principles to guide the operation of the CLC ➢ Combine the foregoing elements to draft a mission statement ➢ Determine how the proposed CLC affects each partner's mission statement
	2.3	Allocate Responsibilities and Resources ➢ Structure the CLC to meet identified needs, while dealing with contextual realities ➢ Given the structure of the CLC, assign appropriate roles and responsibilities to the partners ➢ Given these decisions, assign appropriate roles and responsibilities to the operational team ➢ Given the above decisions, determine the general parameters governing the allocation of resources for the CLC
	2.4	Conclude Partnership Agreement ➢ Establish an appropriate process for concluding the Partnership Agreement ➢ Determine the content of the Partnership Agreement ➢ Produce the anticipated output for Step 2: A signed Partnership Agreement
3 PLAN		
	3.1	Determine Desired Results ➢ Seek points of convergence between the results sought by the various partners ➢ Establish a mutually beneficial chain of intended results
	3.2	Determine Programs and Services to Be Offered ➢ Determine the activities that are likely to produce the short-term results that have been set for service delivery ➢ Establish a process to monitor service delivery that is both feasible and effective
	3.3	Determine Capacity to Deliver Services ➢ Develop a holistic understanding of the performance capacity for our CLC ➢ Determine the activities that are likely to produce the short-term results that have been, or should have been, set for capacity development. ➢ Establish a process to monitor capacity building that is both feasible and effective
	3.4	Determine Means to Evaluate Actions and Results ➢ Establish the parameters that define the nature and limits of the evaluation ➢ Decide how to plan the evaluation ➢ Determine precisely what will be evaluated ➢ Adopt performance standards for each object to be evaluated ➢ Select appropriate indicators to measure the objects to be evaluated ➢ Determine appropriate sources and methods of data collection and analysis for each indicator selected

✓	ACTION STEPS AND OPERATIONAL CHALLENGES (cont.)	
	3.5	Complete Action Plan ➢ Establish an appropriate process for concluding the Action Plan ➢ Determine how the CLC action plan fits with each partner's annual plan ➢ Determine the content of the Action Plan ➢ Produce the anticipated output for Step 3: An approved Action Plan
4 IMPLEMENT		
	4.1	Allocate Resources and Begin Service Delivery ➢ Carry out the plan for the delivery of services ➢ Produce the first set of outputs anticipated for Step 4: Initial results from services provided to students and community
	4.2	Allocate Resources and Conduct Capacity Building ➢ Carry out the plan for building capacity ➢ Produce the second set of outputs anticipated for Step 4: Initial results from capacity building of CLC
	4.3	Monitor Service Delivery and Capacity Building ➢ Carry out the plan for monitoring service delivery and capacity building
5 EVALUATE		
	5.1	Collect the Data ➢ Find the necessary data to produce the indicators chosen. ➢ Collect the data chosen after determining appropriate methods for this purpose
	5.2	Analyze the Data ➢ Process the data collected after determining appropriate methods for this purpose ➢ Interpret the processed data after determining appropriate methods for this purpose
	5.3	Report to Stakeholders ➢ Document the entire evaluation process ➢ Prepare a comprehensive report of the evaluation, including process, findings and recommendations ➢ Undertake appropriate means to inform various groups of stakeholders about the evaluation ➢ Ensure follow-up from the results of the evaluation, including the lessons learned

1 EXPLORE

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

Guidebook, p. 4

1.1 See What CLCs Look Like in Other Communities

Your Synthesis of Community Schools

This template can be used to transform the information you have gleaned on community schools into useful knowledge for creating your own CLC.

Guiding Questions	Your Synthesis	Valuable Sources of Information
What are the principal characteristics of a CLC?		
What are the benefits of a CLC for different groups of stakeholders?		
What kinds of services do CLCs generally provide?		
What are the key factors that facilitate success?		
What are the key factors that inhibit success?		

The completed template provides a "cognitive map" of what you have learned, that is, the territory covered in your journey of discovery.

- As shown in this facsimile, this template contains five guiding questions that can be used individually or as a group to synthesize what you have learned.
- Examine these questions to see if they provide a suitable means to create a "cognitive map" of what you have learned.
- Revise, delete or add to them in the template in your **Workbook** ( ) as you see fit.
- Use your guiding questions to record a **synthesis** of what you have learned in the second column.
- In the third column, list the **sources of information** that you found helpful and would recommend to others, including hyperlinks to Web-based sources wherever possible.
- Insert the completed template(s) in your **Workbook** ( ).

1.2 Create an Image of a CLC for Your Community

Guidebook, p. 12

Community Boundaries

This template can be used to define the boundaries of your CLC community, including the identification of your key stakeholders.

- This template may be completed by individuals, with results compiled and compared, or by a group as a "round table" exercise. It is divided into three segments (shown separately below).

A. Elements Defining Community	
Element	**Description**
Geography	Geographically defined catchment area of the organization or group, localities where the vast majority of students/clients live or area within which it is located.
Mission	Particular vocation of the organization or group.
Language/Culture	Subset(s) of a population defined by language or culture targeted by the organization or group.
Stakeholders	Those persons, groups or organizations that have a "stake" in the organization or group (see definition).
Other	

Part A

- Part A provides a starting point for this exercise by outlining several elements that may be relevant in defining the community of any organization or group (be it a school/centre, community agency or the CLC itself).
- You may decide to modify these definitions or include **other** elements, adding additional rows if necessary.

<table>
<tr><td colspan="3">B. Individual Organization or Group: [Name]</td></tr>
<tr><td>Element</td><td>Relevance</td><td>Description</td></tr>
<tr><td>Geography</td><td></td><td></td></tr>
<tr><td>Mission</td><td></td><td></td></tr>
<tr><td>Language/Culture</td><td></td><td></td></tr>
<tr><td>Stakeholders</td><td></td><td></td></tr>
<tr><td>Other</td><td></td><td></td></tr>
<tr><td colspan="3">Definition of Community:</td></tr>
<tr><td>Contextual Features</td><td colspan="2">Description</td></tr>
<tr><td></td><td colspan="2"></td></tr>
<tr><td></td><td colspan="2"></td></tr>
<tr><td></td><td colspan="2"></td></tr>
<tr><td></td><td colspan="2"></td></tr>
</table>

Part B

- In this segment, each potential partner organization or group should examine each of the elements included in the template, as defined above in Part A, adding rows as necessary to include any others which it feels are necessary to define its community.
  - Any new elements should be defined so that everyone has the same understanding of what that element means.
- In the second column of the template, the organization or group is asked to briefly state how each element is relevant to its community.
- In the third column of the template, the organization or group then describes how it would characterize its community in relation to that element.
  - When completing this exercise it may be useful to reflect on the stability of any given element over time (e.g. catchment area of the school, demographic characteristics of the community).
- The next row of the template is then used to record a **definition** of its community based on the foregoing.
- The remaining rows of this segment provide space for each potential partner to identify the **contextual features** that are relevant to its participation in the CLC, providing a brief **description** of each.
- Once each potential partner has completed Part B, the results should be shared and discussed.

C. Potential CLC		
Element	**Relevance**	**Description**
Geography		
Mission		
Language/Culture		
Stakeholders		
Other		
Definition of CLC Community:		

Contextual Features	Description

Part C

- Drawing on the information provided in Part B regarding both the community boundaries and the contextual features of each partner, use the same process described above to complete this segment for the CLC.
- Insert the completed templates in your **Workbook** ( ).

A Vision Of Your CLC

This template can be used to engage potential partners in creating a vision of what a CLC could look like in your community.

A. Creating a CLC as a "learning community"			
Driving Forces ⇨	**Wt**	**⇦ Restraining Forces**	**Wt**

B. Creating a CLC as a "hub" of community services			
Driving Forces ⇨	**Wt**	**⇦ Restraining Forces**	**Wt**

C. Creating a CLC as proposed by the Framework				
Driving Forces ⇨	Wt		⇦ Restraining Forces	Wt

D. Vision Statement	
Vision	
Actions	

Forces For and Against Change	
Driving	Restraining

This template uses the "**force field**" technique. It is usually presented by a set of opposing arrows suggesting a dynamic set of forces that drive ("accelerators") or restrain ("brakes") the endeavour in question. "Pushing on the accelerator will only drive things forward when the pressure on the brakes is relieved."[2]

Parts A, B and C

It may be "too much" to deal with all of these issues in one session. An alternative strategy is to consider a CLC as a learning community and hub of community service in the first session. If the result is positive, distribute the Framework and consider it in a second session.

Weight:
1 = weak
2 = moderate
3 = strong

- Use the first three segments of the template to explore the driving and restraining forces respecting each of the issues dealt with in these segments:

  A as a learning community

  B as a hub of community services

  C as proposed by the Framework
- Use the information in the Guidebook (pp. 7-11) on these three issues, as well as other sources you have identified.
- If done individually, ask each participant to list three driving and three restraining forces in each segment; then share and discuss the results.
- Alternatively, use an expanded version of this template to list all different driving and restraining forces for each that emerge from a round table discussion.
- Not all of these forces will have the same strength. You can estimate these relative strengths by asking participants to weight (**Wt**) the forces identified using the scale shown here.
- During discussion ask participants:
  - to explain why they have identified a particular force and weight
  - whether restraining forces can be eliminated or their strength decreased, and if so, how
- Ask participants whether, all driving and restraining forces considered, it is desirable and feasible to create a CLC:
  - as a learning community

2. MacBeath, 2002, p. 10.

- as a hub of community services
- as proposed by the Framework

Part D

- Record the consensus of the group regarding:
  - the **vision** of the CLC
  - the **actions** to be taken to pursue this vision
- Insert the completed template(s) in your **Workbook** ( ).

Guidebook, p. 17

1.3 Decide to Proceed

Your Readiness Quotient (RQ)

This template can be used to determine the "readiness quotient" or RQ of the emerging partnership to form a CLC.

Indicators of Readiness:		Rating		Comments	Actions
		My	All		
1	**Legal/Administrative Readiness:** my organization/group's legal and administrative framework permits its participation in the CLC.				
2	**Cultural readiness:** my organization/group has an organizational culture that will accept the CLC.				
3	**Leadership readiness:** leadership support for the CLC exists in my organization/group and the partners.				
4	**Vision and Strategic Readiness:** my organization/group and the partners have a clear vision of where the CLC is going and how it should get there, or a clear desire to create such a vision.				
5	**Collaborative Readiness:** my organization/group and the partners are prepared to be involved and work together collaboratively to make the CLC a reality.				
6	**Resource readiness:** the partners are prepared to commit the financial and other resources necessary to create the CLC.				
7	**Systemic readiness:** the partners have or will have the necessary systems in place to undertake the creation of the CLC.				

My organization's RQ	
The RQ of the Partnership	

- Ask participants from each potential partner to examine items 1 to 5, in order to determine the extent to which they believe that <u>their organization or group</u> is ready to embark on this joint venture.

Rating Scale
(1 to 5), where:

1=very low and
5=very high state
of readiness
N=No Opinion

RQ:

Minimum RQ = 5
Maximum RQ = 25

- Then ask them to examine items 3 to 7, in order to determine the extent to which they believe that the partners as a whole are ready to embark on this joint venture.
- Each partner group should be asked to rate their organization or group's readiness in relation to the five applicable items listed in this template (1-5) using the scale shown here and then to compute their 'RQ' by adding the five scores together.
    - The minimum score of 5 may be lower if no opinion is provided for some items.
- Each partner group should be asked to rate the readiness of the partners as a whole in relation to the five applicable items listed in this template (3-7) and then to compute their RQ by adding the five scores together.
- Ask everyone to provide brief **comments** in the space provided to explain their rating and any issues that they have identified.
- Finally, participants should each briefly state any **actions** that could (will be) taken to improve the readiness of either their organization or group or the partners as a whole.
- Review the results in a round table discussion, considering the extent to which each organization or group and the partners as a whole appear ready to proceed and the actions that could (will be) taken to improve the readiness of either individual organizations or groups or the partners as a whole.
- Insert the completed templates in your **Workbook** ( ).

2 INITIATE

1 Explore → 2 Initiate → 3 Implement → 4 Evaluate → 5 Évaluer

2.1 Map Your Needs and Assets

Guidebook, p. 21

A Map of Community Needs and Assets

This template can be used to determine: (a) the unmet needs of various target groups; (b) the untapped resources that could be used to meet these needs; and (c) the role the CLC could usefully play to meet these needs.

- As a preliminary step in this exercise, review and revise, if necessary, the vision of the CLC prepared in Step 1.1 (See **A Vision Of Your CLC** in your **Workbook**).
- This template is divided into three segments (shown separately below):

  A Unmet Needs
  B Untapped Assets
  C The Role of the CLC

- This template can be used in a focus group (e.g. staff members) or a community forum (e.g. "Town Hall"). Participants should be chosen as representatives of a stakeholder group who can provide insights into the needs being considered.
- Explain to participants that you are considering the creation of a CLC and wish to ensure that it meets the needs of various target groups and does not duplicate existing services.

<table>
<tr><th colspan="10">A. Unmet Needs</th></tr>
<tr><th>Target Group</th><td colspan="9"></td></tr>
<tr><th>Type of Result</th><td colspan="9"></td></tr>
<tr><th>Level of Need</th><th colspan="2">Desired State</th><th colspan="4">Current State</th><th colspan="3">Gap</th></tr>
<tr><td>Beneficiaries</td><td colspan="2"></td><td colspan="4"></td><td colspan="3"></td></tr>
<tr><td>Services</td><td colspan="2"></td><td colspan="4"></td><td colspan="3"></td></tr>
<tr><td>Resources</td><td colspan="2"></td><td colspan="4"></td><td colspan="3"></td></tr>
<tr><td colspan="3">Estimated number of beneficiaries (N)</td><td colspan="2"></td><td colspan="5"></td></tr>
<tr><th colspan="10">Severity of Beneficiary Needs</th></tr>
<tr><td colspan="2"></td><th>Low</th><td></td><th colspan="2">Moderate</th><td></td><th>High</th><td></td><th>All</th></tr>
<tr><td colspan="2">Estimated percentage of N</td><td></td><td>+</td><td colspan="2"></td><td>+</td><td></td><td>=</td><td>100%</td></tr>
</table>

Part A

- Part A of the template shown in the above facsimile is used to determine the needs of a particular target group. (Copy Part A for each target group.)
- Begin by recording the name of the group (e.g. students) and the type of result being considered (e.g. social skills).
- Explain that you will be asking about three levels of needs:
  - beneficiaries
  - services
  - resources
- Use the following guiding questions to complete Part A by soliciting input from participants:

Example: A particular industry has identified the skill set for entry-level employees. Various candidates only possess a limited number of these skills. The gap equals the remaining skills they do not possess.

Beneficiaries

- How would you characterize the **desired state** of [type of result] for [target group], that is, the results you would like to see being achieved?
- How would you characterize the **current state** of [type of result] for [target group], that is, the level of results being achieved now?
- That means that the **gap**, or unmet needs of beneficiaries—can be stated as ... [solicit consensus to define the gap].

Example: Desired student services include career, social and personal counselling. Current services only provide career counselling. The gap equals the other services not available.

Services

- How would you characterize the **desired state** of services for achieving the above results for this target group, that is, the level of services you would like to see being provided?
- How would you characterize the **current state** of services being provided?
- That means that the **gap**, or unmet needs for services, can be stated as ... [solicit consensus to define the gap].

Resources

Example: A total of $30 000 is required for all desired counselling services. Current services cost $20 000 and the budget contains $4 000 in unexpended funds. The gap equals $6 000.

- How would you characterize the **desired state** of resources for providing these services, that is, the level of resources you would like to see being allocated?
- How would you characterize the **current state** of resources being allocated?
- That means that the **gap**, or unmet needs for resources, can be stated as ... [solicit consensus to define the gap].

- Next, obtain the group's best estimate of the number of beneficiaries with unmet needs (**N**) and the approximate **percentage** of N whose needs could be characterized as low, moderate or high.

B. Untapped Assets		
Sources	**Current Assets**	**Potential Assets**

Part B

- Part B of this template shown in the above facsimile is used to gather data about assets in partner organizations or the community that might be able to be tapped to meet, at least in part, the unmet needs identified in Part A.
- In the first column, list the various "**sources**" of assets, both inside partner organizations and in the community (i.e. a list of organizations or groups that may have relevant assets to offer).
- Complete the second and third column by assigning different team members to inquire into:
  - the **current assets** of each source, and
  - **potential assets** which it is able and willing to develop

C.The Role of the CLC		
Target Group	**Unmet Needs**	**Proposed Role of CLC**
A1:		
A2:		
A3:		
...		

