

P.E.R.C.



**Participant
Training Manual
for
Collaborative Action Planning**



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This training manual was developed from a process started in Union County, South Carolina, in 1990 by Sam Drew, Connie Springs, and Elaine Delk as documented by Larry Winecoff. The P.E.R.C.® process is supplemented with an updated version of Powell and Winecoff's *Seven Steps to Community Problem Solving* (7th edition) originally published by Pendell Publishing in 1975 and later distributed by the National Community Education Association.

Planning Effectively for Resource Collaboration

Interagency Collaboration:

A Must for Solving Community Problems in the Decade of the 90's



*It takes a whole community
to educate a child.*

South Carolina Department of Education

Introduction

The restructuring of schools implies a redesign of the organization and methods of schooling (Council of Chief State School Officers, 1989), however, there is no general agreement on what constitutes the restructuring process. A review of the literature (Lewis, 1989) indicates that there are over 40 different ideas and approaches to restructuring schools.

One of the most prominent themes in the restructuring literature is that of the “educative community” (Denton, 1989). The educative community is composed of not one agency but an ecology of institutions educating - school, home, places of worship, television, press, museums, libraries, businesses, factories, and more. The educative community is one in which parents, human service agencies, businesses, and other community agencies and organizations share together in the responsibility of providing and being held accountable for a quality education for all citizens.

A similar theme can be found in the implementation strategies for the SC Goals Plan. Changes will have to be made if the ambitious goals are to be reached. Furthermore, this effort will require a strong commitment and concerted effort on the part of every sector and every citizen to improve dramatically the performance of the nation's education system. Federal and state governments, businesses, community groups, agencies and parents must enter into effective partnerships with schools and teachers in order to fit together more sensibly the fractured pieces which can evolve into an educative community committed to developing and implementing a high-quality educational system.

While few educators, parents, politicians, business leaders or human service agency personnel would disagree with the goal of parent/community involvement and support as a vital component of educational renewal, most

communities have not been able to develop and/or maintain a productive community involvement process which would exemplify the “educative community.” According to David Mathews, president of the Kettering Foundation,

... effective communities appear to be different, not because of economic or demographic or regional factors, but because they are simply better educated as a community. That is, they are good at educating the whole community in the community’s business.” (as quoted in Decker, 1990).

In a few communities across the country where community involvement/community education has been set as a primary goal by decision-makers, effective strategies and processes have been developed and have proven effective in resolving school/community problems. In such communities, Mathews suggests that five basic elements must take place. The community must come together to:

1. Dedicate itself to the continued education of the “whole” community. This cannot be left to chance.
2. Share information and determine not **just the facts**, but what those **facts mean** in the lives of the diverse peoples who make up the community.
3. Talk “through” issues together, not just “about” issues.
4. Assess the inter-relations of **many interests** and the long-term consequences of each possible action before implementation.
5. Embrace public leadership--the leadership of ideas and ideals--and do not be limited to political leadership alone.

This manual is designed to help communities come together to discover and adopt an interagency approach to problem-solving as an effective and resource-efficient tool for dealing with a wide array of issues ranging from teenage pregnancy to latch-key child care; from school dropouts to adult literacy.

The PERC Process

Definition

PERC is a framework for planning and can be modified to adjust to the needs of different types of communities, agencies, and school districts. The intent is to engage people in planning for alliances-to stimulate people to look for ways their programs can connect with other programs to strengthen service delivery. In so doing, existing services can be enhanced and additional resources can be created. Future needs are identified and become a part of the budget planning process. A built-in support group is formed to encourage and promote school boards and other funding agents to allocate sufficient resources to meet those needs.

PERC is a mapping process that endeavors to link, across programs (within an agency) and across agency lines, services which are similar or which

closely complement each other. The process is based on the development and analysis of a “target population - agency matrix” and a series of mapping exercises to explore the nature of the interagency relationships. PERC ends in an interagency action planning session. PERC is based on several assumptions:

1. That each agency or organization is unique and effective in carrying out its own specific mission;
2. That many of these missions connect directly with the missions and activities of other agencies; and
3. That by working together agencies and organizations can maintain their own autonomy, individuality, and focus, and can accomplish more than would be possible if each agency continues to work alone.

The three-phase PERC planning process is outlined on the next page followed by an explanation and process for completing each of the three phases-Matrix, Fission and Fusion. A supplementary Guide to Community Problem-Solving is included as Section II of this manual. The Guide should be especially helpful in conducting a comprehensive needs assessment and in developing a collaborative action plan (CAP). Roles for leaders and group members are described in Section III. These will assist participants in developing effective collaborative teams.

PERC PROCESS

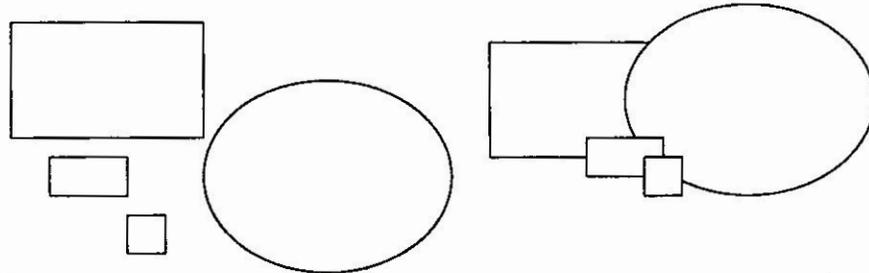
(Planning Effectively for Resource Collaboration)

- I. **Matrix**
 - A. Small Planning Team
 - 1. identifies major needs
 - 2. identifies possible agencies or organizations which relate to the needs identified
 - 3. develops a preliminary matrix
- II. **Fission (Analysis)**
 - A. The Planning Team
 - 1. determines need priorities from the matrix
 - 2. invites other participants as indicated by the matrix
 - B. Expanded Participant Group
 - 1. each participant lists services of their agency or organization related to need
 - 2. each agency or organization shares the services listed with other participants
 - C. The Planning Team
 - 1. summarizes needs and services
 - D. Participant Group
 - 1. creates a map linking all possible services to need
 - E. Planning Team
 - 1. consolidates maps
 - 2. highlights services in common
- III. **Fusion (Synthesis)**
 - A. Participants
 - 1. make interconnections
 - B. Planning Team
 - 1. creates new map
 - 2. matches interconnection output areas
 - C. Participants
 - 1. develop collaborative action plan (CAP)
 - 2. design evaluation of CAP
 - 3. return to their agencies or organizations and build action strategies into their agency or organization plans

PERC requires a small planning team, trained in the PERC process, which can be objective, relatively non-biased, and which can see beyond turf protectionism. Such a team, which might be acceptable to participating agency personnel, could come from the school district, any other human service agency or the business community. PERC also requires that participants learn to think differently; that they experience a change in paradigm orientation; that they enter a new collaborative reality. Thinking must move from the traditional, segmented type of problem-solving to more holistic thinking in order to better deal with the complex and multidimensional problems facing educators today. Participants should be amenable to changing their attitudes, their critical thinking strategies and their view of the world. While many participants will be able to adjust to

PERC (copyright 1991)

collaborative, inter-professional thinking, others may experience difficulty in changing from locked-in, tunnel thinking to more global thinking. Alvin Toffler says, in the Third Wave, that we must stop our pervasive “reductionist “ thinking which divides, fragments and segments. It is our challenge to change:

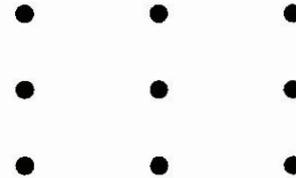


From: reductionist/fragmentation To: connectedness/interrelatedness.

The nine-dot square or the perfect square exercises might help to illustrate the point of changing our perspective. These are commonly used “thinking” exercises which can be helpful in setting the state for “break-out-of-the-box” or alternative perspective thinking.

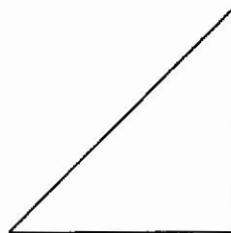
Nine Dot Exercise:

Connect the nine dots using only four straight lines without picking up your pen or pencil once it is placed on the paper.



Perfect Square Exercise:

Without moving any existing lines, make a perfect square by adding one straight line to the following figure:



See Addendum B for solutions to the exercises.

PERC Process



1.0 Matrix

- 1.1 identify needs
- 1.2 identify possible participants
- 1.3 apply matrix

Steps in the PERC Process

Building a Service Matrix

1.1 Identify Needs

The first step in the process is to identify major or generic human resource development needs within the community. This is best done by a small, core group familiar with the PERC process and might incorporate a variety of means such as:

1. Questionnaires, surveys and nominal group processes designed to identify community needs, problems and concerns;
2. Meetings or interviews with other key human service and community leaders;
3. Surveys of human service and community leaders;
4. Regular interagency council meetings (if such a council exists);
5. Separate regular meetings of each human and community service agency; and/or
6. Special combined meetings of human and community service agencies.

While the process can sometimes be relatively informal in both small and larger communities, care must be taken to include the ideas of all of the diverse constituent groups and to go beyond symptoms to uncover real needs and causal factors. It is not an easy task to be inclusive and consider the needs of all of the many different populations within a community. Care must be taken by the core planning team to see more than a small slice of the community or to see all sides of an issue. Many communities will want to engage in a formal needs assessment process for at least three reasons:

- To clearly identify and document needs (going beyond symptoms);
- To involve a larger segment of the community in the process, thereby gaining valuable support and increased ownership; and
- To serve as a communications process so that citizens, including clients, are informed from the beginning.

1.2 Identify Agencies and Organizations which Relate to the Major Problems

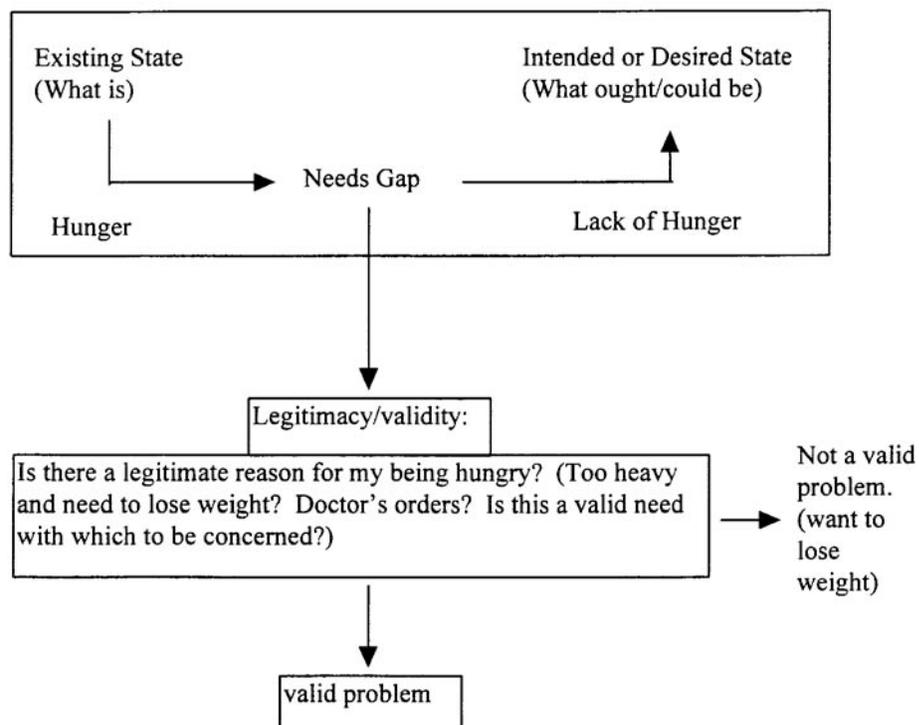
This step should be done in connection with the preceding step. While the core planning group is gathering data on the general areas of need in the community, it can also be identifying agencies and organizations in the community which have a special interest in the needs areas which emerge as priorities.

Your planning team should use the needs assessment process that follows to help guide the collection and analysis of data.

What is a need anyway?

Needs are often defined as the gap or distance between an existing state or situation and an intended or desired state or situation. For example, I may be hungry (existing state) and intend to be free of hunger or full. The need is the gap or distance between the two states. The Needs Assessment Process is an effort to pinpoint the problem, to clarify the nature of the problem, to identify the components of the problem, to determine the degree or severity of the problem, and/or to determine the causes of the problem (which often indicates another or different problem).

The diagram which follows, illustrates the complexities of thinking through the needs process.



Degree: How hungry am I? (starvation level, missed lunch, haven't eaten in two days?)

Nature: Why am I hungry? (no food available, too sick to eat, no money, on a diet, too busy writing my proposal, prefer to sleep or play?)

Components: Is it a physical, psychological, or attitudinal problem?

(Physical: no food available, too sick, allergic to the type of food)

(Psychological: fear of eating a particular type of food, anorexia)

(Attitudinal or Values: on a diet, don't like it, don't like the color, prefer to do something else, others need the food more than I)

If it is a physical problem, what are the characteristics:

Am I sick?