Part C

Input from this exercise might indicate a need to enlarge the partnership of the CLC

- Part C of this template shown in the above facsimile is used to record the results of the team's discussion of the data collected.
- In the first two columns, using the information gathered in Part A, list the various **target groups** that have **unmet needs**.
- In the third column, using the information gathered in Part B, record the **role the CLC** might play in meeting the needs listed above. These could include:
  - providing information to beneficiaries about services currently available
  - making referrals to various agencies
  - delivering the services themselves
- Insert the completed templates in your **Workbook** ( ).

Guidebook, p. 25

2.2 Develop Mission Statement

Partner Mission Statements

This template can be used to provide a description of the mission of each partner organization and to decide on the values and purpose of the CLC.

A. Mission of [Name of Partner]
Key Descriptors:
How would you describe the **vision** that underpins the mission of the organization?
What are the **core values** of the mission?
What, briefly stated, is the **purpose** of the organization?
What **attributes** does the mission ascribe to your organization?
What is the **strategic direction** set by the mission?

B. Values and Purpose of the CLC

Part A

- Ask each partner to provide a copy of any formal mission statement that exists and to complete Part A of the template, to provide information on its mission, using the guiding questions included in the template.
- Use the following prompts to review the completed templates in order to ascertain the extent to which each partner's mission supports a common vision and mission for the CLC.
  - What are the points of congruence in the core values of each partner organization? Are there any incompatibilities in these values?
  - Do all partner organizations have complementary aims? Do any appear to operate at cross-purposes?
  - Is there anything in the nature of the mission of any partner organization that is likely to be problematic for the CLC?
- A round table discussion of these data and further analysis can provide the basis for considering the mission of the CLC.

Part B

- Use the above discussion to complete Part B of the template, drafting a statement of the values and purpose of the CLC.
- Insert the completed templates in your **Workbook** ().

Results Areas

This template can be used to provide a broad-brush statement of the types of results expected by each of the partners.

A. Partner Inputs		
Results Areas	**Priority**	**Comments**

B. Consensus for CLC		
Results Areas	**Priority**	**Comments**

Results Areas to Consider:
- early childhood
- quality education
- youth development
- family engagement
- employment opportunities
- arts and sports
- information technology

Priority:
1 = low
2 = moderate
3 = high

Part A

- Ask everyone to examine the results areas that the Guidebook suggests be considered (see text box).
- Ask each partner to list a maximum of five **results areas** for the CLC, and then to:
  - indicate the **priority** of each area, using the scale shown here and
  - add any **comments** that are necessary to explain both the results areas and their priority
- Alternatively, use an expanded version of this template to list all possible results areas that emerge from a round table discussion.

Part B

- Your analysis of the input from Part A provides a springboard for arriving at a preliminary consensus over the desired results areas of the CLC, using the same guidelines provided above for Part A.
- Insert the completed template(s) in your **Workbook** ( ).

Guiding Principles

This template can be used to prepare a draft of guiding principles for discussion by the partners.

Theme	Statement
...	

- Decide on the **themes** to frame your guiding principles (e.g. the three themes depicted on the facing page: purpose, leadership and management-by-results).[3]
- Draft a set of **statements** under each of these themes for discussion with the partners or come to the table with a blank template and brainstorm the drafting of the statements.
- Alternatively, one can come up with a set of guiding principles from which a set of themes will emerge. (One can even dispense with themes altogether.)
- Insert the completed template in your **Workbook** ( ).

3. Smith, 2005, pp. 47-48.

SUGGESTED THEMES FOR GUIDING PRINCIPLES

Purpose–A commitment to:
◊ respect the values underpinning community schools in general and those values which the CLC has specifically endorsed ◊ engage and support students in developing their full intellectual, emotional, social and vocational potential ◊ engage and support families and other community members in achieving their individual goals ◊ contribute to the core mission of schools/centres, that is, to provide quality educational services to students ◊ contribute to the social, economic or other development of the community in accordance with partnership goals
Leadership for Building Community–A commitment to:
◊ *transformational leadership*, that is, guiding the organization to ensure the commitments and capacities of its members ◊ taking into account the environment of the CLC, especially where people are at in relation to where they want to go ◊ promoting collaborative outreach to the community members and groups as partners ◊ promoting collaborative individual and organizational learning within the CLC ◊ a continuing focus on what is required to develop the capacity of the CLC in order to achieve desired results
Managing for Results–A commitment to:
◊ strategic management, that is, a holistic and integrative approach to service delivery supported by ongoing monitoring ◊ continually striving for effectiveness, that is, achieving the short-, medium- and long-term results being sought by the CLC ◊ continually striving for efficiency, that is, allocating a sufficient level of resources to achieve results and making optimal use of these resources ◊ continually striving for equality, that is, ensuring that all members of the school community receive equal opportunities for success ◊ accountability and improvement, that is, taking responsibility for evaluating performance, communicating the findings to stakeholders and taking action based on these findings

Harmonizing Mission Statements

This template can be used to ascertain the potential impact of the proposed CLC mission statement on the educational project of the school, or the equivalent mission statement of a centre or other partner.

- The template consists of three segments, shown separately below.

A. Mission Statement of [Name of Partner]	
Review Questions	**Comments**
Are the values of the proposed CLC compatible with the values of your organization or group?	
What impact, if any, will the proposed CLC have on the identity of your organization or group?	
Does the proposed CLC displace or otherwise affect the present goals of your organization or group?	
…	

Part A

- Part A can be used by each partner individually to review the emerging mission statement of the CLC in light of its own mission statement (⌦ See **Partner Mission Statements** in your **Workbook**).
- If a partner does not have a formal mission statement, it can still undertake this exercise in light of its values, identity and goals.
- The guiding questions are intended to act as a springboard for discussion; add other rows (…) for any other questions that group members feel are helpful in conducting this review.

B. Review of Partner Input	
Review Questions	**Comments (from Part A), implications and options**
Values	
Identity	
Goals	
…	

Part B

- Part B can then be used to engage the group in an open discussion to review the input from each partner and tease out the implications for both individual partners and the CLC, as well as options for dealing with these implications.

C. Resolution		
Object	**Decisions**	**Actions to Be Taken**
Partner Missions:		
CLC Mission		

Part C

- Part C is then used to record decisions and actions regarding mission, first with respect to the mission of individual partners.
- State the name of the **partner** in the first column (insert rows as required); record any **decisions** that need to be made and any **actions** that must be taken in this regard in the next two columns.
- In the last row, record any **decisions** that need to be made and any **actions** that must be taken with respect to the mission statement of the **CLC**.
- Insert the completed templates in your **Workbook** ( ).

Draft CLC Mission Statement

This template can be used to prepare a draft of the mission statement for the CLC.

- The template consists of two segments shown separately below.

A. Draft Statement
Values and Purpose:
Results Areas:
Guiding Principles:

Part A

- The first segment of the template comprises a box for each of the three components of a mission statement presented above:
  - values and purpose
  - results areas
  - guiding principles
- You may decide to structure your mission statement differently but it should comprise these three elements.

B. Review of Draft Statement		
Review Questions	**✓**	**Reservations, comments and questions**
The process used to develop the mission was open, providing everyone an opportunity to express his or her views.		
The process enabled a consensus to be formed about the proposed mission.		
As a result of this process, I believe that my organization or group will endorse the proposed mission.		
The mission statement expresses the values I think the CLC should hold.		
The elements of the mission statement are important to me.		
The elements contained in the mission statement fit together.		
The mission statement is clear and can be understood by all stakeholders.		

Part B

- Once a draft has been completed, ask each partner, as well as any other persons involved in developing the mission, to review both the process used to craft the mission and the draft mission statement itself using each of the statements listed in the second segment of the template.
- Each respondent is expected to place a check mark next to any statement to which he or she can answer yes, leaving the space blank if not. The respondent should then add any reservations, comments or questions about the item.
- Use the results of this checklist to review both the process used to craft the mission and the mission statement itself, redoing part of the process or revising the mission statement as required.
- Insert the completed templates in your **Workbook** ( ).

2.3 Allocate Responsibilities and Resources

Guidebook, p. 29

Structuring Your CLC

This template can be used to decide on the right model for your situation.

A. Comparing Models	
Models	**Advantages and Disadvantages**
Parallel	
Integrated	
Single-site	
Multisite	

B. Ranking Models	
Model	**Rank**
Parallel Single-site	
Integrated Single-site	
Parallel Multisite	
Integrated Multisite	

C. Proposed Structure of the CLC	

Part A

- Ask each partner, as well as any other persons involved in structuring the CLC, to consider the four structural types described in the Guidebook by completing the first segment of the template.
- Describe briefly the advantages and disadvantages you see for adopting any one of the basic structural types listed.

Part B

- Rank each one of the four structural types as explained below.
  - Assign 4 to your first choice; 3 to your second choice; 2 to your third choice; 1 to your fourth choice.
  - If you think any model should not be considered at all, assign 0 (zero) (e.g. if you only think two models should be considered, your ranking would be 4-3-0-0).

Part C

- Following a discussion of the input on the above, use the final segment to record a description of how your CLC should be structured.
- Insert the completed templates in your **Workbook** ( ).

Assigning Roles and Responsibilities

This template can be used to decide on the right set of roles for various persons and bodies, beginning with the partners.

- The template consists of four segments shown separately below.

A. The Partners			
Areas	**Roles and Responsibilities**	**Ind**	**Terms and Conditions**
General Functions			
Programs and Services			
Resources			
Other Matters			

- The first column lists four **areas of responsibility**: general functions; programs and services; resources (financial, human and material); and other matters.
- The second column provides space to delineate the specific **roles and responsibilities** that the partners should exercise collectively or individually.
- Individual responsibilities require an entry in the next column (**Ind**) to state which partner is involved. (You should add a row for each area when a different individual has responsibility for a given matter.)
- The final column provides space to briefly outline the **terms and conditions** that govern the exercise of the roles and responsibilities listed.

B. The Operational Team		
Areas	**Roles and Responsibilities**	**Terms and Conditions**
Accountability/Reporting		
General Functions		
Programs and Services		
Resources		
Other Matters		

C. Coordinator/Facilitator		
Areas	**Roles and Responsibilities**	**Terms and Conditions**
Accountability/Reporting		
General Functions		
Programs and Services		
Resources		
Other Matters		

D. Other (Specify)		
Areas	**Roles and Responsibilities**	**Terms and Conditions**
Accountability/Reporting		
General Functions		
Programs and Services		
Resources		
Other Matters		

Part B, C and D

- Begin by determining the accountability and reporting relationship of the operational team (B), the coordinator/facilitator (C), or other body (D). Use the guidelines provided for the roles assigned to partners to complete the remainder of this segment.
- Insert the completed template in your **Workbook** ( ).

Allocating Resources

Use the template, *Allocating Resources*, found in the Workbook, to decide on the allocation of resources by each partner.

Areas	Source	Contribution	Terms and Conditions
Financial Resources			
Human Resources			
Material Resources			

- This template has been subdivided into three blocks for financial, human and material resources.
- In the second column, record each **source** (i.e. a partner, other) for each type of resource, adding extra rows as required so that there is a separate row for each source listed.
- In the third column, record the **contribution** to each type of resource. The contribution of financial resources will either be a specific amount or a range, while for others, the contribution "in kind" should be specified as much as possible (x teachers, y computers, etc.).
- The final column provides space to briefly outline any **terms and conditions** that govern the allocation of the resources listed.

■ Insert the completed template in your **Workbook** ().

Guidebook, p. 35

2.4 Conclude Partnership Agreement

The Partnership Agreement

This template can be used to draft the content of the Partnership Agreement, using the guidelines provided below.

Main Sections	Provisions
A. The Partners	
B. Mission Statement **Values and Purpose** **Results Areas** **Guiding Principles**	
C. Division of Responsibilities **CLC Structure** **The Partners** **Operating Team** **Coordinator/Facilitator** **Other**	
D. Allocation of Resources	
E. Other Provisions	

Part A : The Partners

This segment is quite straightforward as it simply provides for the formal identification of the partners to the agreement.

Part B : The Mission Statement

This segment provides the foundation for everything that follows in the partnership agreement, which you determined earlier in Step 2.2 (See **Draft CLC Mission Statement** in your **Workbook**).

- values and purpose
- results areas
- guiding principles

Part C : Division of Responsibilities

This segment of the agreement should set forth the key elements of the structuring of the CLC and the partnership, which you determined earlier in Step 2.3 (See **Structuring Your CLC** and **Assigning Roles and Responsibilities** in your **Workbook**).

- CLC structure
- the partners
- operational team
- coordinator/facilitator
- other bodies

Part D : Allocation of Resources

This segment should specify each partner's allocation of resources, as well as:

- the time frame (one year, multi-year period)
- any conditions attached thereto

- financial resources
- human resources
- material resources

All of these elements were determined earlier in Step 2.3 (See **Allocating Resources** in your **Workbook**).

The agreement should also include provisions regarding the approval of annual and/or multi-year budgets, budget monitoring and revisions and the disbursement of funds.

Part E : Other Provisions

Finally, the agreement should contain other provisions required to create the partnership.

These should include:

- parameters of and process for approving action plans
- duration, revision and renewal of agreement

As a general rule, the Action Plan covers a given operational cycle, such as single school year or a multi-year period. Specifying the type and time span of the plan in the agreement may depend, in part, on any legal or organizational constraints on the parties (e.g. commitment of funds).

The agreement also needs to specify how the action plans will be approved and the annual (or other periodic) deadlines for this process:

- what must be submitted to whom by what date

The agreement may cover a fixed period or it may be open-ended.

- If it is for a fixed period, provision needs to be made for its renewal, with a period of sufficient notice for all parties.
- If it is open-ended, provision needs to be made for its termination, again with a period of sufficient notice for all parties.

In either case, there has to be a mechanism for revising the agreement.

Other provisions might also include, for example:

- reference to subsidiary agreements with third parties (see text box), perhaps included as an appendix to the agreement
- communication (within the partnership, to stakeholders)

> A third-party agreement is an ongoing contract with a body other than one of the partners to provide some service that is critical for the operation of the CLC (e.g. counselling service in a family clinic).

3 PLAN

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

Guidebook, p. 39

3.1 Determine Desired Results

Points of Convergence

This template can be used to determine the possible CLC results from each partner and then to map the points of convergence as shown above.

Results Chain	Partner Results: [Name of Partner]	CLC		
		Results	RA	Comments
Long-Term Results (Impact)				
Medium-Term Results (Outcomes)				
Short-Term Results (Outputs)				

- In this exercise, it is assumed that the CLC is contributing to the long term results sought by the partner (hence the CLC columns are shaded).
- Ask each partner:
  - to record, in column 2, a statement of the long-, medium- and short-term results it is seeking (**Partner Results**)
  - to state, in column 3, which **medium-term results**, if any, that the **CLC** should aim to achieve that complement its medium-term results,
    - noting in column 4 (**RA**) the results area listed in the Mission Statement in Step 2.2 (See **Partnership Agreement** in your **Workbook**) to which each medium-term CLC result relates, and
    - adding **comments** in the final column to explain the relevance and linkage of these medium-term results to the long term impact being sought
  - to repeat this exercise for the **short-term results** that the CLC should aim to achieve that complement its short-term results.
- **Consensus**: A round table discussion of each partner's input will serve to clarify the possible convergence of results for all partners considered together and set the stage for the next task, Determining Intended Results.
- Insert the completed templates in your **Workbook** ().

Statement of Intended Results

This template can be used to record the results chosen for your CLC.

- This template builds on the **consensus** achieved using the template completed in the previous section (See **Points of convergence** in your **Workbook**).

A. Impact					
RA	**Code**	**Intended Results**	✓	**Time Frame**	**Assumptions**

B. Outcomes						
RA	**Code**	**Intended Results**	**Links**	✓	**Time Frame**	**Assumptions**
1. Service Delivery						
2. Capacity Building						

C. Outputs						
RA	**Code**	**Intended Results**	**Links**	✓	**Time Frame**	**Assumptions**
1. Service Delivery						
2. Capacity Building						

- This template consists of three segments corresponding to the three levels of results that the previous template sought to clarify:

  A Impact

  B Outcomes

  C Outputs

- Segments B (Outcomes) and C (Outputs) are subdivided in order to deal with:

  1 results intended from service delivery

  2 results intended from capacity building

Part A

- Begin at the top (Impact) and work down through outcomes to outputs, completing only Part **A**, results intended from **service delivery**, for these segments (⌦ See **Points of convergence** in your **Workbook**).
- For each statement of results:
  - In the first three columns, record the results area (**RA**) (⌦ See **Partnership agreement** in your **Workbook**), assign a code and state the **intended result**.
  - In the fourth column (✓), check to see if the result is **SMART**, asking yourself:
    - Is it specific, measurable, achievable, relevant and time bound?
  - In the fifth column, indicate the *approximate* **time frame** foreseen (when you expect this result to be achieved).
    - As a general rule, the time frame for impact will be several years.
  - In the final column, briefly describe any critical **assumptions** for each result.