Is food available?

Do I have money to buy food?

Do I have a method for getting to the food? Do I have the means of preparing the food?

As can be seen in the needs assessment profile presented above, the process gradually narrows the parameters of the problem to the point that we can begin to visualize alternative ways of dealing with components of the problem if it is of high enough priority. Often during the assessment process, the perception of the need changes significantly. For example, if a student can't seem to learn how to solve a particular math problem, we have a tendency to jump too far ahead and assume that the student is too lazy, not smart enough, or is being exposed to the wrong materials. However, it may be that the student has any number of physical or emotional problems which are blocking his/her ability to solve the problem (eye problems, hunger, emotional upheaval at home).

The needs assessment process generally includes the following steps:

- planning
 - 1. Deciding the general nature of the problem;
 - 2. Determining what information is to be collected relative to the problem
 - what planning is absolutely essential, what would be good to have, what is not necessary;
 - 3. Determining where the information is stored;
 - 4. Designing procedures for accessing the information;
 - 5. Designing instruments for collecting the data;
 - 6. Collecting the data;
- analysis
 - 7. Processing the data;
 - 8. Organizing the data for analysis;
 - 9. Analyzing the data;
- synthesis
 - 10. Determining what the data say (drawing inferences, insights, generalizations, conclusions);
- evaluation
 - 11. Turning the information/data into usable knowledge; judging the worth of the knowledge; determining how to use the knowledge; deciding what action to take based on the knowledge .

A step-by-step treatment of the needs assessment process is provided in Addendum C.

1.3 Construct PERC Matrix

A somewhat different but vital part of your planning is the location of potential resources available in the community. Most communities have far more resources available than are normally used. In other situations resources are duplicated or reach only a segment of the intended recipients. A resource grid is a map of services available, with organizations, agencies, governmental groups or individuals who offer these services. It is often easy, on the grid, to spot areas that are neglected or overloaded. The grid will be used in step six to help you in detailed planning.

The PERC Matrix is a graphic compilation of the various service providers as related to each of the major areas of concern. The top axis (horizontal) of the matrix lists the needs/need areas in which major problems are identified, such as: school dropouts, adult literacy, rehabilitation services, post secondary education services, at-risk services, services for elderly, substance abuse and the like. The left (vertical) axis of the matrix lists all of the human service delivery systems, agencies or organizations which serve the areas listed on the horizontal axis. The matrix is filled in using three numbers:

3. Much involvement in delivery of service to the target population
2. Moderate involvement
1. Little or no involvement

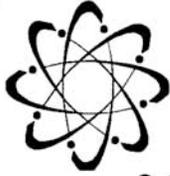
A portion of a sample matrix is provided on the following page. Note that several categories of the School Dropouts column have been filled in on the sample.

1.3 SAMPLE PERC MATRIX RESOURCE GRID

	School Dropout	Adult Literacy	Rehab. Services	Post Sec. Ed Services	At-Risk Services	Services for the Elderly	Other Target Populations →
LEA Schools							
State Dept. Edu.	3						
Comm. on Aging	1						
Dept. Youth Ser.	3						
Rec. Dept.	2						
Law Enforcement							
DSS							
Literacy/Adult Ed.							
USC							
Clemson							
Vocational Rehab.							
Alcohol & Drug							
Technical Colleges							
US Dept. of Education							
Mental Health							
Council on Aging							
Government Office							
PATHS							
Downtown Development							
JTPA							
Adult Mental Retard. Bd.							
Job Services							
DHEC							
Youth							
Public Schools							
Ministerial Assoc.							
Faternal Org.							
Homemaker's Club							
Electrical Co-ops							
PTO							
Day Care							
Veteran's Admin							
Co-op Funding							
Recreation Dept.							
Other agencies as appropriate							

- 3. Much involvement in delivery of service to the target population
- 2. Moderate involvement
- 1. Little or no involvement

PERC Process



2.0 Fission (Analysis)

- 2.1 determine a priority need from matrix
- 2.2 expand participants, if necessary
- 2.3 participants list services to the priority need on Data Sheet
- 2.4 group shares services
- 2.5 services are summarized on chalkboard
- 2.6 each participant maps all possible services to the priority need
- 2.7 highlight services in common

Fission

2.1 Determine Need Priorities based on the Matrix

A visual review of the matrix will provide the core group with an idea of which problem areas are not being adequately served. In part, this is a subjective judgment based on the information available. The core group will have identified (in Step 1.1) those problem areas which are of most concern in the community. The matrix will help to identify which resources are available to focus on the problem areas related to the target population. The core group will identify which area or areas are of most concern in the community through a consensus process based on discussion, analysis, debate and agreement.

2.1 SAMPLE PRIORITY NEEDS BY GROUP

NEEDS	Group 1	Group 2	Group 3	Group 4	Group 5	Group 6	T
Transportation							
Support Groups							
Cultural Understanding							
Rehabilitation Programs							
Lifestyle/Behavior/Cycles							
Timing							
Scheduling							
Availability							
Child Care							
Knowledge							
Increasing Employment Opportunities							
Parenting							
Dropout Rate							
Homeless							
Life Skills							
Teen Pregnancy Prevention							
Public Involvement Ed. Prog.							
Information							
Coord. of Educ. Prog.							
Adequate Facilities							
Applied Learning							
50/65 Yrs. Needs Targeted							
Handicap Services							
Alcohol & Drug Abuse							
Abuse Prevention							

2.2 Expand Participants

A review of the matrix (vertical axis) on page 15 will help to pinpoint the delivery systems (agencies/organizations) which have a "3" or "2" in the target population's column. Which problem areas do not appear to have adequate resources? Are these the major problems in the community? Are there other agencies or organizations which provide services to the targeted populations? Add any other agencies which can be identified. Invite all of the identified agencies or organizations to participate in the rest of the PERC process.

2.3 List Services Available

Each participating agency (in the expanded group) initiates the process by filling out a data sheet (Walkabout Planner) related to the prioritized area. The data sheet should be filled out from the perspective of each agency. The purpose of this step is to focus attention on each agency. What does each agency do best? What unique things are done by an agency? This places the "center of attention" on the agency and helps to reduce turf problems which often arise in interagency cooperative efforts. A sample Walkabout Planner data sheet is on the following page.

2.4 Share Services - Existing, Needed and Barriers to Improved Services

Each participant verbally shares with others the results of the data sheet developed in Step 2.3. As the sharing takes place, the planner facilitates this sharing (Step 2.5) of services offered to the target population. Discussion begins to focus on interrelation duplication and gaps in service delivery.

2.5 List all Services to the Target Population

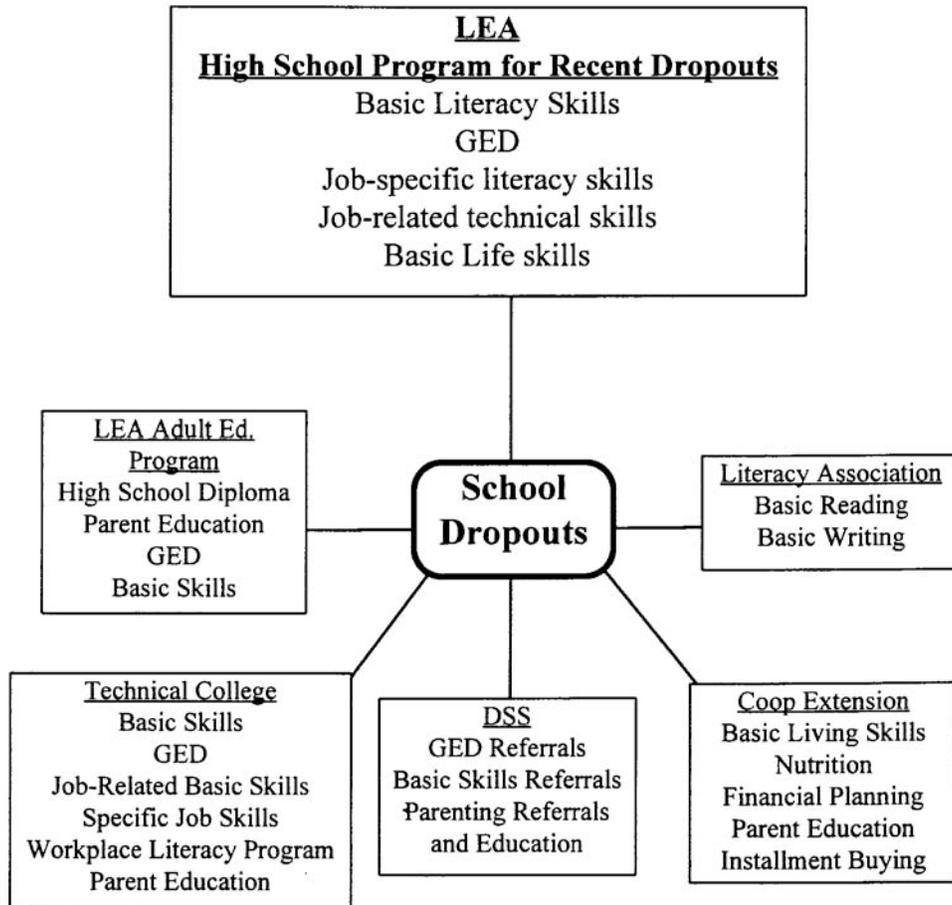
Based on the sharing session data sheets, the planning team begins to help the group build a map of services offered. Each agency lists the services offered (from the first column of the data sheet) on a separate sheet of paper to be taped together (Step 3.1) on the map. A sheet related to School Dropouts (16 - 21 years old) might look like:

<p style="text-align: center;"><u>LEA</u> <u>High School Program for Recent Dropouts</u> Basic Literacy Skills GED Job-specific literacy skills Job-related technical skills Basic Life skills</p>
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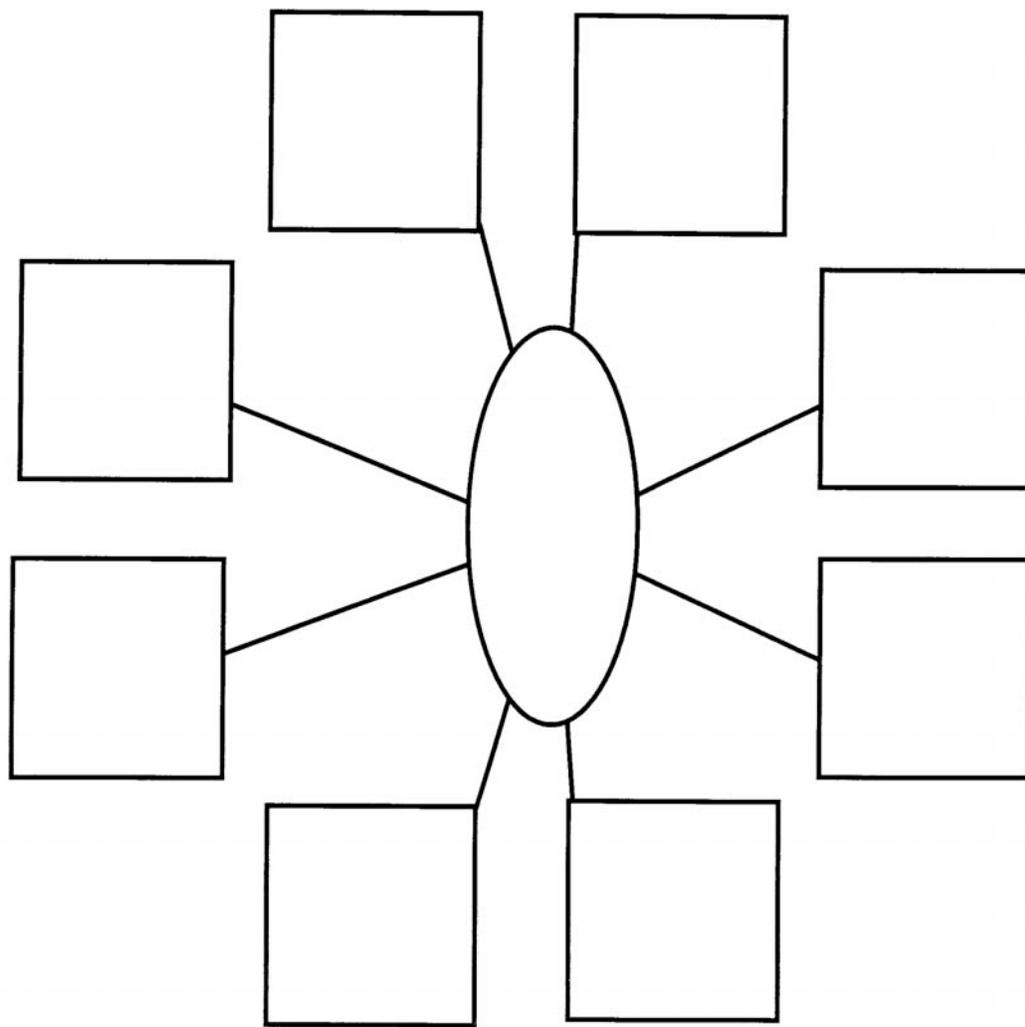
2.6 Map all Services to the Priority Need

To provide a comprehensive picture of services provided to the target population, the planner builds a map from the sheets developed. The Priority Need is placed in the center of the map with the service delivery area and actual services placed around the center. The service delivery area and services thus represent a roadway to our destination. An abbreviated map, showing a few of the many possible agencies, is provided on the next page.

2.6 Sample Service Map



2.6 Service Map Worksheet



2.7 Highlight Services In Common

From the constructed map, the planning team begins to analyze and identify services which are common to several different agencies. This moves the process forward of searching for duplication, overlap and gaps that need to be filled. Participants should begin to reflect on their own agency, asking

- What could we do differently to better fit into the overall picture?
- How can we better meet client needs by coordinating our activities with those of other agencies?

The analysis of services should include the following questions:

- What is? (pluses and minuses)
- What's duplicated/overlapped?
- What's missing?
- What action could/ought to happen?

2.7 Analysis of Services Worksheet

ANALYSIS	
What is? (pluses and minuses)	What's duplicated/overlapped?
What's missing?	What action could/ought to happen?

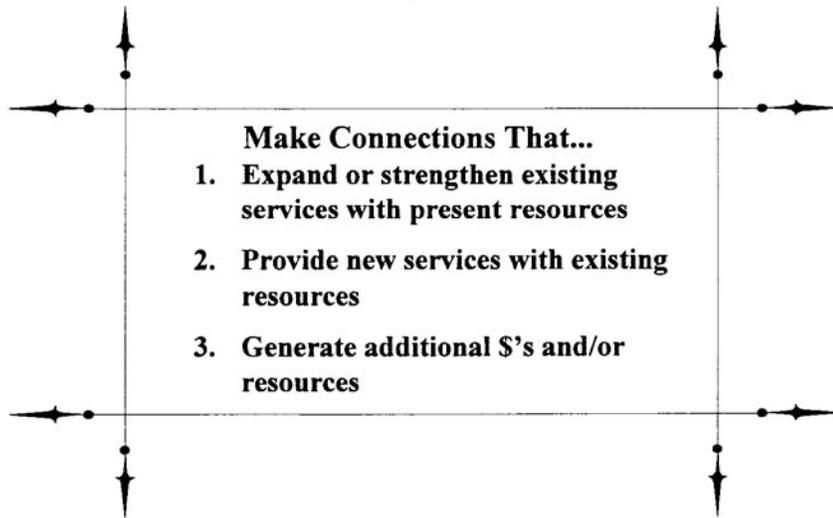
PERC Process



3.0 Fusion (Synthesis)

- **3.1 make map interconnections**
- **3.2 create new map**
- **3.3 match interconnections**
- **3.4 develop collaborative action plan (CAP)**
- **3.5 design evaluation process for CAP**
- **3.6 strategies are developed in each agency related to CAP**

Fusion



3.1 Identify Interconnections

The expanded group of participants identifies and discusses services which interconnect with similar services offered by other agencies. In the sample map on page 22, several different agencies offer parent education for school dropouts. These similar services were highlighted in Step 2.7. Agencies should begin discussing the nature of the interconnections to determine to what extent there are overlaps and gaps in services provided.

3.2 Create New Map

This is one of the most important steps in the entire process. It requires new, collaborative-type thinking to transcend the barriers which normally prevent new configurations and new patterns of problem-solving. This requires "out-of-the-box" creative thinking about new relationships. The planning team might warm the group up for "non-traditional" thinking with the nine-dot square or the perfect square problems.

The center of the new map becomes more specific, moving from school dropouts to parent education. Can a new map be created representing new roadways toward our destination by making maximum use of the resources of each agency involved in the delivery and/or support of parenting education? Where are the overlaps? Can duplication be avoided and services improved? Are there gaps in the services offered? Are there segments of the target population which are not being served? Participants should review and share columns two, three and four from their data sheets (Step 2.3) and Analysis of Services Worksheet (Step 2.7) as the new map is being created.

- What else should/could we be doing?
- What else could we do with additional resources?
- What new structures, patterns or collaboratives can be created to provide more/better services?
- How can we move forward from where we are toward where we would like to be?
- What prevents us from doing better? How could we share resources to do better?

3.3 Match Interconnection Output Areas

As new patterns of service delivery emerge, the map will be constructed to show the new interconnections and the new outputs of service delivery.

3.4 Develop Collaborative Action Plan (CAP)

The new map and interconnections demonstrate what could be. To move from the present, the participating agencies and organizations will need to develop a new plan of action based on collaboration and the interconnection of resources across agencies.

- How can we proceed collaboratively? In-service training, technical assistance, host meetings?
- What resources are we willing to provide? Personnel, equipment, materials?
- What resources can we expect from others?
- What are the barriers that will have to be crossed? Agency policy, hours of operation, use of facilities, lack of trust on the part of decision-makers?

The sample Collaborative Action Planning Process included in Addendum D might be used for developing the CAP. Its four-step process includes:

1. Goal Setting
2. Identifying Constraints
3. Developing Project Objectives
4. Designing Project Activities

See Addendum D for details on each step.

3.4 Worksheet: Collaborative Action Plan Goals & Objectives

Goal Arena:

Goal:

Objective #1

Objective #2

Objective #3

Objective #4

Objective #5

Objective #6

3.4 Worksheet: Management Plan for Each Objective

Goal A: _____

Objective #1 _____

Activity	Completion Date	Agency Responsible	Personnel Responsible

3.5 Evaluation for Collaborative Action Plan (CAP) Design

I. Introduction

Program evaluation has several different purposes. Among the most essential are:

1. To determine the degree to which the program is progressing toward projected goals and outcomes;
2. To determine the overall value or effectiveness of the program;
3. To determine the cost and time ratio factors related to the program.

The evaluation design is one of the most neglected parts of the program proposals and the evaluation process is perhaps the most misused and misunderstood program element. Many administrators, teachers and program planners feel that evaluation infringes upon their academic freedom and is a means of controlling what and how they implement programs; others view it as a waste of valuable time and resources.

Program decisions are not made in a vacuum. They are made against a basic set of criteria or standards which too often are left vague and non-specific in terms of expectations and results. Program decisions should be made based on:

1. Program determinants
 - the socioeconomic context
 - the nature of the client group or the learner
 - the philosophical orientation of the institution
 - the nature of the content to be taught or program to be offered.
2. The expectations of the client group(s)
3. Evidence of the level of productivity (outcomes vs. costs vs. time vs. human resource requirements).

II. The evaluation design

The evaluation design lays out the plan for collecting and analyzing the data required for proving the worth and effectiveness of the program.

Most designs contain at least five steps:

- 1.0 Defining the purpose of the evaluation;
- 2.0 Designing the evaluation process and methodology
- 3.0 Specifying the data needed, the instrumentation to be used to collect the data, and the data collection process;
- 4.0 Collecting, compiling and treating the data;
- 5.0 Analyzing and reporting the data (results conclusions and recommendations).

Each step is discussed in Addendum E. However, the bottom line of the evaluation process should consider two vital points:

1. Monitoring - Are we carrying out the activities we planned, and are we on schedule?
2. Discrepancy Analysis - To what degree did we achieve our goals and objectives, or how far have we moved from the situation we had when we started to where we are today.

3.6 Develop Collaborative Action Plan (CAP) Within Each Agency or Organization

Once the PERC participant group has developed a collaborative action plan to address the problem area, each agency or organization must build the **collaborative commitments** into its own action plan. If the entire network of agencies is not willing to "change the way they do business" in order to better meet community needs and solve community problems, the collaborative efforts will be short-lived or only partially effective. This collective action is what creates synergy (the outcome is greater than the sum of the individual parts).

This part of the process is up to each individual participant and calls for institutional change within each of the participating agencies. For most agencies, such changes will be difficult and will have to be gradually institutionalized through small cooperative steps.

Evidence of the commitment of each collaborating agency should be developed through the following action steps:

- **Integrate** the relevant components of the Collaborative Action Plan into the mission, goals and objectives of each agency's strategic plan for the year(s).
- **Assign** specific personnel to the collaborative effort and identify their specific role(s).
- **Integrate** the collaborative effort activities into the individual work plans of each individual in the agency who is assigned to work on the CAP.
- **Develop** an internal monitoring system to track the contribution of the agency to the CAP and to determine the extent to which the agency is carrying out its agreed upon segments of the CAP.

Note in the sample below, for each objective the person responsible is listed with a number in parenthesis indicating the level of responsibility. Most objectives will have several people responsible.

(1) = primary responsibility

(2) = secondary responsibility

(3) = tertiary responsibility

Objective	Person(s) Responsible*			Timeline
Objective #1	Mrs. X (1)	Mr. Y (2)		
Objective #2	Mr. P (3)	Mrs. X (2)	Mr. Y (3)	Mrs. T (1)

* An agency could have more than one person listed with a (2) or a (3) but only one person who has primary responsibility (1).

SUMMARY STATEMENT

The PERC Process is designed to be flexible so as to adjust to different situations and needs. In some situations, particularly after a group has worked together for some time, some of the steps can be skipped, others might prove to be unnecessary. The important part of the process is the thinking, sharing and problem-solving done by each individual in the group as part of a collaborative effort to improve/increase the delivery of human services. PERC is only a planning process; a first step toward collaboration. Implementation of the plans developed will require continued collaboration among the individuals and agencies involved in the PERC process.

Remember the lessons learned about collaborative processes:

1. Begin an interagency approach by focusing on one relatively small, manageable topic or problem area in order to experience success and to develop relationships and a common background of experiences on which to build a team which can work effectively together.
2. Don't try to do too much too fast; trust and understanding develop slowly with mutually satisfying successes
3. An unbiased leader, with some planning expertise, must emerge to help guide the council through the early phases of cooperation toward a more comprehensive collaborative venture.
4. Some external resources or pressures may be needed to help get an interagency council formed and operating at a reasonable level of proficiency.
5. Someone must take responsibility for maintaining regular, ongoing communications and coordination—a particularly crucial function during the early stages of development.
6. A little success goes a long way toward convincing those who initially harbor doubts to participate fully in a collaborative venture.
7. Council membership should not be viewed as static. The council or interagency planning team might expand or contract depending on the issues or problems being addressed; however, it must have a common core of members to give continuity and focus.

William Raspberry succinctly summarized the essence of a recent Education and Human Services Consortium report, *What It Takes*, when he stated that:

... services are mostly crisis-oriented--designed not to prevent problems but to deal with problems that have already occurred. Agencies not only fail to collaborate; they seldom even cooperate, except in terms of pro forma referrals. Often they are outright rivals, competing for scarce public funds.

Large-scale comprehensive service delivery designed to solve identified community problems "is possible only when communities move beyond cooperation to genuinely collaborative ventures at both the service delivery and system level." (Melaville, p. 4).

Addendum A: Group Reference Materials¹

I. GROUPS

A group is a dynamic social entity composed of two or more individuals, interacting interdependently in relation to one or more common goals that are valued by its members, so that each member influences and is influenced by every other member, to some degree, through face-to-face communication. Over time, if the individuals who comprise the group continue to assemble, they tend to develop a means for determining who is and who is not a member, statuses and roles for members, and values and norms that regulate behavior or consequences to the group. (Bertcher, 1975, p. 14)

In order for a group to be a group, some characteristics must exist:

1. A group should perceive that it is a group.
2. Individual members have banded together to satisfy some personal need.
3. The group must have a common goal or purpose (and it will remain united as long as that purpose is being achieved).
4. The group possesses some sort of structure or organization.
5. Group members rely on one another for the achievement of the group's goal, providing each member functions well in relation to the expectation of the other members.
6. A collection of individuals becomes a group when the individuals communicate with each other.

Other Characteristics of Effective Groups

Let's look at five additional characteristics of a group--specifically, output, objectives, energy, structure and 'atmosphere-in more detail.

Output. The true test of a group is whether it delivers the goods or not. A group is capable of achieving results that the individuals who comprise it cannot do in isolation. Each person's diverse talents combine in the group to create an end product beyond each individual's own capability.

Objectives. A group needs a purpose that is understood, shared and felt to be worthwhile by its members. This purpose can be described as the group's "mission." Additionally, there will be specific objectives that the group and each individual member have a commitment to achieve.

Energy. Group members gain strength from one another. Collectively, they feel more potent and find that group activities renew their vitality and enjoyment. The word synergy has been used to describe this group energy-accomplishing more as a whole than the sum of the individual parts.

Structure. Group members assume various roles in the group to help the group function effectively, to remove barriers, to deal with feelings of frustration, hostility or aggression. Members recognize conflict is a normal aspect of human interaction but they view such situations as an opportunity for new ideas and creativity. They work to resolve conflict quickly and constructively.

¹Developed by Ann Jones, EdD Candidate, USC, 1993

Atmosphere. Group develop a "group spirit" which allows for freedom and individuality as well as group productivity. Members extend themselves in the interest of the group. Members encourage and support risk-taking. Members participate in decisions affecting the group but understand a leader must make a final ruling whenever the group cannot decide, or an emergency exists. Positive results, not conformity, are the goal.