A **code** is simply a "shorthand" means to identify the result in other templates.

Part B and C

- Use the instructions provided above for Part A to complete Parts B and C, but also fill in the additional column (**Links**), not included in Part A, and note the additional comments below regarding the sixth column (**time frame**).
- Complete the first part of each segment dealing with **service delivery** (B.1, C.1).
- Under **Links**, state the result (using its code) to which it is linked (A → B), asking yourself the following:

  If the result is an **outcome** (Part B):
  - To which desired impact will this outcome lead? or To which other desired outcome will this outcome lead?
  - Do these linkages to the impact level of results or to another outcome seem reasonable? Can you show that they are likely to occur? ☆

  If the result is an **output** (Part C):
  - To which desired outcome will this output lead?
  - Do these linkages to the outcome level of results seem reasonable? Can you show that they are likely to occur? ☆

☆ In other words, is your theory of change sound and demonstrable?

- With regard to the *approximate* **time frame** foreseen:
  - the time frame for **outcomes** (Part B) may vary from several months to several years, while
  - the time frame for an **output** (Part C) is the completion of the activity
- Using the above instructions, complete the second part of each segment dealing with **capacity building** (B.2, C.2).
- Insert the completed template in your **Workbook** ( ).

Note. Completing this template for capacity building may need to be deferred until after the analysis of current capacity in Step 3.3 (see template on p. **36**).

Guidebook, p. 44

3.2 Determine Programs and Services to Be Offered

Analyzing Proposed Services

This template can be used to conduct a SWOT analysis of proposed services for each set of alternatives you wish to consider.

Option 1	
Strengths	**Weaknesses**
Opportunities	**Threats**

Option 2	
Strengths	**Weaknesses**
Opportunities	**Threats**

- Decide on the options you wish to consider. Use a separate set of boxes for each option to examine its:
  - strengths
  - weaknesses
  - opportunities
  - threats (risks)
- Use the results of this exercise to discuss all the options, which will lead to the next exercise, deciding on which service activities to provide.
- Insert the completed template in your **Workbook** ( ).

Service Activities

This template can be used to record the activities chosen for service delivery.

Service Activities			Outputs	Time Frame	Description	Resources/Conditions
RA	Code	Title				

- In the first three columns, record the results area (**RA**) (⌦ See **Partnership agreement** in your **Workbook**), assign a **code** and state the **title** for each activity foreseen.
- In column 4 list the **output(s)** that it is meant to achieve. Every activity must have one or more outputs from those chosen (⌦ See **Statement of intended results** in your **Workbook**).
- With one exception, if a proposed activity does not lead to one of these outputs, it has no place in the work plan. The exception occurs if the activity produces an output that should have been included; in which case, amend your listed results accordingly (⌦ See **Statement of intended results** in your **Workbook**).
- The final three columns are used to record the **time frame** for the completion of the activity, a brief **description**, and the **resources** allocated for it (total amount, plus key human and material resources), as well as any other **conditions** that must be provided.
- When all service activities have been listed, they should cover all outputs specified previously (⌦ **See Statement of Intended Results** in your **Workbook**), with the exception of those outputs that relate to capacity building (dealt with in Step 3.3).
- Insert the completed template in your **Workbook** ( ).

A **code** is simply a "shorthand" means to identify the result in other templates.

Service Activities Work Plan

This template can be used to plan the activities chosen for service delivery.

- The work plan template is meant to help manage activities by breaking each activity into a feasible sequence of tasks for the period of time envisaged for it. However, no plan should be cast in stone but revised as required.

Code	Tasks	Days	Responsible	Key Dates

- Specify the list of **Tasks** to be undertaken, preceded by the **Code** of the service activity to which it relates (⌦ see **Service Activities** in your **Workbook**).
- For each task, record the number of person **Days** foreseen for this task, the person(s) **Responsible** for the task, and any **Key Dates**, including time span and deadline.
- Generally, a work plan is organized according to time line, proceeding from first to last tasks over the period envisaged. However, you can save a second version of the plan sorted by codes to regroup all tasks related to a particular activity.
- Insert the completed template in your **Workbook** ().

Monitoring Service Delivery

This template can be used to help you to develop your monitoring plan, using the following prompts as a guide.

Code	Aspects	Data	Freq	Roles and Procedures

Monitor the Monitoring:

- In the first column, record the **code** of each activity to be monitored (See **Service Activities** in your **Workbook**) in the spaces provided, adding additional rows as required. (Three rows are provided for each activity, as explained below.)
- Decide which **aspects** of the activity should be monitored (see below) and progress toward results) and record your decision in the second column, using a separate row for each aspect.
  - Generally, these aspects cover the conduct of the activity, the provision of resources and conditions, and progress toward results.
  - To avoid "overload," it is advisable to focus on ***key*** aspects of the activity, that is, those that are most important, especially any for which you may have cause for concern.
- In the third column, determine the **data** that should be collected for this purpose.
  - Simplicity is the by-word here; use data that can be collected easily as a matter of routine (see example in text box).
- In the next column (**Freq**), determine the frequency, that is, how often data should be collected.
  - A distinction also needs to be made between the frequency of collecting versus reporting monitoring data. For example, attendance in an after-school program might be recorded daily, but only reported once a week.

For example: You decide to monitor the attendance of students in an after-school program that runs three times a week. You ask the instructor to provide two pieces of data each week: the number of students present and, after one month, the name of any student whose attendance has dropped below 80% (or any other norm you choose).

Although monitoring is often referred to as an "ongoing" process, the actual frequency of monitoring will vary according to the nature of the object and the urgency of the consequences of a failure to respond. Thus, while there needs to be continuous monitoring of any matters requiring urgent attention, the CLC can decide on the frequency of monitoring less urgent concerns (e.g. monthly, quarterly, etc.).

- Use the final column to establish **roles and procedures** for collecting, processing and using monitoring data by asking:
  - To what extent do these data need to be processed in order to be usable?
  - Who will play various roles in this process?
  - To what extent will self-monitoring be used, versus reporting to a superior?
  - What procedures will be followed to take corrective action (short and longer term)?
  - What procedures are needed to ensure follow-up?
- The final segment of this template provides space to indicate how you will **monitor the monitoring**, that is, ensure that the process is proceeding as planned and provide for early warning and intervention as intended.
- Insert the completed template in your **Workbook** ( ).

3.3 Determine Capacity to Deliver Services

Guidebook, p. 48

Analyzing Current Capacity

This template can be used to analyze your current capacity to deliver services.

- This template consists of two segments shown separately below.

Note. Although this template is about capacity building, the activities listed in the first column are **service activities** from the previous template in Step 3.2.

A. Specific Capacities Related to Service Activities			
Service Activities	**Capacities**		
	Types	**Analysis**	**Rating**

Part A

- Review the service activities in the Action Plan(See **Service Activities** in your **Workbook**) and record the code of each **service activity** in the space provided in the first column (adding extra sets of rows as required).

- Answer the following questions in the space provided for each of the activities listed:
  - What **types** of capacity appear to be relevant to this activity? Use a separate row, inserting others as required, for each type shown in the graphic (see definitions in the Guidebook, p. X).
  - What issues, if any, need to be addressed for each type of capacity listed? (**Analysis**)
  - In the final column, rate the seriousness of this issue, using the scale shown here.

Organizational Culture	Organizational Structure
Resources	External Linkages
Management Systems	Strategic Leadership

B. Overall Capacity of the CLC		
Capacities	**Analysis**	**Rating**
Organizational Culture		
Resources		
Organizational Structure		
Management Systems		
External Linkages		
Strategic Leadership		

Rating:
1 = low
2 = moderate
3 = high

Part B

- Once you have considered all relevant capacity issues for individual activities, proceed to complete Part B of the template: **Overall Capacity of the CLC**.
- Some capacities are only indirectly related to individual service activities and may have been missed in Part A, hence the need to "stand back" and consider more general issues of current capacity.
- Answer the following questions in the space provided for each major type of capacity listed:
  - What issues, if any, need to be addressed for this type of capacity? (**Analysis**)
  - In the final column, rate the seriousness of this issue, using the scale shown here.
- Insert the completed template in your **Workbook** ( ).

Capacity-Building Activities

This template can be used to record the activities chosen for capacity development.

Capacity-Building Activities			Outputs	Time Frame	Description	Resources/ Conditions
RA	Code	Title				

> **Reminder:** There are two types of activities included in the Action Plan: **service activities** (previous template in Step 3.2) and **capacity-building activities** (in this template).

- The information gleaned from the previous template (⌦ See **Statement of Intended Results** in your **Workbook**) provides the basis for completing this template.
- Since time, resources or other constraints may limit the number of **capacity-building activities** you can undertake, use the priority assigned to each gap (High, Medium or Low) to prioritize your choices.
- The same prompts provided earlier for *Service Activities* (p. 33) apply to this template as well.
- When all capacity-building activities have been listed, all outputs previously chosen (⌦ See **Statement of Intended Results** in your **Workbook**) should now be covered.
- Insert the completed template in your **Workbook** ( ).

Capacity-Building Activities Work Plan

This template can be used to plan the activities chosen for capacity building.

Code	Tasks	Days	Responsible	Key Dates

- The same prompts provided earlier for the *Service Activities Work Plan* (p. 34) apply to this template as well.
- Insert the completed template in your **Workbook** ( ).

Monitoring Capacity Building

This template can be used to develop your monitoring plan.

Code	Aspects	Data	Freq	Roles and Procedures

Monitor the Monitoring:

- The same prompts provided earlier for *Monitoring Service Delivery* (p. 35) apply to this template as well.
- Insert the completed template in your **Workbook** ( ).

Guidebook, p. 53

3.4 Determine Means to Evaluate Actions and Results

Statement of Ethics

This template can be used to provide the ethical guidelines for the evaluation.[4]

1 Nature and Purpose of the Evaluation	We are undertaking this evaluation on behalf of the [name of CLC] in order to find out how well this centre is doing in relation to various matters judged to be important to its stakeholders. It shall be conducted in accordance with these ethical guidelines, which shall be made available to relevant stakeholders, together with a written description of the evaluation.
2 Relationships With Participants	All interactions with "participants" during this evaluation shall be conducted in an ethical, professional manner, based on respect, honesty and openness. a) A "direct participant" is someone who takes part in the evaluation by completing a questionnaire, or being part of an interview, focus group or observed activity b) An "indirect participant" is anyone about whom a third party provides information.
3 Information	We shall provide all prospective direct participants with a description of the evaluation, as well as an explanation of the nature and implications of their involvement.
4 Privacy	Except for the "routine information" listed in Guideline #9, we shall ensure that the disclosure of information about or the direct participation of every individual is voluntary, with no coercion of any kind applied, including the right to allow only partial disclosure or not to participate in any part of the evaluation and to cease participating at any time.
5 Confidentiality	We shall ensure that "raw data" (i.e. information as collected from and about participants) are treated confidentially and shared only with authorized members of our evaluation team, who have undertaken to respect the confidentiality of the data. This information may be used by future evaluation teams under these same conditions.
6 Anonymity	Categories of respondents (e.g. teachers, female students) may be identified in the evaluation report or other media; however, we shall protect by all reasonable and appropriate means the identity of any individual participant in any such report or other media, unless that person has explicitly consented in writing to be identified.
7 Informed Consent	Except for the "routine information" listed in Guideline #9, we shall obtain written consent from each participant in advance of the data collection, having first informed him or her: a) about the evaluation (as per Guideline #3) b) about the type of participation requested c) that participation is voluntary, including the right to withdraw at any time d) that all information received shall be treated confidentially

4. The Statement of Ethics has been adapted, with permission, from Smith, 2000, pp. 198-201.

8 Special Cases	In the case of a minor, we shall ensure that the written consent of a parent or legal guardian (as per Guideline #7) shall be obtained. Moreover, consent shall also be sought from the participant unless he or she is too young to understand. In the case of any other person incapable of giving informed consent, we shall ensure that the written consent of a parent or legal guardian (as per Guideline #7) shall be obtained.
9 Routine Information	Consent shall not be requested to collect or use the following types of information: a) written, verbal or observational data <u>about staff</u> (e.g. qualifications and experience) or <u>about students</u> (e.g. test results) that do not identify the participant or permit him or her to be identified b) data <u>from current students</u> about academic work or school/community activities (e.g. student rating of classroom teaching) c) job-related data <u>from current staff</u> (e.g. feedback on school organization) However, the principles of confidentiality and anonymity stipulated above (as per Guidelines # 5 and 6) shall be respected concerning the use of these data.
10 Data Analysis and Reportings	We undertake that the analysis and reporting of data shall be conducted ethically and honestly so as to produce fair and accurate findings about the school, and that the data shall only be used for the purposes described in Guideline #1.
11 Conservation of Data	The evaluation team leader shall be responsible for ensuring that the raw data and other materials from the evaluation shall be conserved for a minimum of two years; the confidentiality provisions of Guideline #6 apply to all data so conserved.
12 Commitment	The commitments made in this Statement of Ethics are known and have been agreed to by the [name of CLC], its partners, staff and associates who are likewise bound by these guidelines.

Name*	Signature	Date

* Person authorized on behalf of the CLC.

- Review each one of the suggested guidelines to ensure that everyone involved has a common understanding of the guideline.
- Then decide whether to accept each guideline (1 to #11) as drafted, revise it, if your circumstances require something different, or, in exceptional circumstances, reject it altogether.
- Add any further guidelines you believe are required.
- The final guideline (#12 above) is essential; without this commitment, the Statement of Ethics is meaningless.

***Note.* –** These guidelines are only intended to cover the evaluation being conducted by the CLC for its own purposes. If any of the data are to be used, *even in part*, for other purposes (e.g. an individual staff member's own research agenda for a university course), then separate or additional guidelines will be required.

■ Insert the completed template in your **Workbook** ( ).

Auditing The Evaluation

This template, which comprises eight segments, can be used to conduct the audit of the evaluation, using the guidelines that follow (p. **45**).

Focus	A. Parameters of the Evaluation (Step 1)
Guiding Questions	• Do the purpose and scope of the evaluation appear to be appropriate, given the mission of the CLC and its context, as well as the range of its activities and intended results? • Do the other parameters governing the evaluation, notably the ethical standards to be followed, provide a trustworthy basis for the evaluation?
Evidence	• The Boundaries of the CLC • Partnership Agreement • Action Plan • Statement of Ethics and consent forms
Audit Notes	
Follow-Up	

Focus	B. Objects to Be Evaluated (Step 2)
Guiding Questions	• Do the objects chosen to be evaluated reflect the purpose and scope of the evaluation established in Step 1? • Are any outcomes that could be evaluated included; if not, is there a reasonable explanation for their exclusion? • Are all current activities included; if not, does the selection of activities appear to be reasonable? • Are the outputs included for all current activities selected? • Does the selection of the operational performance of selected activities appear to be reasonable? • Overall, do the objects chosen to be evaluated provide a trustworthy reflection of the performance of the CLC?
Evidence	• Evaluation Grid • Evidence from Step 1
Audit Notes	
Follow-Up	

Focus	C. Performance Standards (Step 3)
Guiding Questions	• Were appropriate performance standards developed for each object to be evaluated? • Does each standard have appropriate and explicit criteria by which it can be judged? • Were any benchmarks used; if so, do they seem appropriate? • Were any performance targets used; if so, do they seem appropriate? • Overall, do the standards selected provide a trustworthy reflection of the performance of the CLC in relation to the objects of the evaluation?
Evidence	• Evaluation Grid • Evidence from Step 2
Audit Notes	
Follow-Up	

Focus	D. Performance Indicators (Step 4)
Guiding Questions	• Were appropriate performance indicators developed for each object to be evaluated, given the standards set for each? • Does each indicator provide a valid and dependable measure of the object to which it relates? • Overall, do the indicators selected provide a trustworthy measure of the performance of the CLC in relation to the objects of the evaluation?
Evidence	• Evaluation Grid • Evidence from Step 3
Audit Notes	
Follow-Up	

Focus	E. Sources of Data (Step 5)
Guiding Questions	• Do the sources of data chosen provide a trustworthy basis for producing the indicators examined in Step 4? • Was any sampling done; if so, were the methods used consistent with generally accepted practices in this regard? • Overall, do the sources of data chosen provide a trustworthy basis for the evaluation?
Evidence	• Evaluation Grid • Statement of Ethics and consent forms • Methodological notes • Evidence from Step 4
Audit Notes	
Follow-Up	

Focus	F. Data Collection (Step 6)
Guiding Questions	• Can each of the instruments used for data collection be considered valid and dependable means to collect the data envisaged? • Was the actual collection of data conducted in accordance with generally accepted practices in this regard, including all applicable ethical standards? • Do the data actually collected reflect the data envisaged in accordance with generally accepted practices in this regard, including response rates versus sample and target populations? • Overall, do the data actually collected provide a trustworthy basis for the evaluation?
Evidence	• Data collection instruments • Methodological notes • Evidence from Step 5
Audit Notes	
Follow-Up	

Focus	G. Data Analysis (Step 7)
Guiding Questions	• Have the raw data (both quantitative and qualitative) been processed in accordance with generally accepted practices in this regard? • Do any data summaries (both quantitative and qualitative) reflect the data they are meant to represent in accordance with generally accepted practices in this regard? • Are the methods, including any instruments used, for the analysis of data consistent with generally accepted practices in this regard? • Overall, does the data analysis present a fair and balanced interpretation of the data? • Overall, does the data analysis provide a trustworthy basis for the evaluation?
Evidence	• Methodological notes • Data tables • Evidence from Step 6
Audit Notes	
Follow-Up	

Focus	H. Evaluation Report (Step 8)
Guiding Questions	• Do the findings flow from the data analysis (Step 7)? • Do the conclusions flow from the findings? • Do the recommendations flow from the conclusions? • Overall, does the evaluation report present a fair and balanced account of the evaluation? • Overall, is the evaluation trustworthy?
Evidence	• Evaluation report • Evidence from Step 7
Audit Notes	
Follow-Up	

Parts A to H

- As announced in Step 3.4, the audit can be done either at the end of the evaluation process by an external auditor or by the evaluation team at the eight points designated throughout the Guidebook by the Audit Step "flag."
- The template is divided into eight segments, one for each step on the ***audit trail*** (see text box):

  A. Parameters of the Evaluation (**Step 1**)
  B. Objects to Be Evaluated (**Step 2**)
  C. Performance Standards (**Step 3**)
  D. Performance Indicators (**Step 4**)
  E. Sources of Data (**Step 5**)
  F. Data Collection (**Step 6**)
  G. Data Analysis (**Step 7**)
  H. Evaluation Report (**Step 8**)

> **Audit trail:** a documentary record of the evaluation process, including its data, procedures and findings.

- Each segment begins with one or more **Guiding Questions** to be answered by the audit.
- The next row indicates the type of **evidence** that the auditor should expect to find in order to answer the questions posed.
- ***Note***. The evidence does not include any material from the Confidential File. However, if the auditor has reason to suspect serious breaches of evaluation ethics, then, as an associate team member, he or she should be given access to the Confidential File (⌦ See **Statement of Ethics**, Guideline #5, in your **Workbook**) in order to enable the audit to be completed.
- As presented in the template, the audit trail stops at the Evaluation Report and does not presume that the auditor will look at every communication issued. However, the auditor's report should be made public and it, together with the Evaluation Report, should provide the means for anyone to verify the trustworthiness of any of these other products. (Moreover, there is nothing to prevent the audit from examining any such material.)

- The guiding questions and the expected sources of evidence are used to conduct the audit, beginning with Audit Step #1 and working through to Step #8.
- The third row provides space for all **audit notes** to record findings, comments and the actions to remedy any problems or queries raised.
- The final row, **Follow-Up**, is to record any responses to auditor comments or queries and to briefly indicate any remedial actions taken or explain why such actions were not taken.
- Insert the completed template in your **Workbook** ( ).

Once the audit is complete, there may be a number of issues with which you must deal, including revisions to the Evaluation Report, which should not be finalized nor made public until the audit has been completed and any necessary remedial action taken.

Evaluation Boundaries

This template can be used to confirm or revise the purpose and scope of the evaluation of the CLC.

Element	As stated by the Framework	As revised (if applicable)
Purpose	This evaluation is meant to serve the dual purpose of accountability to the stakeholders of the CLC and improvement of its performance.	
Outputs	The immediate outputs of the evaluation are the evaluation reports and other forms of communication to stakeholders.	
Outcomes	The outcomes of the evaluation are enhanced organizational capacity and performance.	
Scope	The scope of the evaluation shall be limited to a manageable set of evaluation questions concerned with key areas of performance.	
Performance	Performance is defined as the extent to which the CLC *operates* and *achieves results* in accordance with the expectations of stakeholders.	
Operational Performance (Conduct and Efficiency)	The evaluation of operational performance focuses on the conduct of activities to build capacity and deliver services, more specifically, the extent to which they have been carried out in accordance with our expectations, as well as the efficiency of this process, that is, how well resources have been allocated and managed.	
Results-Based Performance (Effectiveness)	The evaluation of results-based performance focuses on the effectiveness of the CLC: the extent to which short-term results and, *as far as possible*, the progress toward medium-term results have been achieved.	

- This template comprises the following elements to define the boundaries of the evaluation:
  - a general statement purpose
  - the intended outputs of the evaluation
  - the intended outcomes of the evaluation
  - an expression of the scope foreseen for the evaluation
  - the definition of performance used for the evaluation
  - the definition of operational performance used for the evaluation
  - the definition of results-based performance used for the evaluation
- If you decide to adopt the boundaries of the evaluation as summarized in this template, then no action is required; the template will serve to confirm this decision for the record.
- If, on the other hand, you decide to adapt or revise the purpose and scope of the evaluation, then this template provides a means for recording this decision.
- Add additional rows as required for any elements not provided for in the template but which you feel are necessary to delimit the boundaries of the evaluation.
- Insert the completed template in your **Workbook** ( ).

Evaluation Work Plan

This template, which comprises two segments, can be used to plan the evaluation.

- As with the other work plans, it should not be cast in stone but revised as required.

A. Tasks and Responsibilities				
Steps	**Tasks**	**Days**	**Responsible**	**Key Dates**
3.4 (Plan)				
5.1 (Data Collection)				
5.2 (Data Analysis)				
5.3 (Reporting)				

B. Evaluation Resources								
Activities	**Personnel**					**Other Costs**		**Total**
	Professional		**Technical**		**...**	**Printing**	**...**	
	Days	**Amt**	**Days**	**Amt**	**...**			
Step 3.4		$		$		$	$	$
Step 5.1		$		$		$	$	$
Step 5.2		$		$		$	$	$
Step 5.3		$		$		$	$	$
Grand Total		$		$		$	$	$

Part A

- The first column of Part A divides the Work Plan into four main stages of the evaluation process:
  - Step 3.4, Planning
  - Step 5.1, Data Collection
  - Step 5.2, Data Analysis
  - Step 5.3, Reporting to Stakeholders
- In the second column, specify the list of **Tasks** to be undertaken in relation to each of the four main stages, using separate rows for distinct tasks (insert more rows as required), and keeping the list in chronological order.
- In the following columns, record the number of person **Days** foreseen for this task, the person(s) **Responsible** for the task, and any **Key Dates**, including time span and deadline.

> ☆ Since almost all your costs will be for personnel, this estimate drives the budget. Too high an estimate will inflate your budget, while too low an estimate may leave you short of sufficient resources to do the job.

Part B

- For each main step listed in Part B, determine the number of days of each type of personnel required (insert columns for as many types as you need), based on your *best estimate* of the time for the tasks they will perform.☆
- Then, in the adjacent column, record the cost for these days (number of days x daily rate). (If your human resources have been contributed by a partner, it may not be feasible to complete this costing.)
- Finally, add any non-salary costs for different types of expenditures (insert columns for as many types as you need), and compute the grand total in the final column.
- Insert the completed template in your **Workbook** ( ).

Evaluation Grid

This template can be used to determine the **objects** to be evaluated for each separate activity being considered, followed by the **standards**, **indicators** and **sources and methods** used to evaluate them.

Activity:			
Objects	**Standards**	**Indicators**	**Sources and Methods**
Outcomes:			
•	•	•	•
Outputs:			
•	•	•	•
Conduct:			
•	•	•	•
Efficiency:			
•	•	•	•

Activity:			
Objects	**Standards**	**Indicators**	**Sources and Methods**
Outcomes:			
•	•	•	•
Outputs:			
•	•	•	•
Conduct:			
•	•	•	•
Efficiency:			
•	•	•	•

Activities

- In the first row, list the **code** and **title** of each activity to be evaluated, using a separate box for each activity
  - Ideally, all CLC activities set forth in the current Action Plan should be included (⌦ See **Service Activities** and **Capacity-Building Activities** in your **Workbook**). However, in a well-established CLC with a great many activities, some selection may be required in order to keep the evaluation manageable.
  - The activities selected may include some from a previous action plan whose outcomes are being evaluated (see below).
  - Complete the box for each activity as described below.

Arguably, the most important aspect of this exercise over time (and the one most likely to be neglected) is the evaluation of intended **outcomes**. The evaluation of **impact** is also important; however, this is a more difficult task, one that this Framework assumes will be dealt with by other specialized evaluations.

Objects

- For each activity, in the first column, record any anticipated **outcomes** to be evaluated.
  - Outcomes can only be evaluated once sufficient time has passed to allow the achievement of or at least progress toward this level of results to be ascertained. Thus, in a new CLC, no evaluation of outcomes is likely to be possible. However, in subsequent years, the outcomes from activities conducted in previous years can and should be evaluated.
- Continuing down in the first column, record all anticipated **outputs** of each current activity.
- In the next space, record those aspects of the **conduct** of the current activity to be evaluated (see examples in Guidebook). To keep the evaluation manageable, some selection will be necessary here.
- In the next space, record any aspects of the **efficiency** of each current activity to be evaluated (see example in Guidebook). Again, selectivity will be required.

Performance Standards

- In the second column, record the **standards** to be used for each of the objects listed in the first column (including any **targets** or **benchmarks**), as explained below.
- Ask members of the evaluation team to consider each object, asking themselves:
  - What level of performance do we expect for this object? (**Standard**)
  - How can we determine if this standard is being met? (**Criteria**)
  - Are there appropriate **benchmarks** we can use to ground this standard?
  - What separate performance **targets**, if any, are appropriate?
- Review suggestions by asking:
  - How will this standard, and any benchmarks or targets used, resonate with stakeholders?
  - What is the basis for the criteria, that is, will they be deemed reasonable by stakeholders?
  - Is the standard, using these criteria, realistic, observable and measurable?
- Record the results of this discussion, namely the standard and criteria (and any benchmarks or targets) that will be used to determine the level of performance, in the space provided.

Indicators

- In the third column, list the **indicator(s)** to be used to measure performance of each object to be evaluated (column 1), taking into account the standards set for that object (column 2).
- The following provides six characteristics of a suitable indicator to help make your choice:
  - **valid**: measures what it claims to measure
  - **feasible**: is relatively easy to produce

- **user-friendly**: simple, clear and easy to understand
- **reliable**: given identical conditions, produces the same results
- **comparable**: where possible, permits comparisons[5]

Sources and Methods

- In the final column, for each indicator selected, briefly describe the **sources and methods** to be used to collect and analyze data in order to produce each indicator selected.
  - It is understood that the information provided in the last column is **tentative** and will change once Step 5.1 has been undertaken. At that point, some sources of data may be found to be unavailable; some instruments may be too difficult to construct and some methods of data collection may prove to be too cumbersome. It is possible that the indicators may have to be revised as well.
- Insert the completed template in your **Workbook** ( ).

3.5 Complete Action Plan

Guidebook, p. 64

Harmonizing Strategic Planning

This template, which comprises three segments, can be used to review the potential impact of the CLC Action Plan on the annual plan of each partner, using the guidelines provided below.

A. Annual Plan of [Name of Partner]	
Review Questions	**Comments**
Are the actions of the proposed CLC action plan compatible with the measures outlined in the organization's annual plan?	
Do any aspects of the CLC evaluation plan conflict with or otherwise affect the present evaluation elements included in the organization's annual plan?	
...	

5. Secrétariat du Conseil du trésor, 2003, pp. 12-13.

B. Review of Partner Input	
Review Questions	**Comments (from Part A), Implications and Options**
Actions	
Evaluation	
...	

C. Resolution		
Object	**Decisions**	**Actions to Be Taken**
Partner Plans:		
Partner ..., [name]		
Partner ..., [name]		
CLC Action Plan		

Part A

- Part A can be used by each partner individually to review the emerging CLC Action Plan in light of its own annual plan.
- The guiding questions are intended to act as a springboard for discussion; add other rows (...) for any other questions that group members feel would be helpful in conducting this review.

Part B

- Part B can then be used to engage the group in an open discussion to review the input from each partner and tease out the implications for both individual partners and the CLC, as well as options for dealing with these implications.

Part C

- Part C is then used to record any **decisions** that need to be made with respect to the annual plan of individual partners, the CLC Action Plan or both, as well as the **actions** that must be taken in this regard by different partners (what, by whom and when).
- Insert the completed template in your **Workbook** ( ).

The Action Plan

This template can be used to complete the Action Plan, using the guidelines provided.

> This template has no set format, as you complete each section by pasting the completed template from a previous section of the Workbook, or by combining material from two or three previous sections, as described below.

Intended Results

Activities

Monitoring

Evaluation

Work Plan

Resources

Intended Results

- ⌦ See **Statement of Intended Results** in your **Workbook** (Step 3.1).

Activities

- ⌦ See **Service Activities** in your **Workbook** (Step 3.2).
- ⌦ See **Capacity-Building Activities** in your **Workbook** (Step 3.3).
    - These two sections can either be pasted one after the other or integrated to show the relationship between capacity-building and service activities.

Monitoring

- ⌦ See **Monitoring Service Delivery** in your **Workbook** (Step 3.2).
- ⌦ See **Monitoring Service Delivery** in your **Workbook** (Step 3.3).
    - These two sections should either be pasted one after the other or integrated, in accordance with how activities were presented in the previous section.

Evaluation

- ⌦ See **Statement of Ethics** in your **Workbook** (Step 3.4).
- ⌦ See **Boundaries of the Evaluation** in your **Workbook** (Step 3.4).
- ⌦ See **Evaluation Grid** in your **Workbook** (Step 3.4).
    - These three sections should be pasted one after the other.

Work Plan

- ⌦ See **Service Activities Work Plan** in your **Workbook** (Step 3.2).
- ⌦ See **Capacity-Building Activities Work Plan** in your **Workbook** (Step 3.3).
- ⌦ See **Evaluation Work Plan** in your **Workbook** (Step 3.4).
    - These three sections should be integrated, following a chronological sequence.

Resources

- ⌦ See **Service Resources** in your **Workbook** (Step 3.2).
- ⌦ See **Capacity-Building Resources** in your **Workbook** (Step 3.3).
- ⌦ See **Evaluation Resources** in your **Workbook** (Step 3.4).
    - These three sections should be pasted one after the other.

- Review each section and the Action Plan as a whole, checking for clarity, comprehensiveness and logical flow from one section to the next.
- Make any further changes required or deemed advisable from the approval process, as this version becomes the ***approved* Action Plan**.
- However, as with the work plans, it should not be cast in stone but revised as required. In particular, the Evaluation Grid is likely to be revised in Step 5.1.
- Insert the completed template in your **Workbook** ().

4 IMPLEMENT

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

Guidebook, p. 67

4.1 Allocate Resources and Begin Service Delivery

(There are no templates for this step.)

Guidebook, p. 68

4.2 Allocate Resources and Conduct Capacity Building

(There are no templates for this step.)

Guidebook, p. 69

4.3 Monitor Service Delivery and Capacity Building

(There are no templates for this step.)

5 EVALUATE

1 Explore	→	2 Initiate	→	3 Plan	→	4 Implement	→	5 Evaluate

Guidebook, p. 72

5.1 Collect the Data

Creating a Sample

This template can be used to design either a representative (Part A) or a purposive sample (Part B) of one or more target populations, using the guidelines for each segment of this template (shown separately).