II. WHY GROUPS?

Learning is generally thought of as an individual pursuit, but this is not exactly true. Groups can also learn and the skills of the group are the property of the group as a whole. At the core of effective group-building is a crucial level of collective learning. Groups have to find answers to such questions as:

- What are we here to do?
- How shall we organize ourselves?
- Who cares about our success?
- How do we work through problems?
- How do we fit in with other groups or groups?
- What benefit do group members need from the group?

Your Group will not necessarily answer these questions step-by-step. In practice, issues are usually worked through as they become significant barriers to progress. If the barrier is worked through, then your group will become stronger. If it is not cleared, then the group will regress.

Building a Group involves working through all the barriers to progress until a working group becomes an effective group. Be aware, however, that the time frames for completion of work in COPE classes are usually much less than for groups in other areas such as the work site, so the ability of your group to discuss problem-solving early in the process is critical.

III. STAGES OF GROUP DEVELOPMENT

All groups have stages of growth. Remember that these stages of group development do not follow a predictable step-by-step sequence, but a pattern does emerge as a loose configuration of individuals moves through this developmental obstacle course and emerges as a group.

Stage 1 - Testing

We all react very differently to the challenge of meeting new colleagues. Some of us are fearful and nervous, with sweating palms and dry lips. Others of us are eager, looking forward to opportunities for excitement, achievement and challenge. Some of us may be disgruntled, evasive, attention-seeking or just not wanting to be in this situation at this time. The possible combinations are endless. It is with this foundation that your group will begin to form. People initially seek to find their place in a group in relation to others. Their inner antennae are finely tuned, often to the subtle, non-verbal messages that individuals constantly monitor. Each person is trying to answer a personal question: "How do I belong to this group?"

As the group begins to form, there is a gradual growth of personal exchange and contact. People seek to find out about one another, wanting to uncover attitudes, values, style, and the other person's readiness to be contacted. This testing process continues until each person makes a decision concerning the character of his or her involvement.

At this stage, the group may appear to be acting effectively, progressing with its tasks and forming what seems to be a friendly comradeship between members. However, this condition often is only skin-deep, because the initial effectiveness comes from attitudes and training prior to the group being formed. A group should enable each person to get to know the other members in a less superficial way. As a result, the initial comfort of the members may disappear as more real issues bubble to the surface.

Stage 2 - Infighting, Power and Control

As the group develops, it becomes necessary to sort out personal relationships of power and influence. Alliances are formed and certain people emerge as particularly significant. At this stage, the group has to decide how it is going to operate. Most issues that surface at this stage are concerned with control, and three questions are dominant:

1. Who controls the group?
2. How is control exercised?
3. What happens to "delinquents?"

A special note: Groups are sometimes designed to be initially "leaderless." This can be advantageous in that each group member can assume a leadership role during the work period, should you desire to develop that role for yourself. We strongly recommend that each group work to ensure that each group participant has a leadership role and responsibility for task completion. For individuals not used to assuming leadership roles, this responsibility can be unnerving at first. Take a deep breath, and take charge!

Stage 3 - Getting Organized

Following successful resolution of any control issues (at least for the time being!), the group will begin to tackle its work with a new energy. Basically, people want to work together and commit to trying to make the group work. This is an important stage for your group because the group needs the support and interest of all members. Without this, individual preoccupations dominate, and the group itself fails to grow stronger.

The group will become more concerned with precision, and contribution is discussed and measured. Typically, the quality of listening improves and people begin to respect each other's contribution. Group members become more concerned with economy of effort and task effectiveness. Considerable time at this stage is spent reviewing performance and identifying new options.

At this stage, the group has to grow in its capacity to handle problems creatively, flexibly and effectively. Without this beginning of working methods and for problem-solving, the group may not function effectively, stagnate, or even come to a grinding halt.

Getting organized takes time. The ability to understand others and their needs, problem-solving and working styles, and effective communication are critical in order to clarify objectives and move forward.

Stage 4 - Mature Closeness

Members of a fully established group do develop rapport and closeness. At times this can be so strong that bonds of comradeship are forged. Members of a group are prepared to extend

themselves for their colleagues and real enjoyment of each other is typical. Informality is often a keynote of a group at this stage, but it is based on positive regard for each of the other group members. There is a strong feeling that others would be willing to help. Roles of the group members have been identified and each person's contribution is distinctive.

Observers watching the group are aware of the group's close bonds, but group members also build close and open links with those outside the group. Aware that it is difficult to avoid negative rumors and images from developing, group members take steps to reduce the risk that the closeness of the group can feed arrogance and insular attitudes. At this stage, definite steps have been taken to clarify the groups organizational role and contribution. A mature group does not allow its function to become redundant or obscure; it will influence others to provide the recognition and support needed. A group can gain sufficient strength to ensure that it assertively puts its case across.

Remember, all groups have their developmental stages. Movement through these developmental stages is not straightforward. In fact, given any circumstances happening to your group, you may find yourself moving back and forth among the stages. Group maturity occurs when you are able to successfully work through any difficulties that arise in each of the stages.

If you are interested in more information on group development, you might like to refer to work by Vareny, Schutz or Tuckman referenced in the bibliography at the end of this section.

IV. COMING TOGETHER

In order to effectively function as a group, you will have to create a "we" feeling among the members of your group. How can you create this positive emotional climate? This section provides you with information on creating what is called "cohesiveness." The ability to develop high cohesiveness and trust is necessary for any group or group effort. Group cohesiveness is the extent to which the influences on members to remain in the group are greater than the influences on members to leave the group (Johnson and Johnson, 1975, p.372). If members like one another, wish to remain in one another's presence and is productive, the group is cohesive. However, a group can complete tasks and not be cohesive. There are definite consequences of a lack of cohesiveness upon groups. As cohesiveness increases, so does the ability of a group to keep its members, and the longer the group keeps its members, the greater the likelihood that it will achieve its goals. Highly cohesive groups are characterized by low turnover in membership and low absenteeism. As cohesiveness increases, there is a similar rise in the participation of all group members-and the greater the participation of the members, the greater the resources are available to the group to achieve its goals. As cohesiveness increases, group members also become committed to the group's goals, accept assigned tasks and roles more readily, and conform to group norms more frequently. Members of cohesive groups put a greater value on the group's goals and stick more clearly to the group's norms than do groups lacking cohesion. They are also more eager to protect the group's norms by putting pressure on or rejecting those who violate them. Members are more loyal to the group and more willing to work toward a common goal. Group members communicate more frequently and effectively in cohesive groups. The more cohesive the group is, the more group interaction is friendly, cooperative and democratic. Group members are more willing to listen to other members, more willing to accept the opinions of other members and more willing to be influenced by other members.

While there are strong benefits of cohesion upon you as group members, highly cohesive groups can experience negative consequences as well. There is evidence which suggests that highly

cohesive groups allow greater development and expression of hostility and conflict than noncohesive groups. Unless antagonism is openly expressed and conflict openly resolved, persistent hostile attitudes may develop that will increasingly hamper effective group cooperation and interaction. What is the result of a hostile attitude? What usually occurs is an avoidance of and dislike for the ideas of other members-and a refusal to communicate with them. At one basic level, a person does not enjoy being with someone he or she dislikes, and the lack of communication means that the chances for the conflict to be resolved are lessened.

Cohesiveness is important, since when cohesiveness is high, the group members must mean enough to one another to be willing to hear the discomfort of working through the conflict. Regardless of how angry members of a cohesive group may become with one another, they are more likely to continue to communicate, which helps the group to resolve conflicts and capitalize upon controversies, both of which increase the group productivity. How close you are as a group determines your effectiveness as a group. An effective group simply means that you can work cooperatively on your work and work through difficulties you may experience. How can your group increase cohesion? According to Johnson and Johnson, three items can help:

- meeting the personal needs of group members,
- building and maintaining a high level of trust, and
- establishing appropriate group norms

Group Member Needs

We need others and we depend on others. We are social beings, and our degree of sociability and our needs for this can impact on the group. No matter who is on the group, each of you will have to deal with issues of inclusion and control.

Inclusion needs focus on your membership--who is "in," who is included and who is not. Some of you may want a close group, others of you may not. Some of you may prefer to work more by yourself, for whatever reasons; others of you may yearn for the group work, discussion, and experience. During the Forming/Membership stage of group development, it is important for your group to look at who each of you are to one another as a group. Remember, too, that as adult learners, each of you have come to this program or course for your own reasons with unique needs to be met. How effectively they are met has an impact on you and the group. The group experience can enhance or detract from your learning experience and your own personal wishes and needs. The ultimate group goal is to move from "I" to "we."

Once your group has formed, expect that some control issues among members will surface. Each of you will be taking different roles, and issues around power and influence will surface. Don't panic! The need for control is the need group members have to keep a satisfactory connection between each of you in relation to power or influence. Each of us has a need to control what goes on around us so that it will be predictable for us. Usually this means that we control others, because people are the main source that threaten us and have the potential to create an unpredictable or uncontrollable situation. There are usually two aspects of control in a group: the degree to which one controls another and the degree to which one wants to be or allows him/herself to be controlled. Often, issues of control center in decision-making, with the central question being, "Does it make any difference if I am here or not?" Each of us has a preference as to the degree to which we need to control or influence others and the degree to which we wish to be controlled or influenced by others. Working as a group to consciously distribute leadership

throughout the group ensures a balance between each member's ability to control and be controlled.

Affection is usually the last piece to show in the development of a group. In this inclusion phase, members' control needs will require you to encounter and experience one another, decide on whether you will continue to relate to one another, and figure out how to relate to one another. As the group continues its relationship through the semester, you will begin to see tiers of affection emerge (remember-you can continue to work together, albeit not as effectively, if you stay together but not relate well to one another). The need for affection is the need a person has to keep a satisfactory relationship between him/herself and others. At one extreme is the person who likes close relationships with every person he or she meets. At the other extreme is the individual who prefers his or her relationships to be impersonal and distant, perhaps friendly, but not too close or intimate. On a group, a major issue is one of group members' feeling valued, respected and accepted. You will find that you will experience this after a task is successfully completed by the group--when you feel that you have been working with good people, when there is an awareness of pride in "our" accomplishments.

Developing Trust

A necessary part of increasing the cohesion of your group is developing and maintaining a high level of trust among your members. Why is trust important? The higher the trust, the more stable the cooperation and the more effective the communication. Think back when you felt trust for members of a group. When your trust level was high, didn't you express your thoughts, feelings, reaction, opinions, and ideas more openly? What happened when your trust level was low? Most likely, you saw evasiveness, secretiveness, unexpressed thoughts and inconsiderate communication. Members of a group will more honestly announce cooperative intentions and contribute to a cooperative effort if each person feels he or she is dealing with a highly trustworthy person or persons. How well a group is effective and cooperative rests upon each group member's sharing of resources, giving and receiving of help, dividing the work, and contributing to the accomplishing of mutual goals. These behaviors will occur when there is trust that everyone else is contributing to the group's progress and not using group members' openness and sharing for personal gain rather than group gain.

There is nothing simple about trust: It is a complex concept and difficult to explain. For example, imagine you are part of a small group that is supposed to decide which teachers to rehire for next year. You begin to contribute to the discussion, knowing you will gain if you contribute good ideas that other members accept, but will lose if your ideas are laughed at and belittled. Whether you gain or lose depends upon the behavior of the other group members. You will feel more hurt if you are laughed at than you will feel satisfaction if your ideas are appreciated. Yet, you expect the other group members to consider your ideas and openly accept them. To establish a trust relationship among members of your group consider the following:

Communicate your information accurately. If your group approaches the issue in a cooperative way, the communication of this information is much more complete, accurate and encouraged by other group members.

Work diligently to provide a supportive climate in which each group member feels safe enough to challenge each other's ideas. A climate of cooperativeness will help foster such willingness to challenge others.

Value controversy. Controversy and conflict in a cooperative, trusting environment can help promote the group's belief that something good will evolve from the conflict.

Deal with feelings as well as with ideas and information. Cooperativeness is positively related to the group's ability to understand what others are feeling and why they are feeling that way.

V. COMMUNICATING WITHIN YOUR GROUP

For groups to function, communication must occur. Every group must take in and use information. The very existence of your group depends on communicating, exchanging information and transmitting meaning. The cooperative action of your group is dependent upon effective communication. Through effective communication, members of groups can reach some understanding of one another, build trust, coordinate actions, plan strategies for accomplishing goals, agree upon a division of labor, facilitate all group activities, and yes, even argue. Communication, simply defined, is a message sent by a person to a receiver (or receivers) with the conscious intent of affecting the receiver's behavior. Communication is a process in which everyone involved receives, sends, interprets and infers all at the same time. Communication involves persons sending others symbols to which certain meanings are attached. They can either be verbal or nonverbal. How will each of you know when communication is working effectively or not within your group? We can believe that communication is effective between two individuals when the receiver interprets the sender's message in the much same way the sender intended it. We all have different backgrounds and bring a different set of experiences to the communications table-all of which affects the message we send and the messages we receive. No two people, hearing the same message, will interpret it exactly the same way. Sending and receiving messages often take place at the same time. A person can be speaking and at the same time paying close attention to the receiver's nonverbal responses. It takes a real effort to really understand what another person is trying to communicate-we can never walk in exactly the same shoes. The extent to which your group can reduce communications barriers will be directly related to your group's effectiveness.