A. Representative Sample			
Target Population		**Sample**	
Group	**Number**	**Number**	**Percent**
Students			
Teachers			
Parents			
Community members			
...			

B. Purposive Sample			
Group	**Purpose**	**Criteria**	**Number**
Students			
Teachers			
Parents			
Community members			
...			

For any given target population, ask yourself: Do I want the sample to be representative of this population?

- **If yes**, use Part A, Representative Sample, to determine the approximate number of the target population for each separate group of respondents, adding extra rows as required.
- **If no**, use Part B, Purposive Sample.

Part A

- Determine the sample size for each group, using the following table as a guide.[6]

DETERMINING SAMPLE SIZE

Target Population	Level of Tolerable Error			
	5%	4%	3%	2%
100	79	85	91	96
500	217	272	340	413
1 000	277	375	517	705

Note. – Sample sizes are based on a 95% "level of confidence" at four "levels of error"; see note[7] below.

Part B

- After determining the purpose of this sample, ask yourself the following:
  - What purposive technique would be appropriate?
  - What criteria will you use to construct the sample?
  - What number of respondents are to be included?
- Insert the completed template in your **Workbook** ( ).

6. Anderson, 1990, p. 202.
7. The statistical accuracy of sample results is measured in "levels of confidence" and "percentage of error." A 95% level of confidence and a 5% percentage of error means that the sample will be like the total population 95% of the time and the sample data are thought to be accurate 19 times out of 20.

Sample Consent Forms

This template can be used to develop your own forms to obtain the consent of participants.[8]

PARENTAL CONSENT LETTER

Dear Students and Parent or Guardian:

By now, we hope you have heard about [name of CLC] which is completing its first year of operation. Briefly, our CLC was formed [include a brief statement about the CLC and its partners].

This letter is to inform you that we are conducting an evaluation of the centre's performance in relation to various matters that we think are important for us.

The purpose of our study is to collect, analyze and communicate information about the centre to staff, students, parents and the community, and to use this information for developing action plans for the future. Data will be gathered from documents and records as well as from other sources such as questionnaires completed by students, teachers and parents.

We are presently organizing a public forum to focus on teaching and learning in our centre, including a panel of students, and open to members of the school community and the media. Panel members will be asked to give their opinions on their experience in this school in relation to the topic and to participate in an exchange with fellow panellists, moderated by a member of the evaluation team. The moderator will provide for a brief time for questions from the audience which students will be invited to answer if they wish.

We hereby request your agreement to allow your child to participate as a member of this panel, in accordance with the attached Declaration of Consent form.

We appreciate your co-operation and ask students and parents of students who are under 18 years of age to please sign the attached consent form and return it to the centre by [**date**]. If you have any questions, please phone me at [telephone number].

Yours very truly,

[Name]

[Title]

[Name of CLC]

- There is no "set form" for a consent letter, which must be tailored to match the circumstances of each case, taking into account:
  - the nature of the participation being requested
  - the participant group
  - any special circumstances

8. The sample consent forms have been adapted with permission from Smith, 2000, pp. 201-202.

- In all cases, the letter should be short but enable the participant to make an informed decision, by providing:
  - the purpose of the evaluation
  - a clear statement of what consent is being requested
  - any conditions that apply
  - a date by which the form should be signed and returned

DECLARATION OF CONSENT

________________ ____________________

Name of Student Name of Parent or Guardian

I am a parent or guardian of the student named above. I understand that the [name of CLC] is conducting an evaluation of its performance. I have read and understood the covering letter and [if applicable] information flyer which was attached to this form.

I consent to my son, daughter or ward participating as a panellist in a public forum on teaching and learning, to be held at [time, date and place]. This consent is given on the understanding that:

- participation is voluntary and this consent may be withdrawn at any time
- the forum will be audio taped by the centre, but these tapes and the notes taken by team members will be treated confidentially
- he or she will not be identified in any report

__________________________ ________________

Signature of Student Date

[ ] Please check here if you are 18 years of age or older.

________________________________ ________________

Signature of Parent or Guardian (For students under 18 years of age) Date

I give my assurance that the information I receive will be used only for the purposes of the study, according to the terms and conditions described to you.

_______________________ _______________

Signature of CLC representative Date

- Again, there is no set content or format for a consent form, which must be tailored to match the circumstances of each case, taking into account the same factors presented above for a consent letter.

- In all cases, the consent form should:
  - identify the participant
  - clearly state what is being consented
  - provide a place for the participant to sign and date the form
  - include the signed statement of the person given the responsibility to assure that the conditions stated in the letter will be respected
- Insert your completed consent letters and forms in your **Workbook** ( ).

Sample Instruments

This template can be used to develop your own instruments to collect data using one or more of the methods described above.

- This template consists of several segments, shown separately below, each of which is part of a mock instrument for the "Thousand Hills CLC" whose general instructions are shown below.

Thousand Hills CLC–Evaluating Our Performance What Stakeholders Say	
General Instructions	• The purpose of this instrument is to gather information about how well our centre is doing in relation to various topics. • There are no right or wrong answers and if you do not feel you can answer any particular question, please just check **N** for "no opinion." • Please do not write your name anywhere on this questionnaire so that your answers will be completely anonymous.

- Any instrument begins by identifying its **origin** (i.e. CLC evaluation) and **name**, which should be done in a standard format when several different instruments are used.
- Including **general instructions** at the beginning avoids needless repetition when the instrument contains several separate sections.

Background Data							
Name of Organization							
Respondent Role	[ ] Student	[ ] Teacher	[ ] Parent	[ ]	[ ]		
	[ ]	[ ]	[ ]	[ ] Other:			
Grade (Students only)	[ ] K	[ ] 1	[ ] 2	[ ] 3	[ ] 4	[ ] 5	[ ] 6
			[ ] SI	[ ] SII	[ ] SIII	[ ] SIV	[ ] SV
Gender	[ ] Male	[ ] Female					

■ A <u>minimum</u> of **background information** is always required (again in standard format), but avoid asking for unnecessary data.

Teaching and Learning						
Below you will find a series of statements. For example: *My school has a friendly atmosphere*. We would like you to tell us how much each one reflects your experience at school by placing a check mark (✓) in the box under the appropriate number in the space provided, using this scale: 1 = Strongly Disagree 2 = Disagree 3 = Agree 4 = Strongly Agree N = No Opinion						
#	**Statement**	**Rating**				
		1	**2**	**3**	**4**	**N**
1	My school is challenging me to do my best.					
2	This school makes me feel that I belong here.					
3	My school is helping me to develop a curiosity for learning.					
4	My school is helping me to develop the ability to learn on my own.					
5	My school is helping me to learn to get along with others.					

Example

Student	My school is challenging me to do my best.
Teacher	Students are challenged to do their best.
Parent	The school is challenging my child to do his/her best.

■ This example, Teaching and Learning, typifies a likert-style **questionnaire** seeking opinions from stakeholders (in this case from students).

■ Parallel questionnaires can be designed to solicit the same information from others (e.g. teachers and parents) by changing the wording for each statement (see example in text box).

Parental Involvement						
Please check (✓) how often you participate in the activities listed below respecting the education of your child, using this scale: 1 = Never 2 = Rarely 3 = Occasionally 4 =Frequently N = No Opinion.						
#	**Statement**	**Rating**				
		1	**2**	**3**	**4**	**N**
1	Assisting your child in doing homework					
2	Checking that homework is completed					
3	Responding to teacher communiqués					
4	Attending parent/teacher interviews					
5	Reviewing progress reports with your child					

■ This example, Parental Involvement, illustrates a **checklist** to determine, for example, the frequency with which certain activities occur (in this case parents rating their involvement with their child's education).

School Facilities												
Please check (✓) the rating that best reflects the general condition of your school building, using this scale: 1 = Very Poor 2 = Inferior 3 = Standard 4 = Superior N = No Opinion.												
#	**Location**	**Cleanliness**					**#**	**Maintenance**				
		1	**2**	**3**	**4**	**N**		**1**	**2**	**3**	**4**	**N**
1	Classrooms						11					
2	Hallways						12					
3	Washrooms						13					
4	Gym						14					
5	Library						15					
6	Entrance						16					
7	Staff Room						17					
8	Office						18					
9	Cafeteria						19					
10	Grounds						20					

- This example, School Facilities, shows a **rating scale** used to see how stakeholders rate a given matter (in this case, the cleanliness and maintenance of the school).

<table>
<tr><th colspan="3">Voices from the Community</th></tr>
<tr><td>Start-Up
(10 min.)</td><td colspan="2">• [Intro] Good evening, my name is ... I have been asked by the Thousand Hills CLC to moderate this focus group. My colleague, ..., is going to record our discussion and keep notes. More about this role in a minute, but first let me explain why we are here.
• [Purpose] All of you recently attended a program for community volunteers offered by the CLC. Some of you completed the program and others did not. As part of an evaluation of the CLC, we would like you to help us identify the strengths and weaknesses of this program; how well it met your needs and what you think might improve it. Before we begin, let me briefly go over the “ground rules” for this session.
• [Ground rules] Although we are recording this session, all material gathered here will be kept confidential. First names only will be used in the discussion and you will not be identified in any report. I will do my best to see that everyone has a chance to contribute so, because our time is restricted, some of you may be asked to limit your comments. Finally, rest assured that this session is not a “feel good” exercise: we want to know what you really think and all constructive feedback is welcome.
• [Participant intro] Let's go quickly around the table so you can each introduce yourself—just your first name and a brief word about yourself.</td></tr>
<tr><td rowspan="6">Discussion
(90 min.)</td><td>Guiding Questions</td><td>Probes*</td></tr>
<tr><td>• Why did you sign up for this program?</td><td>• Identification of different motivations, individual circumstances</td></tr>
<tr><td>• Can you briefly describe your experience in this program: what was it like for you?</td><td>• Different aspects of the program; delivery, materials; interactions with instructor and peers</td></tr>
<tr><td>• Can you briefly explain why the program met or did not meet your expectations?</td><td>• Any mismatch between individual and program expectations; reasons for dropping out (personal versus program)</td></tr>
<tr><td>• What would you say were the major strengths and weaknesses of the program?</td><td>• Search for any patterns relating to participants or program; how weaknesses could be improved</td></tr>
<tr><td>• Have you had a chance to make use of what you learned?</td><td>• Strength of linkages between program and anticipated outcomes; how program helped or did not help in real-life situation</td></tr>
<tr><td>Wrap-Up
(20 min.)</td><td colspan="2">• In closing, is there anything that anyone would like to add? Thank you for your cooperation and input; it has been very helpful. We are planning to complete our report by [date] which will be available on our Web site: ...</td></tr>
</table>

* Probes necessarily include follow-up on unexpected input from the general discussion.

- This example, Voices from the Community, illustrates a **focus group protocol**.
- Insert your completed instruments in your **Workbook** ( ).

5.2 Analyze the Data

Guidebook, p. 82

Quantitative Data Analysis

This template can be used to design the data file structure and various displays of quantitative data, and then to analyze these data.

- The samples in this template (shown separately below) use the responses of three stakeholder groups—students (1), teachers (2) and parents (3)—to a questionnaire using a 4-point Likert scale.

1 = Strongly Disagree
2 = Disagree
3 = Agree
4 = Strongly Agree
S = No Opinion

SAMPLE DATA FILE STRUCTURE

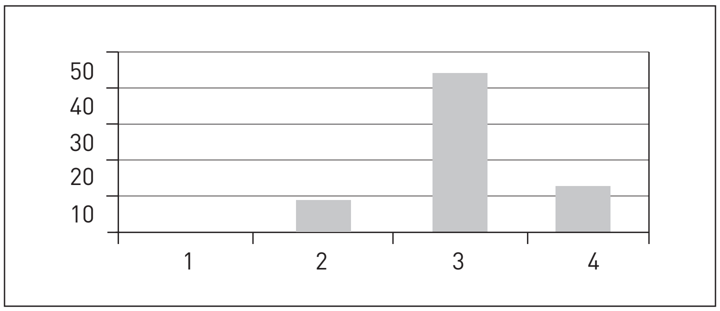
Res	B1	B2	Q1	Q2	Q3	Q4	Q5
1	1	1	3	3	3		3
2	1	1	3	3			3
3	1	1	3	3		3	3
4	1	1	3	3		3	4
5	1	2	3	4	3	4	2
6	2	2	2	3	3	4	2
7	2	1	3	2	3	3	2
8	2	2	3	3	3	4	3
9	2	1	3	3		3	2
10	2	2	3	3	3	3	3
11	3	2	4	4	4	4	3
12	3	2	4	3	4		3
13	3	2	4	4	3		3
14	3	2	2	3	3	3	3
15	3	2	3	3	2	3	2

- This display shows a **sample data file** structure for 15 respondents (**Res**), two background questions: **B1**–respondent type (1, 2 or 3) and **B2**–gender (1=male; 2=female), and five items from the questionnaire (**Q1** to **Q5**). Each cell displays the respondent's answer to one question (1, 2, 3 or 4); blank cells signify "no response."

FREQUENCY DISTRIBUTION OF RESPONSES BY ITEM

Item	Response Categories				Total
	1	2	3	4	
Q1	0	2	10	3	15
Q2	0	1	11	3	15
Q3	0	1	8	2	11
Q4	0	0	7	4	11
Q5	0	5	9	1	15
Total	0	9	45	13	67

FREQUENCY DISTRIBUTION OF ALL RESPONSES COMBINED



PERCENTAGE DISTRIBUTION OF RESPONSES BY ITEM

Item	Response Categories				Total
	1	2	3	4	
Q1	0%	13%	67%	20%	100%
Q2	0%	7%	73%	20%	100%
Q3	0%	9%	73%	18%	100%
Q4	0%	0%	64%	36%	100%
Q5	0%	33%	60%	7%	100%
Total	0%	13%	67%	19%	100%

- These three displays present the **frequency of responses**:
  - First, a matrix displays the frequency of responses for all five items in each of the four response categories.
  - Then the total number of responses for all items by category is shown in graphic form.
  - Third, a matrix displays the percentage of responses for all five items in each of the four response categories.

DISTRIBUTION OF MEAN RESPONSES

Item	Respondent Groups			All
	Students	Teachers	Parents	
1	3.00	2.80	3.40	3.07
2	3.20	2.80	3.40	3.13
3	3.00	3.00	3.20	3.09
4	3.33	3.40	3.33	3.36
5	3.00	2.40	2.80	2.73

- The above display shows the distribution of **mean responses** for each group of respondents for all five items, as well as the mean response for all respondents combined.

DATA COLLECTION POPULATION, SAMPLE AND RESPONSES

Respondents	Number			Percent
	Total	Sample	Response	
Students	589	589	423	72%
Teachers	32	32	21	65%
Parents	500	500	381	76%
Total	1 121	1 121	825	74%

- This final display shows a tabulation of the **target population, sample and responses** for different groups from which the above sample was taken.

Qualitative Data Analysis

This template can be used to design the data file structure and various displays of qualitative data, and then to analyze these data.

SAMPLE QUALITATIVE DATA FILE STRUCTURE

N	Q#	Response
1	1	
1	2	
1	3	
2	1	
2	2	
2	3	
3	1	
3	2	
3	3	

- This display shows an example of how open-ended responses from each respondent (**N**) to three items (**Q#**) on a questionnaire could be stored.

DATA SORTED BY ITEM

N	Q#	Response
1	1	
2	1	
3	1	
1	2	
2	2	
3	2	
1	3	
2	3	
3	3	

- This display shows the same data sorted by item number.

RECORDING INTERVIEW DATA

Respondent ID: Background characteristics:
Questions and Answers
Question 1: ... Response **Question 2**: ... Response
OR
Verbatim Transcript
Int.: ... **Res: ...** **Int.: ...** **Res: ...**

- This display shows two alternative means for recording interview data:
  - In the first, the responses are noted to each question posed.
  - In the second, a verbatim transcript of the exchange is recorded between the interviewer (**Int**) and the respondent (**Res**).

CODING AND SORTING QUALITATIVE DATA

N	B1	. . .	B5	Q#	Des	Inf	Summary
1				1	Lib	Pos	
2				1	Lib	Pos	
1				1	Lib	Neg	
3				1	Lib	Neg	
1				1	Com	Pos	
2				1	Com	Pos	
2				1	Com	Neg	

- The above display is intended for data on facilities that have been:
  - coded, with a descriptive code (**Des**) for each type of facility (Lib = library; Com = computers), and
  - coded with an inferential code (**Inf**) for type of comments (Pos = positive; Neg = negative), then
  - sorted by item, descriptive and inferential codes (Q# + Des + Inf)
- **Summary** provides a field to summarize the data.

SAMPLE DISPLAY OF CODED QUALITATIVE DATA

Descriptive Categories	**Respondent Opinions**	
	Positive	Negative
Library	• . . . • . . . • . . .	• . . . • . . . • . . .
Computer Lab	• . . . • . . . • . . .	• . . . • . . . • . . .

- This final display illustrates a data matrix that could be used to depict positive and negative comments about the library and the computer lab.

Guidebook, p. 95

5.3 Report to Stakeholders

Evaluation Checklist

This template can be used to assemble the pieces of the evaluation.

Points to Be Reviewed	Check	Comments
• A complete version of the evaluation plan, including any revisions made during the course of the evaluation		
• A complete work plan document, including any revisions made during the course of the evaluation		
• All of the raw data (completed questionnaires, interview notes, etc.) gathered and catalogued		
• Consent forms for all data for which consent was required		
• The synthesis of the data in usable form (tables, summaries of stakeholder comments, etc) gathered and catalogued		
• The results of the data analysis: findings, interpretations, any tentative conclusions and recommendations		
• A record of the process followed, with any issues for further investigation or action		

- Examine the points listed in the template and check (✓) if you have all the necessary information.
- If any information is missing, can you retrieve it or construct it? If not, what are the implications for the evaluation report?
- Insert the completed template in your **Workbook** ( ).

Reporting to Stakeholders

This template can be used to outline your reporting strategy, as described below.

Overview of Reporting Strategy:

[Name of report or communication strategy]	
Target Audience	
Purpose and Results	
Key Issues	
Content	
Format	
Author(s)	
Resources	
Time Line	

[Name of report or communication strategy]	
Target Audience	
Purpose and Results	
Key Issues	
Content	
Format	
Author(s)	
Resources	
Time Line	

- **Target audience:** list the primary target audience(s) of the report/strategy, as well as any secondary ones: students, school staff, parents, school district, public, ...
- **Purpose and results:** write a short statement of purpose for the report/strategy (why you are doing this) and any specific results you envisage (what you hope will be accomplished because of it)

- **Key issues:** list any key issues or concerns arising from the evaluation for the target audience(s) in question.
- **Content:** sketch out what the content of the report/strategy should include (this might include an abstract of the work and/or an outline).
- **Format:** specify all relevant characteristics of the format of the proposed report/strategy: medium (e.g. report, pamphlet, video, Web page); approximate length (pages or minutes); style of presentation (e.g. page size and layout, fonts, paragraph styles, use of bullets, graphics, etc.).
- **Author(s):** list the proposed author(s) of the report/strategy (if more than one, stipulate the lead author or division of responsibilities).
- **Resources:** include an approximation of the financial, human and other resources required to complete the report/strategy.
- **Time line:** specify when the report/strategy must be drafted, completed and distributed.
- Insert the completed template in your **Workbook** ( ).

NOTES

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Resource Kit

THE COMMUNITY LEARNING CENTRE

Workbook

for Individualized Planning

Holistically planned action for educational and community change

Workbook

Resource Kit:

THE COMMUNITY LEARNING CENTRE

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educational and community change

The Community Learning Centre

Holistically planned action for educational and community change

A series promoting educational success and the development of the Anglophone community in Québec.

The CLC Resource Kit: Workbook for Individualized Planning

Working Document (2007.09.25)

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Acknowledgment

The Coordinating Committee wishes to acknowledge the input from the CLC coordinators, whose feedback was very helpful in producing this edition.

Ministère de l'Éducation, du Loisir et du Sport
Community Learning Centres—Resource Kit

ISBN 978-2-550-60913-1 (print version)
(French edition: ISBN 978-2-550-59743-8)

Workbook (PDF)
ISBN 978-2-550-59748-3
(French edition: ISBN 978-2-550-59749-0)

Legal Deposit—Bibliothèque et Archives nationales du Québec, 2012
Legal Deposit—Library and Archives Canada, 2012

11-00179-A

SUMMARY

Lists the same steps and sub-steps found in the Framework, plus all the TEMPLATES used in each step.

TABLE OF CONTENTS

USING THIS WORKBOOK

In light of the importance of school-community collaboration, the Ministère de l'Éducation, du Loisir et du Sport du Québec (MELS) has supported the development of the ***CLC Framework for Action***. It outlines a series of steps that schools, vocational and adult training centres and community groups can use to create a CLC.

The Framework for Action

MELS then mandated LEARN to revise and publish the Framework, and to create other related materials. All LEARN publications supporting CLCs are available on the CLC Web site under the general series title, ***The CLC Resource Kit***.

In order to assist schools, centres and community groups to implement the Framework, LEARN produced the ***Guidebook for Implementing a Collaborative School-Community Partnership*** to provide *practical* and *user-friendly* suggestions as to how to achieve the purpose of and undertake the actions foreseen for each step.

Then LEARN produced a series of ***Templates***, which are contained in this ***Workbook for Individualized Planning***. Like the Guidebook, it has been written for those assuming a leadership role in coordinating each of the **Five Steps** in the Framework.

1 Explore	→	2 Initiate	→	3 Plan	→	4 Implement	→	5 Evaluate

This ***Workbook*** contains a facsimile of these **templates** that you can use to construct "instruments" for collecting data, measuring performance, etc., as well as "forms" for recording information (e.g. a work plan). It is provided in a **Word** version ( ); so that you can create your own instruments and forms adopting or adapting the templates as you see fit. Each main section of the Workbook corresponds to one of the five steps shown above.

Instructions for using the templates are found in ***Templates for Collaborative Action Planning*** (Revised Ed.), published in a **PDF** version ( ), signalled by a cross-reference ( ) in the right margin, as shown here. These instructions include credits for any source materials used to develop templates contained in this Workbook, with full bibliographic details provided in the Reference List.

Templates, p. 3

Templates

The following provides a list of templates as well as those found in the Workbook for each step of the Framework.

TEMPLATES	
1 EXPLORE	
1.1	Your Synthesis of Community Schools
1.2	Community Boundaries A Vision of Your CLC
1.3	Your Readiness Quotient (RQ)
2 INITIATE	
2.1	A Map of Community Needs and Assets
2.2	Partner Mission Statements Results Areas Guiding Principles Harmonizing Mission Statements Draft Mission Statement
2.3	Structuring Your CLC Assigning Roles and Responsibilities Allocating Resources
2.4	The Partnership Agreement
3 PLAN	
3.1	Points of Convergence Statement of Intended Results
3.2	Analyzing Proposed Services Service Activities Service Activities Work Plan Monitoring Service Delivery
3.3	Analyzing Capacity-Development Needs Capacity-Building Activities Capacity-Building Activities Work Plan Monitoring Capacity Building
3.4	Statement of Ethics Evaluation Boundaries Evaluation Work Plan Evaluation Grid
3.5	Harmonizing Strategic Planning The Action Plan

TEMPLATES (cont.)	
4 IMPLEMENT	
4.1	NA
4.2	NA
4.3	NA
5 EVALUATE	
5.1	Creating a Sample Sample Consent Forms Sample Instruments
5.2	Quantitative Data Analysis Qualitative Data Analysis
5.3	Evaluation Check List Auditing the Evaluation Reporting to Stakeholders

A Check List of Operational Challenges

This template can be used as both a memory aid to remind you of the various steps involved in the process as you proceed through the Guidebook, and as a checklist, so you can check off (✓) each challenge after it has been addressed.

✓	**ACTION STEPS AND OPERATIONAL CHALLENGES**	
	1 EXPLORE	
	1.1	See What CLCs Look Like in Other Communities ➢ Gather useful information about community schools ➢ Construct your knowledge about community schools
	1.2	Create an image of a CLC for your community ➢ Construct an initial map of the community ➢ Determine the implications of a CLC for your community
	1.3	Decide to Proceed ➢ Determine if the partners and their organizations are ready to embark on this joint venture ➢ Produce the anticipated output for: Decision to proceed
	2 INITIATE	
	2.1	Map Your Needs and Assets ➢ Identify the needs of the community in relation to the type of CLC envisaged ➢ Identify the assets of the community in relation to meeting the foregoing needs
	2.2	Develop Mission Statement ➢ Prepare a statement of values and purpose for the CLC ➢ Identify the kinds of results that the partners expect from the CLC ➢ Establish an appropriate set of principles to guide the operation of the CLC ➢ Combine the foregoing elements to draft a mission statement ➢ Determine how the proposed CLC affects each partner's mission statement
	2.3	Allocate Responsibilities and Resources ➢ Structure the CLC to meet identified needs, while dealing with contextual realities ➢ Given the structure of the CLC, assign appropriate roles and responsibilities to the partners ➢ Given these decisions, assign appropriate roles and responsibilities to the operational team ➢ Given the above decisions, determine the general parameters governing the allocation of resources for the CLC
	2.4	Conclude Partnership Agreement ➢ Establish an appropriate process for concluding the Partnership Agreement ➢ Determine the content of the Partnership Agreement ➢ Produce the anticipated output for Step 2: A signed Partnership Agreement

✓		ACTION STEPS AND OPERATIONAL CHALLENGES
	3 PLAN	
	3.1	Determine Desired Results ➢ Seek points of convergence between the results sought by the various partners ➢ Establish a mutually beneficial chain of intended results
	3.2	Determine Programs and Services to Be Offered ➢ Determine the activities that are likely to produce the short-term results that have been set for service delivery ➢ Establish a process to monitor service delivery that is both feasible and effective
	3.3	Determine Capacity to Deliver Services ➢ Develop a holistic understanding of the performance capacity for our CLC ➢ Determine the activities that are likely to produce the short term-results that have been, or should have been, set for capacity development ➢ Establish a process to monitor capacity building that is both feasible and effective
	3.4	Determine Means to Evaluate Actions and Results ➢ Establish the parameters that define the nature and limits of the evaluation ➢ Decide how to plan the evaluation ➢ Determine precisely what will be evaluated ➢ Adopt performance standards for each object to be evaluated ➢ Select appropriate indicators to measure the objects to be evaluated ➢ Determine appropriate sources and methods of data collection and analysis for each indicator selected
	3.5	Complete Action Plan ➢ Establish an appropriate process for concluding the Action Plan ➢ Determine how the CLC action plan fits with each partner's annual plan ➢ Determine the content of the Action Plan ➢ Produce the anticipated output for Step 3: An approved Action Plan
	4 IMPLEMENT	
	4.1	Allocate Resources and Begin Service Delivery ➢ Carry out the plan for the delivery of services ➢ Produce the first set of outputs anticipated for Step 4: Initial results from services provided to students and community
	4.2	Allocate Resources and Conduct Capacity Building ➢ Carry out the plan for building capacity ➢ Produce the second set of outputs anticipated for Step 4: Initial results from capacity building of CLC
	4.3	Monitor Service Delivery and Capacity Building ➢ Carry out the plan for monitoring service delivery and capacity building

✓	ACTION STEPS AND OPERATIONAL CHALLENGES	
	5 EVALUATE	
	5.1	Collect the Data ➢ Find the necessary data to produce the indicators chosen ➢ Collect the data chosen after determining appropriate methods for this purpose
	5.2	Analyze the Data ➢ Process the data collected after determining appropriate methods for this purpose ➢ Interpret the processed data after determining appropriate methods for this purpose
	5.3	Report to Stakeholders ➢ Document the entire evaluation process ➢ Prepare a comprehensive report of the evaluation, including process, findings and recommendations ➢ Undertake appropriate means to inform various groups of stakeholders about the evaluation ➢ Ensure follow-up from the results of the evaluation, including the lessons learned

1 EXPLORE

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

1.1 See What CLCs Look Like in Other Communities

Templates, p. 6

Your Synthesis of Community Schools

Use this template to synthesize what you have learned about CLCs in other communities.

Guiding Questions	Your Synthesis	Valuable Sources of Information
What are the principal characteristics of a CLC?		
What are the benefits of a CLC for different groups of stakeholders?		
What kinds of services do CLCs generally provide?		
What are the key factors that facilitate success?		
What are the key factors that inhibit success?		

1.2 Create an Image of a CLC for Your Community

Community Boundaries

Use this template to define the boundaries of your CLC community.

Templates, p. 7

A. Elements Defining Community	
Element	**Description**
Geography	Geographically defined catchment area of the organization or group, localities where the vast majority of students/clients live, or area within which it is located.
Mission	Particular vocation of the organization or group.
Language/Culture	Subset(s) of a population defined by language or culture targeted by the organization or group.
Stakeholders	Those persons, groups or organizations that have a 'stake' in the organization or group (see definition).
Other	

B. Individual Organization or Group: [Name]		
Element	**Relevance**	**Description**
Geography		
Mission		
Language/Culture		
Stakeholders		
Other		
Definition of Community:		

Contextual Features	Description

C. Potential CLC		
Element	**Relevance**	**Description**
Geography		
Mission		
Language/Culture		
Stakeholders		
Other		
Definition of CLC Community:		
Contextual Features	**Description**	

A Vision of Your CLC

Use this template to guide a conversation with potential partners to create a vision of what a CLC could look like in your community.

Templates, p. 9

A. Creating a CLC as a "learning community"			
Driving Forces ⇨	**Wt***	**⇦ Restraining Forces**	**Wt***

*** Wt** = strength (weight) of driving or restraining force: 1 = weak; 2 = moderate; 3 = strong.

B. Creating a CLC as a "hub" of community services			
Driving Forces ⇨	Wt*	⇦ Restraining Forces	Wt*

*** Wt** = strength (weight) of driving or restraining force: 1 = weak; 2 = moderate; 3 = strong.

C. Creating a CLC as proposed by the Framework			
Driving Forces ⇨	Wt*	⇦ Restraining Forces	Wt*

*** Wt** = strength (weight) of driving or restraining force: 1 = weak; 2 = moderate; 3 = strong.

D. Vision Statement	
Vision	
Actions	

1.3 Decide to Proceed

Templates, p. 11

Your Readiness Quotient (RQ)

Use this template to determine the "readiness quotient" or RQ of the emerging partnership to form a CLC.

Indicators of Readiness:		Rating*		Comments	Actions
		My	All		
1	**Legal/administrative readiness:** my organization/group's legal and administrative framework permits its participation in the CLC.				
2	**Cultural readiness:** my organization/group has an organizational culture that will accept the CLC.				
3	**Leadership readiness:** leadership support for the CLC exists in my organization/group and the partners.				
4	**Vision and strategic readiness:** my organization/group and the partners have a clear vision of where the CLC is going and how it should get there, or a clear desire to create such a vision.				
5	**Collaborative readiness:** my organization/group and the partners are prepared to be involved and work together collaboratively to make the CLC a reality.				
6	**Resource readiness:** the partners are prepared to commit the financial and other resources necessary to create the CLC.				
7	**Systemic readiness:** the partners have or will have the necessary systems in place to undertake the creation of the CLC.				

My organization's RQ	
The RQ of the Partnership	

*** Rating Scale**: 1 to 5, where 1 =very low and 5 =very high state of readiness; N =No Opinion.

RQ: sum of five scores from above (minimum = 5; maximum = 25).

2 INITIATE

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

2.1 Map Your Needs and Assets

Templates, p. 13

A Map of Community Needs and Assets

Use this template to determine: (a) the unmets needs of various target groups; (b) the untapped resources that could be used to meet these needs; and (c) the role the CLC could usefully play to meet these needs.

A. Unmet Needs			
Target Group			
Type of Result			
Level of Need	**Desired State**	**Current State**	**Gap**
Beneficiaries			
Services			
Resources			
Estimated number of beneficiaries (N)			

Severity of Beneficiary Needs								
	Low		**Moderate**		**High**		**All**	
Estimated percentage of N		+		+		=	100%	

B. Untapped Assets		
Sources	**Current Assets**	**Potential Assets**

C. The Role of the CLC		
Target Group	**Unmet Needs**	**Proposed Role of CLC**
A1 :		
A2 :		
A3 :		
...		

2.2 Develop Mission Statement

Templates, p. 16

Partner Mission Statements

Use this template to provide a description of the mission of each partner organization and decide on the values and purpose of the CLC.

A. Mission of [Name of Partner]
Key Descriptors:
How would you describe the **vision** that underpins the mission of the organization?
What are the core **values** of the mission?
What, briefly stated, is the **purpose** of the organization?
What **attributes** does the mission ascribe to your organization?
What is the **strategic direction** set by the mission?

B. Values and Purpose of the CLC

Results Areas

Use this template to provide a broad-brush statement of the types of results expected by each of the partners.