Supplement: Role of Membership/Role of Leadership (Rensis Likert)

In the highly effective group, many functions are performed either by the leader or by the members, depending upon the situation or the requirements of the moment. The leader and members, as part of their roles in the group, establish and maintain an atmosphere and relationships which enable the communication, influence, decisionmaking and similar processes of the group to be performed effectively. This means not only creating positive conditions, such as a supportive atmosphere, but also eliminating any negative or blocking factors. Thus, for example, groups sometimes have to deal with members who are insensitive, who are hostile, who talk too much, or who otherwise behave in ways adversely affecting the capacity of the group to function. In handling such a problem, the group makes the member aware of his deficiency, but does this in a sensitive and considerate manner and in a way as to assist the member to function more effectively in the group. The members of most ordinary groups stop listening to a member who expresses himself in a fuzzy or confused manner. In a highly effective group, the members feed back their reaction to the person involved with suggestions and assistance on how to make his contributions clear, important, and of the kind to which all will want to listen. Friendly assistance and coaching can help a member overcome excessive talking or help him/her to learn to think and express himself/herself more clearly.

Benne and Sheats (1948) have prepared a description of the different roles played in well-functioning groups. Later Rensis Likert (1961) modified them. These roles may at times be performed by one or more group members, at other times by the leader. Group roles are classified into two broad categories:

Group Task Roles:

- Information-seeking: asking for clarification of suggestions made in terms of their factual adequacy, for authoritative information and facts pertinent to the problems being discussed.
- Information-giving: offering facts or generalizations which are "authoritative" or involve presenting an experience pertinent to the group problem.
- Opinion-giving: stating beliefs or opinions pertinent to a suggestion made or to alternative suggestions. The emphasis is on the proposal of what should become the group's view of pertinent values, not primarily upon relevant facts or information.
- Elaborating: spelling out suggestions in terms of examples or developed meanings, offering a rationale for suggestions previously made, and trying to deduce how an idea or suggestion would work out if adopted by the group.
- Coordinating: showing or clarifying the relationship among various ideas and suggestions, trying to pull ideas and suggestions together or trying to coordinate the activities of various members or sub-groups.
- Orienting: defining the position of the group with respect to its goals by summarizing what has occurred, departures from agreed upon directions or goals are pointed to, or questions are raised about the direction the group discussion is taking.
- Evaluating: subjecting the accomplishment of the group to some standard or set of standards of group functioning in the context of the group task. Thus, it may involve evaluating or questioning the "practicality," the "logic" or the "procedure" of a suggestion or of some unit of group discussion.
- Energizing: prodding the group to action or decision, attempting to stimulate or arouse the group to "greater" activity or to activity or a "higher quality."
- Assisting on procedure: expediting group movement by doing things for the group—performing routine tasks, e.g., distributing materials, or manipulating objects for the group, e.g., rearranging the seating or running the recording machine, etc.
- Recording: writing down suggestions, making a record of group decisions, or writing down the product of discussion. The recorder role is the "group memory."

Group Building and Maintenance Roles

Here the analysis of member-functions is oriented to those activities which build group loyalty and increase the motivation and capacity of the group for candid and effective interaction and problem-solving. One or more members or the leader may perform each of these roles.

- Encouraging: praising, showing interest in, agreeing with, and accepting the contributions of others; indicating warmth and solidarity in one's attitudes toward other group members, listening attentively and seriously to the contributions of group members, giving these contributions of others; indicating warmth and solidarity in one's attitudes toward other group members, listening attentively and seriously to the contributions of group members, giving these contributions full and adequate consideration even though one may not fully agree with them; conveying to the others a feeling that -- "that which you are about to say is of importance to me."

- Harmonizing: mediating the differences between other members, attempting to reconcile disagreements, relieving tension in conflict situations through jesting or pouring oil on troubled waters, etc.
- Compromising: operating from within a conflict in which one's ideas or position is involved. In this role one may offer a compromise by yielding status, admitting error, by disciplining oneself to maintain group harmony, or by "coming half-way" in moving along with the group.
- Gate-keeping and expediting: attempting to keep communication channels open by encouraging or facilitating the participation of others or by proposing regulation of the flow of communication.
- Setting standards or ideals: expressing standards for the group or applying standards in evaluating the quality of group processes.
- Observing: keeping records of various aspects of group process and feeding such data with proposed interpretations into the group's evaluation of its own procedures. The contribution of the person performing this role is usually best received or most fittingly received by the group when this particular role has been performed by this person at the request of the group, and when the report to the group avoids expressing value judgment, approval or disapproval.
- Following: going along with the group, more or less passively accepting the ideas of others, serving as an audience in group discussion and decision.

The group task roles all deal with the intellectual aspects of the group's work. These roles are performed by members of the group during the problem-solving process. The group-building and maintenance roles are, as the label suggests, concerned with the emotional life of the group. These roles deal with the group's attractiveness to its members, its warmth and supportiveness, its motivation and capacity to handle intellectual problems without bias and emotion, and its capacity to function as a "mature" group.

How to Turn Your Task Force Into a Winning Team

Tips for Team Building

1. Make sure your task force includes all key personnel, (i.e., those whose cooperation you need to accomplish your mission).
 2. Ensure that all team members come to consensus on (and have the same understanding of) the team's mission, purpose and objectives.
 3. Define and describe project success in a way that team members can all recognize its achievements.
 4. Specify each team member's functions and enhance those informal roles critical to team success (e.g., consensus-testing, encouraging, harmonizing, information-seeking).
 5. Identify the work styles and strengths of each team member, and build your team on these assets.
 6. Assist team members to "buy in," (i.e., become personally invested in the team's success by indicating the payoffs important to each.)
 7. Save team time (in both meetings and in paper flow) by delegating some issues to unilateral decision-making.
 8. Reserve for team decision-making only those issues that teamwork synergy, interdependence, support and productivity benefit.
 9. Keep your team solution-oriented within the confines of its own mission.
- Avoid gripe sessions about what the team wishes others would do.
10. Create a team atmosphere supporting team members sharing of risky and innovative ideas.

Barriers to Successful Alliances

- The reflexive impulse common to administrators to regard as a threat any redrawing of the lines of "prerogative."
- The custom and practice of identifying people with their current duties, instead of seeing them as professionals capable of contributing to the improvement of the system as a whole.
- Each side's conviction that the other will take unfair advantage.

Barriers to Constructive Group Participation² Feelings of Personal Inadequacy: People may differ in the degree to which they possess such feelings, but it is probably true that everyone has

some feelings of inadequacy. Some may feel inadequate only in certain groups, as for example an uneducated person in a group of professionally trained people. Others may feel a general sense of inadequacy or worthlessness in almost all groups, or in all interpersonal relationships.

Fear of Evaluation and Rejection: A person who is overly sensitive to the evaluations of other group members and is threatened by the possibility of being rejected by them can hardly be an effective participant in a group. Much of what he has to offer that is unique and creative will be held back for fear of negative evaluations of others. What such a person does contribute may be only that which he is certain will conform to the views of others.

Reactions to Authority: Many group members are caught up in the needless and utterly fruitless task of discovering and identifying with the "correct" authority. From childhood on, the individual is seldom given the opportunity to learn to trust his own organic experiencing of this reality. On the contrary, he is forever placed in situations where he is provided with ready-made interpretations and the second-hand or even antique experiences of a variety of experts.

There are two basic reactions to authority--conformity and submission, or reaction and hostility--which are probably present to some degree in each of us, a basic ambivalence toward authority. Group members who are either overconforming to authority, or overacting against it, are not really free to contribute what is creatively and uniquely their own. The submissive and dependent group members submerges his uniqueness in order to conform to others; the hostile and reactive group member offers nothing of himself, but merely opposes and tears down the contributions of others.

Ego-Centered Participation: Some group members use the group situation to satisfy highly individual needs which are unrelated to, or in conflict with, the needs of other members. Although it is probably true that an individual will continue as a member of a group only as long as certain of his basic needs are being satisfied, nevertheless the behavior of one person may continually inhibit the satisfaction of the needs of others. One of the most difficult things for a group member to learn is how to achieve the delicate balance between satisfying his own needs and helping others to satisfy theirs. Those who successfully find this balance are the ones who ultimately contribute the most to the group development.

Limited Face-to-Face Contacts: In many groups the members are restricted from frequent face-to-face contact, whether by barriers of organizational

2 adopted from *Group-Centered Leadership*. by Thomas Gordon, Houghton-Mifflin, Boston, 1955.

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structure, formalized channels of communications, status differences or the actual physical layout of plant or building. Effective communications require a situation in which there is ample and immediate opportunity for the communicators to check whether they are understanding each other and to work through the misunderstandings that inevitably arise in interpersonal relationships.

Devaluation of Worth of Other Members: In many groups, effective communication between members is hampered by the attitude that no one except the "leader" can possibly make a

worthwhile contribution to the group. Effective communication between group members is seriously hampered, and in some group situations, almost non-existent, whenever group members are more concerned with who says something than with what is said.

The Tendency of the Individual to Defend His Ideas: In the process of communicating our own opinions and ideas, we often merely make the other person defend his opinions and ideas more vigorously. We can make another person state his position more conclusively and defend it more tenaciously, simply by confronting him with an opposing position. People seem highly predisposed to defend their world of reality against the threat of change from without. This basic tendency of people to resist change when pressures are put upon them by others is a real barrier to effective communication within a group.

56

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Non-helpful Roles Played in Groups

1. Being aggressive: trying to "put down" others in the group; disapproving of others' contributions; or joking unkindly about them.
2. Blocking: opposing unreasonably; being stubbornly resistant.
3. Recognition-seeking: calling attention to oneself by boasting, namedropping, or mentioning personal achievements.
4. Self-confessing: expressing personal feelings that have no bearing on the group or its task.
5. Being a "goof-off": making a conscious display of non-involvement in what's going on by whispering, writing notes, engaging in horseplay, or reading something not relevant to the task at hand.
6. Self-Help-seeking: taking advantage of the group to try to solve a personal problem or gain sympathy.
7. Special interest-pleading: disguising one's own prejudices by claiming to speak for "the elderly," "the economically disadvantaged," "the general public," etc.

Group Dynamics - Observation Form Some Group Facilitating Roles

Leadership Roles I 2 3 4 5 6 7 8 9

Initiator -contributor-starter

Information-seeker

Opinion-seeker

Information-giver

Opinion-giver

Evaluator- feasibility tester

Maintenance Roles

Encourager

Harmonizer
Compromiser
Gate-Keeper
Standard-setter
Active listener-follower
Clarifier-elaborator
Consensus-tester
Summarizer
Diagnoser
Non-Helpful Roles
Aggressor
Blocker
Recognition-seeker
Dominator
Special interest-pleader
Non-participator
Self-confessor
Off- Task Joker or Goof-Off

58

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Collaboration Team Management Training: Ice-Breaker

Read each of the following and try to find someone in the room who can be identified with the descriptive phrase. Have that person sign in the space provided. The object is to get as many different people as possible to sign your sheet. Notify the facilitators when you have all of the necessary signatures.

Identify someone in the room that...