Templates, p. 17

A. Partner Input		
Results Areas	**Priority***	**Comments**

B. Consensus for CLC		
Results Areas	**Priority***	**Comments**

* Indicate the relative priority of each results area as: 1 (low), 2 (moderate) or 3 (high).

Guiding Principles

Use this template to develop a set of guiding principles for the CLC.

Templates, p. 18

Theme	Statement
…	

Harmonizing Mission Statements

Use this template to ascertain the potential impact of the proposed CLC mission statement on the mission of each partner.

Templates, p. 20

A. Mission Statement of [Name of Partner]	
Review Questions	**Comments**
Are the values of the proposed CLC compatible with the values of your organization or group?	
What impact, if any, will the proposed CLC have on the identity of your organization or group?	
Does the proposed CLC displace or otherwise affect the present goals of your organization or group?	
…	

B. Review of Partner Input	
Review Questions	**Comments (from Part A), implications and options**
Values	
Identity	
Goals	
...	

C. Resolution		
Object	**Decisions**	**Actions to Be Taken**
Partner Missions:		
CLC Mission		

Draft CLC Mission Statement

Use this template to consolidate the results of the foregoing to complete a draft mission statement to be included in the Partnership Agreement in Step 2.4.

Templates, p. 21

A. Draft Statement
Values and Purpose:
Results Areas:
Guiding Principles:

B. Review of Draft Statement		
Review Questions	✓	**Reservations, comments and questions**
The process used to develop the mission was open, providing everyone an opportunity to express his or her views.		
The process enabled a consensus to be formed about the proposed mission.		
As a result of this process, I believe that my organization or group will endorse the proposed mission.		
The mission statement expresses the values I think the CLC should hold.		
The elements of the mission statement are important to me.		
The elements contained in the mission statement fit together.		
The mission statement is clear and can be understood by all stakeholders.		

2.3 Allocate Responsibilities and Resources

Templates, p. 23

Structuring Your CLC

Use this template to decide on the right model for your situation.

A. Comparing Models	
Models	**Advantages and Disadvantages**
Parallel	
Integrated	
Single-site	
Multisite	

B. Ranking Models	
Model	**Rank***
Parallel Single-site	
Integrated Single-site	
Parallel Multisite	
Integrated Multisite	

Assign 4 to your first choice; 3 to your second choice; 2 to your third choice; 1 to your fourth choice. If you think any model should not be considered at all, assign 0 (zero) (e.g. if you only think two models should be considered, your ranking would be: 4-3-0-0).

C. Proposed Structure of the CLC	

Assigning Roles and Responsibilities

Use this template to assign roles and responsibilities to the body represented by each segment.

Templates, p. 24

A. The Partners			
Areas	**Roles and Responsibilities**	**Ind**	**Terms and Conditions**
General Functions			
Programs and Services			
Resources			
Other Matters			

B. The Operational Team		
Areas	**Roles and Responsibilities**	**Terms and Conditions**
Accountability/Reporting		
General Functions		
Programs and Services		
Resources		
Other Matters		

C. Coordinator/Facilitator		
Areas	**Roles and Responsibilities**	**Terms and Conditions**
Accountability/Reporting		
General Functions		
Programs and Services		
Resources		
Other Matters		

D. Other (Specify)		
Areas	**Roles and Responsibilities**	**Terms and Conditions**
Accountability/Reporting		
General Functions		
Programs and Services		
Resources		
Other Matters		

Allocating Resources

Use this template to decide on the allocation of resources by each partner.

Templates, p. 25

Areas	Source	Contribution	Terms and Conditions
Financial Resources			
Human Resources			
Material Resources			

2.4 Conclude Partnership Agreements

The Partnership Agreement

Templates, p. 27

Use this template to record the terms of the Partnership Agreement.

Main Sections	Provisions
The Partners	
Mission Statement **Values and Purpose** **Results Areas** **Guiding Principles**	
Division of Responsibilities **CLC Structure** **The Partners** **Operating Team** **Coordinator/Facilitator** **Other**	
Allocation of Resources	
Other Provisions	

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

3.1 Determine Desired Results

Templates, p. 29

Points of Convergence

Use this template to ascertain the points of convergence between partners and the CLC.

Results Chain	Partner Results: [Name of Partner]	CLC		
		Results	RA	Comments
Long-Term Results (Impact)				
Medium-Term Results (Outcomes)				
Short-Term Results (Outputs)				

Statement of Intended Results

Use this template to prepare a statement of intended results for the long, medium and short term, for both service delivery and capacity building.

Templates, p. 30

A. Impact					
RA	**Code**	**Intended Results**	**✓**	**Time Frame**	**Assumptions**

↑

B. Outcomes						
RA	**Code**	**Intended Results**	**Links**	**✓**	**Time Frame**	**Assumptions**
1. Service Delivery						
2. Capacity Building						

↑

C. Outputs						
RA	**Code**	**Intended Results**	**Links**	**✓**	**Time Frame**	**Assumptions**
1. Service Delivery						
2. Capacity Building						

3.2 Determine Programs and Services to Be Offered

Templates, p. 32

Analyzing Proposed Services

Use this template to compare and contrast each set of alternatives for any given service you wish to consider.

Option 1	
Strengths	**Weaknesses**
Opportunities	**Threats**

Option 2	
Strengths	**Weaknesses**
Opportunities	**Threats**

Service Activities

Use this template to record the activities to deliver services you have selected, including for each: its code,* title and the other information requested.

Templates, p. 33

Service Activities			Outputs	Time Frame	Description	Resources/Conditions
RA	Code	Title				

*A code is simply a "shorthand" means to identify the result in other templates.

Service Activities Work Plan

Use this template to plan the activities to deliver services you have selected by specifying the information requested for each task.

Templates, p. 34

Code	Tasks	Days	Responsible	Key Dates

Monitoring Service Delivery

Complete this template in order to develop a feasible and effective plan for monitoring service delivery.

Templates, p. 35

Code	Aspects	Data	Freq	Roles and Procedures

Monitor the Monitoring:

3.3 Determine Capacity to Deliver Services

Analyzing Current Capacity

Templates, p. 36

Use this template to analyze present capacity, first with respect to particular service activities contemplated in the Action Plan, and second, with respect to the CLC in general.

A. Specific Capacities Related to Service Activities			
Service Activities	Capacities		
	Types	Analysis	Rating*

***** Rating of the seriousness of each capacity issue: 1 = low; 2 = moderate; 3 = high.

B. Overall Capacity of the CLC		
Capacities	**Analysis**	**Rating***
Organizational Culture		
Resources		
Organizational Structure		
Management Systems		
External Linkages		
Strategic Leadership		

***** Rating of the seriousness of each capacity issue: 1 = low; 2 = moderate; 3 = high.

Capacity-Building Activities

Use this template to record the activities to build capacity that you have selected, including for each: its code,* title and the other information requested.

Templates, p. 38

Capacity-Building Activities			Outputs	Time Frame	Description	Resources/Conditions
RA	Code	Title				

*A code is simply a "shorthand" means to identify the result in other templates.

Capacity-Building Activities Work Plan

Use this template to plan the activities to build capacity that you have selected by specifying the information requested for each task.

Templates, p. 38

Code	Tasks	Days	Responsible	Key Dates

Monitoring Capacity Building

Complete this template in order to develop a feasible and effective plan for monitoring capacity building.

Templates, p. 39

Code	Aspects	Data	Freq	Roles and Procedures

Monitor the Monitoring:

3.4 Determine Means to Evaluate Actions and Results

Statement of Ethics

Adopt or adapt the following as a statement of ethics for the evaluation of the CLC.

Templates, p. 40

1 Nature and Purpose of the Evaluation	We are undertaking this evaluation on behalf of the [name of CLC] in order to find out how well this centre is doing in relation to various matters judged to be important to its stakeholders. It shall be conducted in accordance with these ethical guidelines, which shall be made available to relevant stakeholders, together with a written description of the evaluation.
2 Relationships With Participants	All interactions with "participants" during this evaluation shall be conducted in an ethical, professional manner, based on respect, honesty and openness. (a) A "direct participant" is someone who takes part in the evaluation by completing a questionnaire, being part of an interview, focus group or observed activity. (b) An "indirect participant" is anyone about whom a third party provides information.
3 Information	We shall provide all prospective direct participants with a description of the evaluation, as well as an explanation of the nature and implications of their involvement.
4 Privacy	Except for the "routine information" listed in Guideline #9, we shall ensure that the disclosure of information about or the direct participation of every individual is voluntary, with no coercion of any kind applied, including the right to allow only partial disclosure or not to participate in any part of the evaluation and to cease participating at any time.
5 Confidentiality	We shall ensure that "raw data" (i.e. information as collected from and about participants) are treated confidentially and shared only with authorized members of our evaluation team, who have undertaken to respect the confidentiality of the data. This information may be used by future evaluation teams under these same conditions.
6 Anonymity	Categories of respondents (e.g. teachers, female students) may be identified in the evaluation report or other media; however, we shall protect by all reasonable and appropriate means the identity of any individual participant in any such report or other media, unless that person has explicitly consented in writing to be identified.
7 Informed Consent	Except for the "routine information" listed in Guideline #9, we shall obtain written consent from each participant in advance of the data collection, having first informed him or her: (a) about the evaluation (as per Guideline #3) (b) about the type of participation requested (c) that participation is voluntary, including the right to withdraw at any time (d) that all information received shall be treated confidentially

8 Special Cases	In the case of a minor, we shall ensure that the written consent of a parent or legal guardian (as per Guideline #7) shall be obtained. Moreover, consent shall also be sought from the participant unless he or she is too young to understand. In the case of any other person incapable of giving informed consent, we shall ensure that the written consent of a parent or legal guardian (as per Guideline #7) shall be obtained.
9 Routine Information	Consent shall not be requested to collect or use the following types of information: (a) written, verbal or observational data <u>about staff</u> (e.g. qualifications and experience) or <u>about students</u> (e.g. test results) that do not identify the participant or permit him or her to be identified (b) data <u>from current students</u> about academic work or school/community activities (e.g. student rating of classroom teaching) (c) job-related data <u>from current staff</u> (e.g. feedback on school organization) However, the principles of confidentiality and anonymity stipulated above (as per Guidelines #5 and 6) shall be respected concerning the use of these data.
10 Data Analysis and Reporting	We undertake that the analysis and reporting of data shall be conducted ethically and honestly so as to produce fair and accurate findings about the school, and that the data shall only be used for the purposes described in Guideline #1.
11 Conservation of Data	The evaluation team leader shall be responsible for ensuring that the raw data and other materials from the evaluation shall be conserved for a minimum of two years; the confidentiality provisions of Guideline #6 apply to all data so conserved.
12 Commitment	The commitments made in this Statement of Ethics are known and have been agreed to by the [name of CLC], its partners, staff and associates who are likewise bound by these guidelines.

Name*	Signature	Date

* Person authorized on behalf of the CLC.

Auditing the Evaluation

Use this template to conduct an audit of the evaluation.

Templates, p. 42

Focus	A. Parameters of the Evaluation (Step 1)
Guiding Questions	• Do the purpose and scope of the evaluation appear to be appropriate, given the mission of the CLC and its context, as well as the range of its activities and intended results? • Do the other parameters governing the evaluation, notably the ethical standards to be followed, provide a trustworthy basis for the evaluation?
Evidence	• The Boundaries of the CLC • Partnership Agreement • Action Plan • Statement of Ethics and consent forms
Audit Notes	
Follow-Up	

Focus	B. Objects to Be Evaluated (Step 2)
Guiding Questions	• Do the objects chosen to be evaluated reflect the purpose and scope of the evaluation established in Step 1? • Are any outcomes that could be evaluated included; if not, is there a reasonable explanation for their exclusion? • Are all current activities included; if not, does the selection of activities appear to be reasonable? • Are the outputs included for all current activities selected? • Does the selection of the operational performance of selected activities appear to be reasonable? • Overall, do the objects chosen to be evaluated provide a trustworthy reflection of the performance of the CLC?
Evidence	• Evaluation Grid • Evidence from Step 1
Audit Notes	
Follow-Up	

Focus	C. Performance Standards (Step 3)
Guiding Questions	• Were appropriate performance standards developed for each object to be evaluated? • Does each standard have appropriate and explicit criteria by which it can be judged? • Were any benchmarks used; if so, do they seem appropriate? • Were any performance targets used; if so, do they seem appropriate? • Overall, do the standards selected provide a trustworthy reflection of the performance of the CLC in relation to the objects of the evaluation?
Evidence	• Evaluation Grid • Evidence from Step 2
Audit Notes	
Follow-Up	

Focus	D. Performance Indicators (Step 4)
Guiding Questions	• Were appropriate performance indicators developed for each object to be evaluated, given the standards set for each? • Does each indicator provide a valid and dependable measure of the object to which it relates? • Overall, do the indicators selected provide a trustworthy measure of the performance of the CLC in relation to the objects of the evaluation?
Evidence	• Evaluation Grid • Evidence from Step 3
Audit Notes	
Follow-Up	

Focus	E. Sources of Data (Step 5)
Guiding Questions	• Do the sources of data chosen provide a trustworthy basis for producing the indicators examined in Step 4? • Was any sampling done; if so, were the methods used consistent with generally accepted practices in this regard? • Overall, do the sources of data chosen provide a trustworthy basis for the evaluation?
Evidence	• Evaluation Grid • Statement of Ethics and consent forms • Methodological notes • Evidence from Step 4
Audit Notes	
Follow-Up	

Focus	F. Data Collection (Step 6)
Guiding Questions	• Can each of the instruments used for the collection of data be considered valid and dependable means to collect the data envisaged? • Was the actual collection of data conducted in accordance with generally accepted practices in this regard, including all applicable ethical standards? • Do the data actually collected reflect the data envisaged in accordance with generally accepted practices in this regard, including response rates versus sample and target populations? • Overall, do the data actually collected provide a trustworthy basis for the evaluation?
Evidence	• Data collection instruments • Methodological notes • Evidence from Step 5
Audit Notes	
Follow-Up	

Focus	G. Data Analysis (Step 7)
Guiding Questions	• Have the raw data (both quantitative and qualitative) been processed in accordance with generally accepted practices in this regard? • Do any data summaries (both quantitative and qualitative) reflect the data they are meant to represent in accordance with generally accepted practices in this regard? • Are the methods, including any instruments used, for the analysis of data consistent with generally accepted practices in this regard? • Overall, does the data analysis present a fair and balanced interpretation of the data? • Overall, does the data analysis provide a trustworthy basis for the evaluation?
Evidence	• Methodological notes • Data tables • Evidence from Step 6
Audit Notes	
Follow-Up	

Focus	H. Evaluation Report (Step 8)
Guiding Questions	• Do the findings flow from the data analysis (Step 7)? • Do the conclusions flow from the findings? • Do the recommendations flow from the conclusions? • Overall, does the evaluation report present a fair and balanced account of the evaluation? • Overall, is the evaluation trustworthy?
Evidence	• Evaluation report • Evidence from Step 7
Audit Notes	
Follow-Up	

Evaluation Boundaries

Use this template to confirm the boundaries of the evaluation.

Templates, p. 46

Element	As stated by the Framework	As revised (if applicable)
Purpose	This evaluation is meant to serve the dual purpose of accountability to the stakeholders of the CLC and improvement of its performance.	
Outputs	The immediate outputs of the evaluation are the evaluation reports and other forms of communication to stakeholders.	
Outcomes	The outcomes of the evaluation are enhanced organizational capacity and performance.	
Scope	The scope of the evaluation shall be limited to a manageable set of evaluation questions concerned with key areas of performance.	
Performance	Performance is defined as the extent to which the CLC *operates* and *achieves results* in accordance with the expectations of stakeholders.	
Operational Performance (Conduct and Efficiency)	The evaluation of operational performance focuses on the conduct of activities to build capacity and deliver services, more specifically, the extent to which they have been carried out in accordance with our expectations, as well as the efficiency of this process, that is, how well resources have been allocated and managed.	
Results-Based Performance (Effectiveness)	The evaluation of results-based performance focuses on the effectiveness of the CLC: the extent to which short-term results and, *as far as possible*, the progress toward medium-term results have been achieved.	

Evaluation Work Plan

Use this template to plan the evaluation to be carried out in Step 5.