1. served in the armed forces

2. worked with an Alzheimer's patient _

3. traveled to a Third World country _

4. donated blood. _

5. has grandchildren _

6. worked with volunteer fire department _

7. grew up on a farm _

8. met a U.S. President _

9. knows how to access Internet _

- 10. speaks a foreign language _
- 11. is certified as a Laubach tutor _
- 12. plays a musical instrument _
- 13. volunteered in shelter/food pantry _
- 14. grew up in another state _
- 15. has swam in the Pacific & the Atlantic

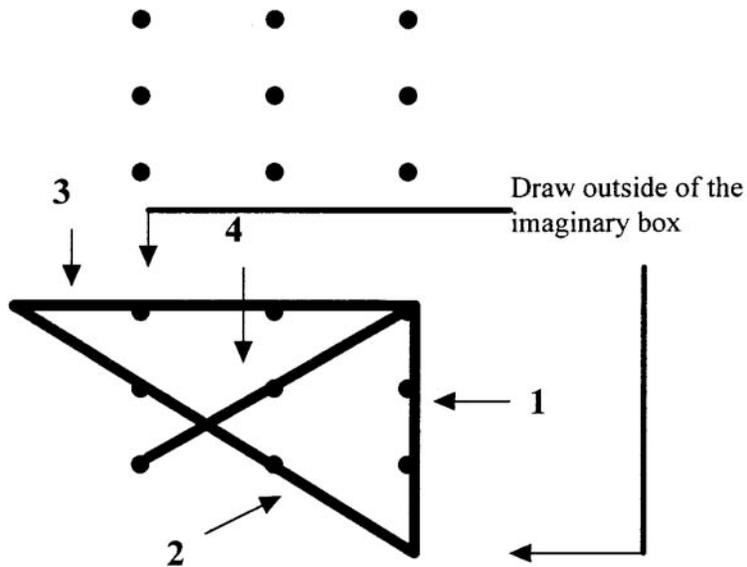
- 16. plays tennis _
- 17. has worked on a fund-raiser

- 18. has a relative in a nursing home _
- 19. has cable television _
- 20. recently read a motivational book _

Addendum B: Solutions to Thinking Exercises

Nine Dots - Breaking out of the Square

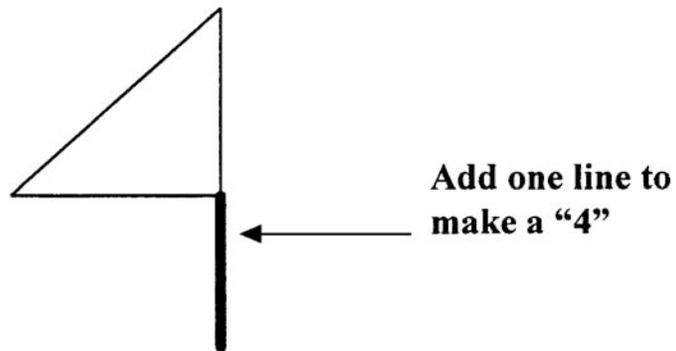
Connect the nine dots using four straight lines without picking up our pencil once it is placed on the paper.



Perfect Square

The figure which most people see is a triangle. By searching for alternative and changing mindsets from geometric to numerical, the top part of the numeral four (4) can be seen.

By adding one straight line, the "4" is completed. The number four is a perfect square ($2^2 = 4$).



Addendum C Needs Assessment

Needs Assessment: # 1 - Recognize that there is a Problem or Area of Concern

All human service agencies and organizations have multiple program problems. The magnitude and complexity of human problems, limited funding, restricted visions and turfism are just a few of the factors which prevent agencies from providing the type, quality and quantity of services which would be required for an agency to exist without having numerous programs which do not fully accomplish their goals.

In the program development process a program development need is often first identified in broad, general terms. For example, a school might identify a high incidence of problem behaviors related to suspension as a general problem area which needs attention, or a group of agencies might agree that adult literacy is a major problem area which should be addressed.

This first step is perhaps the simplest and yet most important. It is simply the recognition that there is a problem of some type; the admission that something is not operating properly; or the ability to say "we are not doing as well as we should." Generally, this step is accompanied by informal questions asked randomly. Questions might be as general such as: "Why do so many students seem to dislike school?" "Why are our teachers and parents dissatisfied?" "Why do we have so many fights?" Questions might be more specific such as "Why is one-third of the second grade failing to achieve grade level proficiency in reading?" "When are we going to get a computerized management system for the library?" Why do so few adults vote in the elections? Why do businesses report that they cannot find qualified workers in our community? Why are workers not able to fill out their time cards correctly?

Recognition of a problem area only indicates that there is a need. The indicator might be thought of as a warning signal. Several indicators which are similar might serve as a red flag saying "**stop** - something is not the way it ought to be."

Needs Assessment: # 2 - Plan the Assessment

Program development is a process for designing alternative strategies for reducing the needs gap in an identified program area. Once a general problem has been identified, a more thorough, in-depth assessment of need is required to ascertain the extent and nature of the problem (problem indicators) as well as to gain insight into the casual factors related to the problem. An assessment of the problem attempts to discover:

- a. Who has the problem (specific target population)?
- b. How severe is the problem?
- c. What is causing the problem?
- d. What related factors are exacerbating the problem?

An in-depth needs assessment should include a variety of hard (quantitative) data and soft (qualitative) data.

1. Hard data sources might include specific numbers and percentages in categories such as:

est scores (local, BSAP, MAT, etc.);	retention data;
absentee data;	health data;
drug and alcohol abuse data;	juvenile justice system data;
dropout data;	behavior referral;
suspension;	agency referral data
police data;	data from social service providers;
free and reduced lunch data;	race or ethnic data;
rural-urban, information;	economic data related to the school and
child care data;	community;
adult education attainment;	other demographic data;
unemployment data;	abuse or abandonment data.

2. Soft data sources reveal attitudes and opinions of select populations toward various aspects of the problem.

Select populations might include:

- school improvement councils;
- targeted students (all eighth-graders, potential dropouts, dropouts from last year, etc.); parents;
- faculty and staff;
- business leaders (or personnel directors);
- civic groups;
- senior citizens (particularly important if inadequate funding is an issue).

Needs Assessment # 3 - Collect the Data

There are many means for collecting data used in assessing problems. Five commonly used ones are listed below.

A. Observation.

This is often the first indication that a problem area exists. All professional educators typically use informal observation as one means of evaluation and assessment. Systematic observation is simply a more refined means of data collection which serves to clarify or confirm a suspected problem area. Systematic observation has the following characteristics:

- a. Involves two or more observers viewing the same problem area.
- b. Involves periodic observations over an extended time period. This may be three or four observations during a one-hour period for one week or one observation a day for one month.
- c. Requires the observer to objectively record his/her observations.

For example, several students are observed who frequently disrupt class. Systematic observation might be carried out as follows:

Teacher A (teacher of class) sets up observation sheet:

Date	Time	Name of Student	Specific Type of Disruption	Other Students Involved

Teacher A then records an observation during the second period each day for a week. Teacher B, using the same sheet, records observations during second period each Tuesday and Friday for three weeks. A third observer may be asked to record observations on two or three occasions.

A review of the observation sheets should begin to indicate a pattern of behavior which can be logically analyzed.

The observation approach for classroom teachers is receiving more attention with the emphasis on issues such as reflective teaching, school/classroom-based management, teacher decision-making, and teacher empowerment.

B. Interviews.

This is a simple, straightforward but rather subjective means of data collection. It involves deciding what information you want and from whom, designing a set of questions, and asking them of those people. For example, if you want to know why so few students take part in after school activities, you might ask that question of students who do not participate. You might also ask the same question of their parents. If a significant number of those interviewed mention lack of transportation, or lack of activities available which are of interest to them, then you have begun to pinpoint the problem.

The interview technique recommended is characterized by:

- a. A set of specific questions, usually only four or five, asked of all persons being interviewed.
- b. Allowance for open-ended answers which are not easily quantifiable.
- c. Use of a relatively small sample of the population (15-20 people).

The interview can give you a much better grasp of the problem, but serves only as a starting point from which to gather more in-depth, specific information.

As in the observation technique, this is one additional source of data which will help to clarify the problem.

Using this format, assign a value to each column with "no opinion" as the "0" point. Agree would have a value of + 1, strongly agree a value of + 2. Disagree would have a value of - 1, strongly disagree a value of - 2. Sum the responses of all individuals for each item and derive the mean.

This format sometimes includes a "comment" or "reason" column in which respondents have the opportunity to explain their response.

These survey techniques are characterized by:

- a. A list of many questions or response opportunities which can be quantified;
- b. Questions calling for a specific, set response, but usually an opinion or a value judgment;
- c. Use of a large population sample such as all students, all third grade parents, or all middle school teachers in the district.

D. Pocoff Group Sampling Technique

(A modification of the Nominal Group and Delphi Process Models)

This is a system designed to allow those most involved in a problem to have a say about the nature of the problem and possible solutions to it. It involves getting a small number of the members of the various groups together who are affected by the problem, having them brainstorm ideas about problem areas or causes of the problem, and then rank-ordering those causes, (i.e. most important listed first, and so forth). After all groups involved have gone through this process, then a combined rank-ordering is done and the process repeated with a few members of the original groups.

For example, if the problem is a high dropout rate, we can assume that this is really a symptom of a deeper problem or problems. Thus a group of students (10-20, at least some of whom are potential dropouts), a group of parents, a group of teachers and a group of people who did in fact drop out might be asked to list individually all possible reasons for a high dropout rate. Each individual would rank order his/her own responses and share them with the total sub-group. The group would then brainstorm any other possible reasons they consider important. All reasons, individually and group-developed, could then be rank-ordered by the sub-group which identified them.

Next, representatives from each of these subgroups might recombine into small groups composed 00 - 5 members of each of the original groups (i.e., 3 ~ 5 students, 3 - 5 parents, etc.) for a discussion of each subgroup's findings. This combined group would, after adequate discussion, rank-order all the causes for a high dropout rate listed by the various original small groups. This combined information would be reported in a total group meeting for tallying (adding up the composite scores from each of the combined groups to provide a clear picture of the total group's thinking.

The large group tally should then be discussed by each of the original small groups to determine the degree to which they agree with the tally and to generate a preliminary list of recommendations for dealing with the problem. Without this step, many of the less vocal participants who choose not to participate in the large group discussion would be

left out as would some initial thinking on solution strategies. The security of the small group of peers is more likely to support active discussion from all participants and allows them to think freely and unconstrained.

The process might be illustrated as follows:

	15	15	15	15
	Students	Parents	Teachers	Dropouts

1. Individual writes problem areas or causes of a problem
2. Individual puts his ideas in rank-order and shares with subgroup
3. Subgroup brainstorms as group for problems or causes not listed by individuals
4. Subgroup puts individual and group items in rank
5. Representatives (3-5) from each subgroup (in a new combined group) discuss findings of the subgroup, add any items left out, and rank
6. Combined groups report to the total group for discussion and total group tally
7. Discuss findings back in subgroups and make recommendations
8. Share recommendations with total group and rank-order.

Ind. = Each person works independently to make sure that all participants have an opportunity to put forth their own thoughts before being exposed to the thoughts of others in the group.

Sg = Each subgroup of peers works together/usually a group of 10-20. Combined Group = 3 - 5 representatives from each of the original groups combined into a new cross-peer group (composed of students, parents, teachers, etc.).

Total Group = all of the participants together form the total group.

This process has the added advantage of actually involving many of the groups affected by the problem in assessing the problem and in generating some preliminary solution strategies. They should now not only know about the problem, but have enough invested in it to share ownership and help solve the problem.

This approach to needs assessments is a modification of the Delphi technique (consult the experts, in this case those people directly involved) and the nominal group technique used in social science research.

This technique is characterized by:

- a. A reliance on the ideas and expressions of those actually involved in the problem.
- b. An accurate assessment using only a small sample of people.
- c. A process which can be completed in a few hours if all groups meet in a central location.
- d. Active, personal involvement of a good cross-section of people (a good core for further involvement).

E. Quantitative Data

Quantitative data consist of various types of records such as achievement scores, IQ scores, absenteeism rates, failure rates, dropout rates, vandalism, population shifts, economic levels, unemployment and the like. These data are often more accessible and more objective than data collected by any of the previous methods although the attitudinal/opinion data are often reported in quantifiable terms such as percentages or means. The difficulty is that there is an abundance of quantitative data available in the census reports, schools, court and other institutional records, newspaper accounts, publications of local, state and national organizations such as Chambers of Commerce, National Education Association, U.S. Office of Education, etc. These types of quantitative data often serve as strong indicators of a problem area. Generally, other types of information are needed to discover the precise nature of the problem. For example, the fact that sixth grade students in a school score, on an average, two or more grade levels below national or district norms is an indicator only. It may not mean that the instructional program is poor. It does indicate that more data is needed to further assess the problem components such as the students' physical, emotional, or mental well-being, teacher characteristics, the school environment, the homes, the parents and so on.

The important thing to remember is to consider all sources of quantitative data and to decide whether or not that data is essential to the problem you are facing. An adequate needs assessment requires that data be collected from many sources, using some, if not all, of the techniques described above. There is a real danger of focusing on only one indicator of a problem rather than thoroughly assessing the problem to determine the causal factors rather than the surface indicators.

For example, a group of teachers and administrators from a large middle school in an integrated neighborhood, formerly an all-white community, identified lack of parent involvement and community apathy as the major problem area. They found some evidence through questionnaires to support this. However, when they began to explore why this apathy existed, they needed additional information such as student achievement, dropout records, reading scores, suspension records, parental work schedules, records of broken families and latchkey student needs. These were listed as essential and provided information which showed:

- general achievement was the lowest in the district;
- daily suspensions were among the highest in the district;
- most students' reading and math scores were two to four years below grade level;
- the dropout rate was extremely high for a middle school;
- a majority of the homes were composed of reconstituted families with both adults working;
- chronic adult unemployment had risen by 15 percent over the past 10 years;
- almost 40 percent of the students worked part time.

These data suggested that the problem was much broader than community apathy toward the school. Through a search of the literature, several models were discovered which dealt with similar problems. Specific program models were adapted to meet the needs of the local environment and initiated to improve the ability of the school to handle psychological/emotional problems through a revised organizational structure and modification of the instructional program. Alternatives to suspending students who were discipline problems were initiated along with a number of different outreach programs to parents and other family problems. The school's afternoon and evening activities were also expanded to attract more students, parents and community members into the school and to provide academic and recreational options for latchkey students. Some of the activities had to be conducted in other community facilities because of transportation difficulties, but the activities were directly linked to the school.