Templates, p. 47

A. Tasks and Responsibilities				
Steps	**Tasks**	**Days**	**Responsible**	**Key Dates**
3.4 (Plan)				
5.1 (Data Collection)				
5.2 (Data Analysis)				
5.3 (Reporting)				

B. Evaluation Resources								
Activities	**Personnel**					**Other Costs**		**Total**
	Professional		**Technical**		**...**	**Printing**	**...**	
	Days	**Amt**	**Days**	**Amt**	**...**			
Step 3.4		$		$		$	$	$
Step 5.1		$		$		$	$	$
Step 5.2		$		$		$	$	$
Step 5.3		$		$		$	$	$
Grand Total		$		$		$	$	$

Evaluation Grid

Templates, p. 49

Use this template to set forth what aspects of performance will be evaluated (**Objects**), the evaluation **standards** to be used (including any **targets** or **benchmarks**) and *how* the performance will be evaluated (**Indicators** and **Sources and Methods**).

Activity			
Objects	**Standards**	**Indicators**	**Sources and Methods**
Outcomes:			
•	•	•	•
Outputs:			
•	•	•	•
Conduct:			
•	•	•	•
Efficiency:			
•	•	•	•

Activity			
Objects	**Standards**	**Indicators**	**Sources and Methods**
Outcomes:			
•	•	•	•
Outputs:			
•	•	•	•
Conduct:			
•	•	•	•
Efficiency:			
•	•	•	•

3.5 Complete Action Plan

Templates, p. 51

Harmonizing Strategic Planning

Use this template to review the potential impact of the CLC Action Plan on the annual plan of each partner.

A. Annual Plan of [Name of Partner]	
Review Questions	**Comments**
Are the actions of the proposed CLC action plan compatible with the measures outlined in the organization's annual plan?	
Do any aspects of the CLC evaluation plan conflict with or otherwise affect the present evaluation elements included in the organization's annual plan?	
...	

B. Review of Partner Input	
Review Questions	**Comments (from Part A), Implications and Options**
Actions	
Evaluation	
...	

C. Resolution		
Object	**Decisions**	**Actions to Be Taken**
Partner Plans:		
Partner ..., [name]		
Partner ..., [name]		
CLC Action Plan		

The Action Plan

Use this template to complete the Action Plan, first as a draft document, then as an approved plan.

Templates, p. 53

Intended Results

Activities

Monitoring

Evaluation

Work Plan

Resources

4 IMPLEMENT

1 Explore	→	2 Initiate	→	3 Plan	→	4 Implement	→	5 Evaluate

4.1 Allocate Resources and Begin Service Delivery

(There are no templates for this step.)

4.2 Allocate Resources and Conduct Capacity Building

(There are no templates for this step.)

4.3 Monitor Service Delivery and Capacity Building

(There are no templates for this step.)

5 EVALUATE

1 Explore → 2 Initiate → 3 Plan → 4 Implement → 5 Evaluate

Guidebook, p. 72

5.1 Collect the Data

Creating a Sample

Use this template to design either a representative or a purposive sample of one or more target populations.

A. Representative Sample			
Target Population		Sample	
Group	**Number**	**Number**	**Percent**
Students			
Teachers			
Parents			
Community members			
...			

B. Purposive Sample			
Group	**Purpose**	**Criteria**	**Number**
Students			
Teachers			
Parents			
Community members			
...			

Templates, p. 57

Sample Consent Forms

Adapt the following to obtain consent from anyone requested to act as a direct participant in the evaluation of the CLC.

PARENTAL CONSENT LETTER

Dear Students and Parent or Guardian:

By now, we hope you have heard about [name of CLC] which is completing its first year of operation. Briefly, our CLC was formed [include a <u>brief</u> statement about the CLC and its partners].

This letter is to inform you that we are conducting an evaluation of the centre's performance in relation to various matters that we think are important for us.

The purpose of our study is to collect, analyze and communicate information about the centre to staff, students, parents and the community, and to use this information for developing action plans for the future. Data will be gathered from documents and records as well as from other sources such as questionnaires completed by students, teachers and parents.

We are presently organizing a public forum to focus on teaching and learning in our centre, including a panel of students, and open to members of the school community and the media. Panel members will be asked to give their opinions on their experience in this school in relation to the topic and to participate in an exchange with fellow panellists, moderated by a member of the evaluation team. The moderator will provide for a brief time for questions from the audience which students will be invited to answer if they wish.

We hereby request your agreement to allow your child to participate as a member of this panel, in accordance with the attached Declaration of Consent form.

We appreciate your cooperation and ask students and parents of students who are under 18 years of age to please sign the attached consent form and return it to the centre by [**date**]. If you have any questions, please phone me at [telephone number].

Yours very truly,

[Name],

[Title]

[Name of CLC]

DECLARATION OF CONSENT

____________________ __________________________

Name of Student   Name of Parent or Guardian

I am a parent or guardian of the student named above. I understand that the [name of CLC] is conducting an evaluation of its performance; I have read and understood the covering letter and [if applicable] information flyer which was attached to this form.

I consent to my son, daughter or ward participating as a panellist in a public forum on teaching and learning, to be held at [time, date and place]. This consent is given on the understanding that:

- participation is voluntary and this consent may be withdrawn at any time
- the forum will be audio taped by the centre but these tapes and the notes taken by team members will be treated confidentially
- he or she will not be identified in any report

___________________________________ _____________________

Signature of Student   Date

[ ] Please check here if you are 18 years of age or older.

____ _____________________

Signature of Parent or Guardian   Date
(For students under 18 years of age)

I give my assurance that the information I receive will be used only for the purposes of the study, according to the terms and conditions described to you.

______________________________ ___________________

Signature of CLC representative   Date

Templates, p. 59

Sample Instruments

Use the sample instruments shown below as a basis for constructing your own instruments for collecting data.

Thousand Hills CLC-Evaluating Our Performance What Stakeholders Say	
General Instructions	• The purpose of this instrument is to gather information about how well our centre is doing in relation to various topics. • There are no right or wrong answers and if you do not feel you can answer any particular question, please just check **N** for "no opinion." • Please do not write your name anywhere on this questionnaire so that your answers will be completely anonymous.

Background Data							
Name of Organization							
Respondent Role	[ ] Student	[ ] Teacher	[ ] Parent	[ ]	[ ]		
	[ ]	[ ]	[ ]	[ ] Other:			
Grade (Students only)	[ ] K	[ ] 1	[ ] 2	[ ] 3	[ ] 4	[ ] 5	[ ] 6
	[ ] SI	[ ] SII	[ ] SIII	[ ] SIV	[ ] SV		
Gender	[ ] Male	[ ] Female					

Teaching and Learning

Below you will find a series of statements. For example: *My school has a friendly atmosphere*. We would like you to tell us how much each one reflects your experience at school by placing a check mark (✓) in the box under the appropriate number in the space provided, using this scale:

1=Strongly Disagree 2=Disagree 3=Agree 4=Strongly Agree N=No Opinion

#	**Statement**	**Rating**				
		1	**2**	**3**	**4**	**N**
1	My school is challenging me to do my best.					
2	This school makes me feel that I belong here.					
3	My school is helping me to develop a curiosity for learning.					
4	My school is helping me to develop the ability to learn on my own.					
5	My school is helping me to learn to get along with others.					

Parental Involvement						
Please check (✓) how often you participate in the activities listed below respecting the education of your child, using this scale: 1=Never 2=Rarely 3=Occasionally 4=Frequently N=No Opinion						
#	**Statement**	**Rating**				
		1	**2**	**3**	**4**	**N**
1	Assisting your child in doing homework					
2	Checking that homework is completed					
3	Responding to teacher communiqués					
4	Attending parent/teacher interviews					
5	Reviewing progress reports with your child					

School Facilities												
Please check (✓) the rating that best reflects the general condition of your school building, using this scale: 1=Very Poor 2=Inferior 3=Standard 4=Superior N=No Opinion												
#	**Location**	**Cleanliness**					**#**	**Maintenance**				
		1	**2**	**3**	**4**	**N**		**1**	**2**	**3**	**4**	**N**
1	Classrooms						11					
2	Hallways						12					
3	Washrooms						13					
4	Gym						14					
5	Library						15					
6	Entrance						16					
7	Staff Room						17					
8	Office						18					
9	Cafeteria						19					
10	Grounds						20					

<table>
<tr><th colspan="3">Voices from the Community</th></tr>
<tr><td>Start-Up
(10 min.)</td><td colspan="2">• [Intro] Good evening, my name is … I have been asked by the Thousand Hills CLC to moderate this focus group. My colleague, …, is going to record our discussion and keep notes. More about this role in a minute but first let me explain why we are here.
• [Purpose] All of you recently attended a program for community volunteers offered by the CLC. Some of you completed the program and others did not. As part of an evaluation of the CLC, we would like you to help us identify the strengths and weaknesses of this program, how well it met your needs and what you think might improve it. Before we begin, let me briefly go over the “ground rules” for this session.
• [Ground rules] Although we are recording this session, all material gathered here will be kept confidential. First names only will be used in the discussion and you will not be identified in any report. I will do my best to see that everyone has a chance to contribute so, because our time is restricted, some of you may be asked to limit your comments. Finally, rest assured that this session is not a “feel good” exercise: we want to know what you really think and all constructive feedback is welcome.
• [Participant intro] Let’s go quickly around the table so you can each introduce yourself—just your first name and a brief word about yourself.</td></tr>
<tr><td rowspan="6">Discussion
(90 min.)</td><td>Guiding Questions</td><td>Probes*</td></tr>
<tr><td>• Why did you sign up for this program?</td><td>• Identification of different motivations, individual circumstances</td></tr>
<tr><td>• Can you briefly describe your experience in this program: what was it like for you?</td><td>• Different aspects of the program; delivery, materials; interactions with instructor and peers</td></tr>
<tr><td>• Can you briefly explain why the program met or did not meet your expectations?</td><td>• Any mismatch between individual and program expectations; reasons for dropping out (personal versus program)</td></tr>
<tr><td>• What would you say were the major strengths and weakness of the program?</td><td>• Search for any patterns relating to participants or program; how weaknesses could be improved</td></tr>
<tr><td>• Have you had a chance to make use of what you learned?</td><td>• Strength of linkages between program and anticipated outcomes; how program helped or did not help in real-life situation</td></tr>
<tr><td>Wrap-Up
(20 min.)</td><td colspan="2">• In closing, is there anything that anyone would like to add? Thank you for your cooperation and input; it has been very helpful. We are planning to complete our report by [date] which will be available on our Web site: …</td></tr>
</table>

* Probes necessarily include follow-up on unexpected input from the general discussion.

5.2 Analyze the Data

Templates, p. 63

Quantitative Data Analysis

Use this template to design the data file structure and various displays of quantitative data, and then to analyze these data.

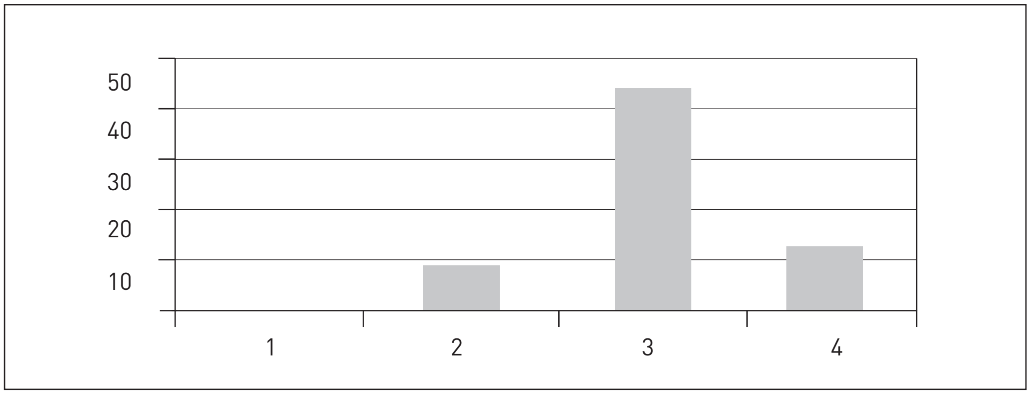
SAMPLE DATA FILE STRUCTURE

Res	B1	B2	Q1	Q2	Q3	Q4	Q5
1	1	1	3	3	3		3
2	1	1	3	3			3
3	1	1	3	3		3	3
4	1	1	3	3		3	4
5	1	2	3	4	3	4	2
6	2	2	2	3	3	4	2
7	2	1	3	2	3	3	2
8	2	2	3	3	3	4	3
9	2	1	3	3		3	2
10	2	2	3	3	3	3	3
11	3	2	4	4	4	4	3
12	3	2	4	3	4		3
13	3	2	4	4	3		3
14	3	2	2	3	3	3	3
15	3	2	3	3	2	3	2

FREQUENCY DISTRIBUTION OF RESPONSES BY ITEM

Item	Response Categories				Total
	1	2	3	4	
Q1	0	2	10	3	15
Q2	0	1	11	3	15
Q3	0	1	8	2	11
Q4	0	0	7	4	11
Q5	0	5	9	1	15
Total	0	9	45	13	67

FREQUENCY DISTRIBUTION OF ALL RESPONSES COMBINED



PERCENTAGE DISTRIBUTION OF RESPONSES BY ITEM

Item	Response Categories				Total
	1	2	3	4	
Q1	0%	13%	67%	20%	100%
Q2	0%	7%	73%	20%	100%
Q3	0%	9%	73%	18%	100%
Q4	0%	0%	64%	36%	100%
Q5	0%	33%	60%	7%	100%
Total	0%	13%	67%	19%	100%

DISTRIBUTION OF MEAN RESPONSES

Item	Respondent Groups			All
	Students	Teachers	Parents	
1	3.00	2.80	3.40	3.07
2	3.20	2.80	3.40	3.13
3	3.00	3.00	3.20	3.09
4	3.33	3.40	3.33	3.36
5	3.00	2.40	2.80	2.73

DATA COLLECTION POPULATION, SAMPLE AND RESPONSES

Respondents	Number			Percent
	Total	Sample	Response	
Students	589	589	423	72%
Teachers	32	32	21	65%
Parents	500	500	381	76%
Total	1 121	1 121	825	74%

Qualitative Data Analysis

Use this template to design the data file structure and displays of qualitative data, and then to analyze these data.

Templates, p. 65

SAMPLE QUALITATIVE DATA FILE STRUCTURE

N	Q#	Response
1	1	
1	2	
1	3	
2	1	
2	2	
2	3	
3	1	
3	2	
3	3	

DATA SORTED BY ITEM

N	Q#	Response
1	1	
2	1	
3	1	
1	2	
2	2	
3	2	
1	3	
2	3	
3	3	

RECORDING INTERVIEW DATA

Respondent ID: Background characteristics:
Questions and Answers
Question 1: ... Response **Question 2**: ... Response
OR
Verbatim Transcript
Int: ... **Res:** ... **Int:** ... **Res:** ...

CODING AND SORTING QUALITATIVE DATA

N	B1	...	B5	Q#	Des	Inf	Summary
1				1	Lib	Pos	
2				1	Lib	Pos	
1				1	Lib	Neg	
3				1	Lib	Neg	
1				1	Com	Pos	
2				1	Com	Pos	
2				1	Com	Neg	

SAMPLE DISPLAY OF CODED QUALITATIVE DATA

Descriptive Categories	**Respondent Opinions**	
	Positive	Negative
Library	• ... • ... • ...	• ... • ... • ...
Computer Lab	• ... • ... • ...	• ... • ... • ...

5.3 Report to Stakeholders

Templates, p. 68

Evaluation Checklist

Use this template to review the evaluation as a preparatory step to completing the evaluation report.

Points to Be Reviewed	Check	Comments
• A complete version of the evaluation plan, including any revisions made during the course of the evaluation.		
• A complete work plan document, including any revisions made during the course of the evaluation.		
• All of the raw data (completed questionnaires, interview notes etc.) gathered and catalogued.		
• Consent forms for all data for which consent was required.		
• The synthesis of the data in usable form (tables, summaries of stakeholder comments, etc.) gathered and catalogued.		
• The results of the data analysis: findings, interpretations, any tentative conclusions and recommendations.		
• A record of the process followed, with any issues for further investigation or action.		

Reporting to Stakeholders

Use this template to outline a strategy for reporting the evaluation to stakeholders.

Templates, p. 69

Overview of Reporting Strategy:

[Name of report or communication strategy]	
Target Audience	
Purpose and Results	
Key Issues	
Content	
Format	
Author(s)	
Resources	
Time Line	

[Name of report or communication strategy]	
Target Audience	
Purpose and Results	
Key Issues	
Content	
Format	
Author(s)	
Resources	
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72-0136-1A