Because of the virtually unlimited amount of data available when conducting a needs assessment, it is often helpful to develop a long list of possible information (or additional types of data) related to the problem through brainstorming. In brainstorming, participants "throw" all of their ideas on the table, no idea is too far-fetched or too controversial and no discussion of ideas is allowed during the brainstorming session. It is important to keep the session moving in "high gear" if it is to be most profitable.

Later, decisions must be made to determine what data is essential and what is not essential. Decisions must also be made about who should collect each piece of information along with a specific reporting date.

Be sure to look for all relevant data to help clarify the problem area. There are many different sources of information which can be used to substantiate what you suspect, to clarify components, or to establish new dimensions of the problem. Many participants have a tendency, at this point, to list solutions rather than problems. Be careful not to jump ahead too fast; that is, don't try to solve the problem before fully clarifying and assessing it.

The Needs Assessment Planning Form presented below is useful in planning needs assessment strategies. First, state the general area in which you think there is a major problem. Next, in Column I, list all possible types of information you (or your group) can think of relate,

Needs Assessment # 4 - Analyze the Data

Not all of the data collected will be used in the program development process. Care must be taken in analyzing the data to determine:

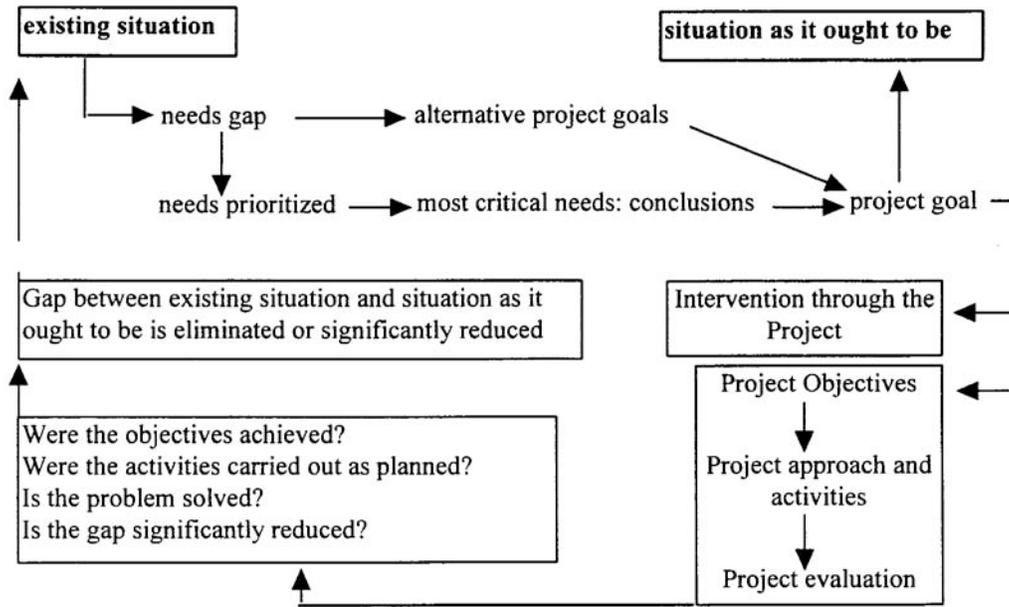
1. What the most pressing needs or problems are;
2. What data best supports the problem area;
3. What data is best left out (is tangential to the need or does not directly support the need);
4. What data should be disaggregated for further analysis (Le., divided into sub-populations for comparison. For example, sixth grade BSAP math test scores might be analyzed by sex, race or socioeconomic level to determine whether or not there are major differences.)
5. What data might be compared to other community, school, district, state or national norms to better illustrate the problem.

There are no easy, standard methods for analyzing data collected. Rules of thumb are:

1. Summarize all of the data collected into brief, concise statements or charts;
2. Identify categories and sort or divide the data into major groupings; Prioritize needs by determining:
 - which data groupings are most critical;
 - which data groupings are most relevant to the problem area, help to clarify the problem, and pinpoint causes or factors which have lead to the problem or which aggravate the problem.

The data should be organized and presented so as to point directly toward a set of conclusions which can be translated into a project goal or goals. Remember the assessment provides the data to describe the existing situation. The goal is the situation as it ought to be; the project represents an attempt or an approach to satisfying the needs or closing the needs gap (solving the problem).

The figure below illustrates these relationships.



Addendum D: Collaborative Action Planning Process

CAP Planning Process

Planning Process #1: Goal Setting

The needs assessment should indicate a list of needs in priority order and a set of conclusions which can be translated directly into a project goal (s).

A goal is a general statement of the situation as it should be after project intervention. It is a target outcome to be achieved by the project. Although some goal statements have some measurable elements, a goal is generally not measurable. Examples of goals are:

- To significantly reduce the dropout rate in the school district;
- To significantly increase the level of adult literacy in "X" community and decrease unemployment;

To raise the basic skills of workers at the "Y" plant so that they will be able to read memos, directives and basic machine operation manuals, and will be able to keep their own time cards with accuracy.

Program planners often write slightly more elaborate goals, but they should all have the same characteristics: Goals should:

1. Reflect ends, not means (Goals are the end of the process and do not tell how to get there);
2. Come directly from needs;
3. Are generally not measurable;

Are action-oriented (to reduce, to increase, to improve, to raise, etc.).

For example, one of the highly competitive dropout prevention and retrieval projects funded in South Carolina had the following goals:

1. To improve at-risk student attendance;
2. To increase basic skills competencies of at-risk students;
3. To increase the number of youth graduating from high school;

To increase the number of youth who go on to either post-secondary education or employment opportunities.

For most programs, only one or two goals would be appropriate. However the amount of funds (almost \$1 million over a three-year period) and the complexities involved in dropout prevention justified four goals in the program mentioned above.

Another example, from a federal drug-free schools and communities program (which was selected as a national model project and awarded extra funds for in-depth evaluation on the strength of the project) had the following goals:

1. To implement a program which involves schools, other human service agencies and the community at large in an effort to achieve and maintain drug-free schools and a drug-free community;
2. To significantly reduce the incidence of reported drug abuse in the schools and community of the County.

Planning Process #2: Identify Constraints

It is often helpful at this point to identify both the constraints to and the resources available for accomplishing your top priority goal(s), and thus solving your problem.

Constraints are simply barriers to reaching your goal(s). They might be money, people in positions of authority, time and other resources, or policies and laws. It is important to identify all foreseeable restraints in order to either (a) develop strategies to reduce the impact of the constraint, or (b) decide that the goal(s) is not feasible at this time.

For example, if your goal is to provide a weekend recreational program for all ages in the community using the high school gymnasium, your constraint chart might look like this:

Constraint	Strategy	Person(s) Responsible	Completion Date
1. No one to supervise the program	Develop cooperative arrangement with the city recreation dept.; the school district provides the space, the Rec. Dept. the personnel		
2. School Board policy prohibits use of school facilities for non-school functions	Circulate petition in the community; ask for place on Board agenda to request change in policy, based on citizen need and interest.		
Many persons in the community do not have transportation to the school.	Contact Community Action Agency for use of their mini-buses.		

In the above example, persons working on this goal felt that the chances of overcoming the constraints were very good, so the decision was to continue working on the goal.

WORKSHEET IDENTIFY CONSTRAINTS

Identifying constraints at this stage of your planning allows you to determine whether or not any barriers to your goal can be overcome, and thus to decide whether or not it is feasible to continue working on a particular goal. The following chart will aid in this process. In Column I list the constraint; in Column II list, as specifically as possible, a course of action, or strategy, for reducing or eliminating the constraint. In Column III list the person(s) responsible for seeing that the strategy is completed, and in Column IV list the date by which the constraint must be reduced or eliminated.

GOAL:

Constraint	Strategy	Person(s) Responsible	Completion Date

Are restraints sufficiently reduced to make accomplishment of goals feasible?

yes no

If yes, continue working on the next step (Step Five); if no, repeat Step Four with next priority goal.

Planning Process #3: Develop Project Objectives

Objectives, like goals, are outcomes and not means. But unlike goals, objectives are specifically measurable outcomes. Achievement of each of the project objectives should result in attainment of the target goal; that is, objectives should be directly related to the goals. A rule of thumb to be used in writing goals and objectives is:

MOST GOOD PROJECTS HAVE ONE OR TWO GOALS.
MOST GOALS HAVE 3 - 5 OBJECTIVES.

Objectives should be written using action verbs which can be measured. Objectives should state specifically what is to be accomplished, by whom it should be done, how well it should be done, and by when it should be completed. Several examples of an objectives from funded grants are presented below:

Example # 1

What: To reduce

By whom: the percent of students scoring below the state standard in reading and math

How well: from an average of 34 % to an average of 30% after the first project year; to an average of 25% after the second project year; and to an average of less than 20% after the third project year.

By when:

Example # 2

During the project period, participating students, using the Computer Assisted Program, will show a National Curve Equivalent gain of at least five per year in reading and math.

Can you identify the what, by whom, how well, and by when in example # 2 above?

Examples of verbs in the cognitive and affective domains are presented below. The verbs are grouped into four levels which approximate the levels of Bloom's (cognitive) and Krathwohl's (affective) taxonomies. Many objectives will use words such as gain, improve, increase; others will be more creative in the use of terms, particularly where higher-order thinking skills or affective outcomes are included in the objectives.

	Cognitive	Affective
Level I	knowledge and comprehension	Receiving
Level II	application	Responding
Level III	analysis and synthesis	Valuing
Level IV	evaluation	Organization/Characterization

Level	Cognitive	Affective
I	define label locate repeat select	duplicate actively; listen to list; perceive recall; be sensitive to match; be aware of tell; show tolerance for
II	apply choose demonstrate illustrate prepare	classify; respond to employ approve (disapprove) of solve; obey interpret; show satisfaction use; support
III	analyze categorize assemble criticize synthesize create new constructs	differentiate; accept test; reject with empathy construct show; commitment to compare; weigh alternatives propose declare (for or against) show humane global awareness
IV	judge defend predict estimate debate design; establish criteria for	evaluate; develop value systems argue; act consistently project; follow code of behavior score; demonstrate belief in express; respect human worth and dignity act ethically, justly and morally

WORKSHEET: ESTABLISH OBJECTIVES

For each goal which you have identified and for which the constraints could be reduced, develop specific objectives. Be sure to use action words and to include:

what
for whom
how well
when

For each objective you write, make sure you have included these four parts by checking them off in Column 2, Objectives Checklist.

Column 1

Column 2

Goal #1
objective #1

Objective Checklist

___ what
___ for whom
___ how well
___ when

objective #2

___ what
___ for whom
___ how well
___ when

objective #3

___ what
___ for whom
___ how well
___ when

objective #4

___ what
___ for whom
___ how well
___ when

Planning Process #4: Design Project Activities

An essential part of refining your objectives is task planning. This involves four steps: (1) identifying the tasks necessary to be completed in order for the object to be met; (2) deciding on a person or persons responsible for the completion of each task; (3) setting a date by which the task should be completed; and (4) specifying the resources available which can be used to complete the activity.

Project activities will normally flow directly from the objectives. Again, a rule of thumb would suggest that each objective should have 4 or 5 activities. Many project developers set up a direct correspondence between each project objective and a set of activities; others simply list the project activities without attempting to link them directly to a specific objective.

Evaluators look at activities to determine whether or not they are sufficient to accomplish the objectives. If the objective includes the development and installation of a new program:

Are the activities sufficient to reach each objective? Is there ample lead time from one activity to the next? Are the activities logically organized?

Is there adequate teacher involvement and training?

Is there sufficient support and scheduled involvement by parents and/or the business community?

Are the needed materials available and scheduled to be ordered on time?

I. Task Identification

In Step 5, specific objectives were established as the first step in developing a planning guide. Careful analysis is now required to develop a step-by-step procedure which can be used to make sure the objective is carried out. It is best that a group develop this procedure together to make certain that all vital tasks are identified, that all necessary people are involved and notified, and that these tasks are properly coordinated with the tasks related to other goals or on which other groups are working. Tasks are directly related to objectives. They are the procedures necessary for accomplishing the objectives.

The group development of task plans is essentially a quality control procedure to make sure that everything gets done which needs to be done to successfully accomplish the objective. The last task should complete or fulfill the objective.

II. Fix Responsibility

The success of any plan depends upon the person who is responsible for carrying it out. Too many beautiful plans have been developed and now collect dust because of a lack of fixed responsibility. Designating someone as responsible does not say that the person will

do all of the work required to complete the objective. It does say, however, that a person is responsible for seeing that the work is completed.

III. Set Completion Dates

Just as many plans fail for lack of a person responsible, many fail for lack of a specified completion date. It is too much a part of human nature to put off "for one more day" those things that are not due today. A completion date may have to be revised from time to time, but some expectations for completion must be built into the planning guide.

IV. Specify Available Resources

Resources were identified in Step 4; matching them with appropriate activities occurs at this point.

Task Identification Procedures:

When designing the tasks necessary to accomplish a given objective, it is often helpful for the group to a) think of categories of required activities, e.g., logistical activities, related to time, place, and other such considerations; or training activities, which might involve securing consultation help or designing training materials; b) think of all necessary activities within the category; and c) sequence the activities according to the order in which they should occur. (Note: Some planning models sequence backward from the final event, preferring to think of that event, then the activity which would immediately precede it, and so forth back to the present. The example on the first worksheet uses such as approach.)

SAMPLE WORKSHEET TASK PLANNING

In the first column (specific planning tasks) list all tasks which need to be carried out to achieve the objective. After listing all tasks, go back and assign someone in your group to be responsible for seeing that each task is completed. Place a date by which the task must be completed in the third column. In column 4, list all the resources your need to complete the task. Resources will come from the resource grid which you developed in step four.

Goal: To ensure that all students leave school with a marketable job skill. Objective: To redesign the curriculum so that specific training in four career clusters not presently available will be offered within the next two academic years. The four career clusters will be selected according to priorities of students, parents and business/industry leaders.

Specific Planning Tasks³	Person Responsible	Completion Date	Resources
1. Assess community persons, parents and students regarding their views of needed career clusters needed in the curriculum			
a. select persons to design a questionnaire	Principal	March 1	School Psychologist
b. determine information needed from each of the three groups (community, parents, students)	Chairperson, Assessment Committee	March 7	Director of Vocational Education
c. determine number of persons and means of selecting persons to be surveyed	Chairperson, Assessment Committee	March 10	Director of Research
d. conduct survey	Community Coordinator	March 20	School Community Advisory Council
e. tabulate results, analyze in terms of Curriculum Committee priorities	Assessment Committee	March 30	
f. make decisions about new offerings	Committee; Principal	April 4	
2. Recruit, employ and/or retrain staff in order to have qualified persons teaching in the new curricular offerings			
a. determine competencies, knowledge, skills needed by staff persons in each area	Curriculum Committee	April 8	Development Chairperson
b. assess present staff for Curriculum interest in teaching in new programs, and to determine if they possess qualifications required for the job	Curriculum Committee Chairperson	April 14	Asst. Principal for Instruction
3. Make logistical decisions			
a. determine where programs will be housed	Principal	April 17	Curriculum Committee
b. put programs in schedule	Principal	June 15	Asst. Principal for Instruction
4. Secure needed materials/supplies			
a. determine materials/supplies needed	Teachers	July 1	Consultants
b. order need materials/supplies	Principal	July 10	Asst. Principal for Instruction

³These are examples of categories and of specific tasks within those categories. The lists are exemplary only; no attempt has been made to finalize them.

Addendum E: Evaluation Design

A. Purpose of the evaluation

A comprehensive evaluation design should consider three interrelated dimensions, including six components.

Dimension I

Formative: the process of collecting and analyzing data during the implementation phase of the program for the purpose of identifying problems or discrepancies and making corrections as early as possible.

Summative: the process of evaluating the effectiveness of the program at the end of a set period of time (e.g. end of year, end of a three-year trial period) using all available data (collected during and at the end of the program period).

Dimension II

Process: evaluation of the methods and processes used to implement the program; an examination of what was done, how well it was perceived to work, how well it was liked by students and staff, what problems were encountered along the way.

Product: evaluation of the tangible results of the program process including both staff-generated products (course syllabi, instructional design materials, etc.) and student-generated products (test scores, research papers, attitudinal surveys, etc.).

Dimension III

Operations: evaluation of each component of the total program implementation process including: planning, designing, implementing, managing, supervising, monitoring, evaluating, budgeting.

Outcomes: evaluation of the curriculum in terms of goal attainment and achievement of objectives against preset standards stated directly or indirectly in the proposal.

B. Evaluation Process and Methodology

There are numerous evaluation models which might be used as a guide to designing an evaluation process and a methodology. The process used will depend upon the purposes of the project, the time and resources available, and the precision or level of specificity desired or required. One of the best models for evaluation action plans is the closed-loop discrepancy model described below:

The discrepancy model is one of the easiest to conceptualize and to use in program evaluation. The process simply compares performance to preset standards. The greatest difficulty is in the formulation of performance standards-which are specific enough to use for measurement purposes. The discrepancy model is illustrated below:

Descriptive and Numerical data describing the situation at the time of assessment

Preset standards which specifically state the desired level of performance

What is

What should be

-----discrepancy gap-----

(the difference between what is and what should be)

The desired level of performance might include student cognitive, affective or psychomotor skill and knowledge standards.

The discrepancy gap, once identified, can be translated into programmatic planning goals for improving student performance. An institutional improvement plan is then developed to reduce or close the discrepancy gap between actual performance and desired performance. At the end of the project period, a comparison is made to determine the degree to which the gap closed and the desired state achieved.

Corrigan's Closed-Loop Model Discrepancy Model might be considered as a problem-centered systems approach to planning and evaluation which incorporates many of the components of the other models discussed. The Corrigan model features a formative feedback - corrective system as well as a summative or terminal evaluation process. Each planning step is completed by reviewing and validating each step against all previous steps to ensure consistency, encourage examination of alternatives, and eliminate overlaps and gaps. This constant review process carries through all planning, implementation and evaluation steps of the model.

The Corrigan model is illustrated below.

0.0

Assess Needs,
Analyze and
Specify
Problem

Summative Evaluation - Is the Problem Solved?

Continuous Feedback

1.0
Establish Goals
and Objectives

2.0
Generate
Alternative
Methods/
Means

3.0
Select Methods/
Means Based
on Constraint/
Resource/ Cost
Analysis

4.0
Plan Program,
Develop
Activities
Timeline, and
Implement

5.0
Evaluate and
Revise as
Required

Corrigan's model uses discrepancy analysis as the major evaluation tool. However, the Corrigan model suggests that discrepancy analysis be used as a corrective feedback device after completion of each step rather than waiting until the end of the total process. This implies that measurable standards (activities or tasks) must be established at each step so that formative evaluation can take place on a regular and continuing basis during the process, as well as at the end of the process.

C. Data needed, instrumentation, and data collection procedures

The evaluation model selected will point toward the type of data which will need to be collected, as well as to the methodology to be used. For example, if the Stake model is to be used, observation data must be collected by at least three trained observers as well as by the instructor. In the Stufflebeam model, attention will be focused on data related to the context or environmental requirements and standards.

If the Corrigan model is used, data collection takes place in some form after the completion of each step in the planning and implementation processes. Moreover, the type of data to be collected will vary considerably for each step. For example, in evaluating the goals and objectives, the data will be related to their consistency, with the needs assessment data collected in the problem identification and analysis step. The basic evaluation question for this step is: If the goals and objectives are achieved, will the problem be solved or significantly reduced? If not, why not? (implying a more detailed analysis of data related to each individual step is needed to determine what caused the lack of success in solving the problem).

Evaluation data, like needs assessment data, generally falls into two broad categories:

Hard Data - Data that is based on fact and which should remain constant regardless of the source. Hard data includes items such as test scores, absentee records, cost reports and the like;

Soft Data - Data that is based on perceptions and opinions, and which will vary from one source (or one person) to another. Soft data is often collected and reported in what appears to be hard data form such as percentages, means and medians. The evaluator has to be careful to report such data as opinion rather than fact.

The data collection instruments to be used will obviously vary significantly with the evaluation model selected. Hard data instruments are basically recording forms indicating scores, amounts or degrees. Soft data instruments include many of the same ones used in the assessment of need:

- interview forms
- questionnaires
- opinionnaires
- surveys
- polls
- nominal group reports

Data collection procedures depend not only on the evaluation model used, but also on the availability of the data, and the resources (human and material) available. For example, selection of the size of a survey sample will be dictated by numerous factors such as:

- minimum size required for the proposed analysis or statistical treatment;
- number of persons available to conduct the survey;
- time available;
- location of the survey sample population;
- method used for the survey (telephone, personal interview, small group interview, etc.

D. Compiling and treating the data.

Perhaps the most difficult section of the evaluation process is the development of the data treatment procedures. The purpose of the treatment is to turn the data into usable segments of information which can be used for analysis and decision-making. The approach selected often involves simple statistical procedures of mean, median, mode, percentages or frequencies designed to identify trends, patterns and general directions. Other approaches, such as pre-post gain analyses or comparative matched group analyses, require more sophisticated statistical procedures.

Evaluation results are often unnecessarily delayed or made complicated by the statistical procedures employed. The data treatment procedures should be directly responsive to the purpose of the evaluation and to the goals and objectives of the program.

E. Analyzing and reporting the data.

The data analysis process depends directly on the purposes of the evaluation. If the purposes were clearly spelled out and the standards set, the analysis process will be clear: To what extent have the standards been met and the goals attained? Have the activities been carried out as planned according to the time line?

Analysis of the data involves at least three elements:

1. Results - What was found? This element depends strictly upon the data and can be reported only in terms of what the data directly indicates.
2. Conclusions - What decisions can be derived from the data? In what directions does the data point? Are there any patterns or trends indicated by the data? Is there sufficient data to support a particular decision?
3. Recommendations - Do the findings suggest that the program should be continued, expanded or dropped? Are the methods and materials adequate for adoption at other sites? Will teachers and administrators need special training? Is further study needed?

In most situations, base line data (antecedent data) should be collected prior to program implementation in order to have a historical and/or comparative base. Often this base comprises the needs assessment used to clarify the problem.

A carefully developed evaluation management plan will project:

1. How often and which evaluation procedures should be employed;
2. What data should be collected from whom, and when;
3. Who is responsible for the data collection and analysis;
4. What program decisions must be made, when and by whom;
5. How can we determine how well we are doing, are we on schedule and are all agencies doing what they committed to do?

The needs assessment process helps us to pinpoint where we are (base-line data);

The goal-setting process helps us determine where we want to be;

The evaluation process helps us determine the extent to which we got to where we wanted to be and how successful we were in getting there.

The final evaluation question is simply "Was the problem solved?" or "To what extent was the problem solved?" To determine this, it may be necessary to reassess the problem. In reality, few human service problems are ever completely solved. The final evaluation question might be better stated as: "Was the problem reduced to an acceptable level for our community?". This is a community value judgment based on the extent to which each community is willing to "compromise" on the problem given existing funds, resources and other pressing community needs.

CHECK ON EFFECTIVENESS: MONITORING AND EVALUATION

The following worksheets should help you develop a system to monitor progress toward each objective.

For Goals and Objectives:

Set periodic check dates to check on progress toward each goal and objective.

Questions

Check Point Dates

1. Is the goal/objective still feasible?
2. Will achievement of the objective move you toward completion of the goal?
3. Does any new data suggest the objective is no longer appropriate?

Again, if you have a "no" answer, some change in the plan is required.

Monitoring program activities is essential, especially in a multi-agency process. Each agency must be able to see clearly what they have done and what they should be doing next at any given point in the process. Each agency also needs to see what other agencies are doing, and what they should be doing if the project is to be carried out as planned.

For each objective, list the tasks planned in order to accomplish the objective (Column 1). In Column 2, list the date the task was started, and in Column 3 the due date of the activity. In Column 4, record the actual completion date. And in Column 5, indicate which agency is responsible for the activity.

Objective #1

<u>Column 1</u> Tasks	<u>Column 2</u> Date Started	<u>Column 3</u> Due Date	<u>Column 4</u> Date Completed	<u>Column 5</u> Agency Respon.
1.				
2.				
3.				
4.				
5.				
6.				

A visual Gantt-type chart can often serve as a visual reminder of how the program is progressing and is often seen as more effective than the chart laid out above.

Gantt charts were first developed by Henry Gantt in 1917 as a technique for planning, scheduling, reporting and controlling projects. Gantt - type charts provide an effective, efficient means of communicating the status of a project to all persons involved.

In their simplest form, Gantt charts consist of a horizontal time axis ("X") and a vertical person or activity axis ("Y"). Gantt charts are relatively easy to construct and provide an excellent method of monitoring progress.

Advantages

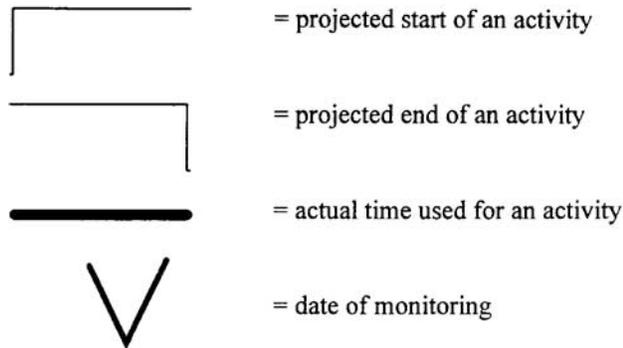
1. Quick and inexpensive to develop;
2. Require little training or special skills;
3. Clearly depict schedule of events, activities or individual responsibilities;
4. Changes can be made with a minimum of effort;
5. Chart Books are readily available.

s

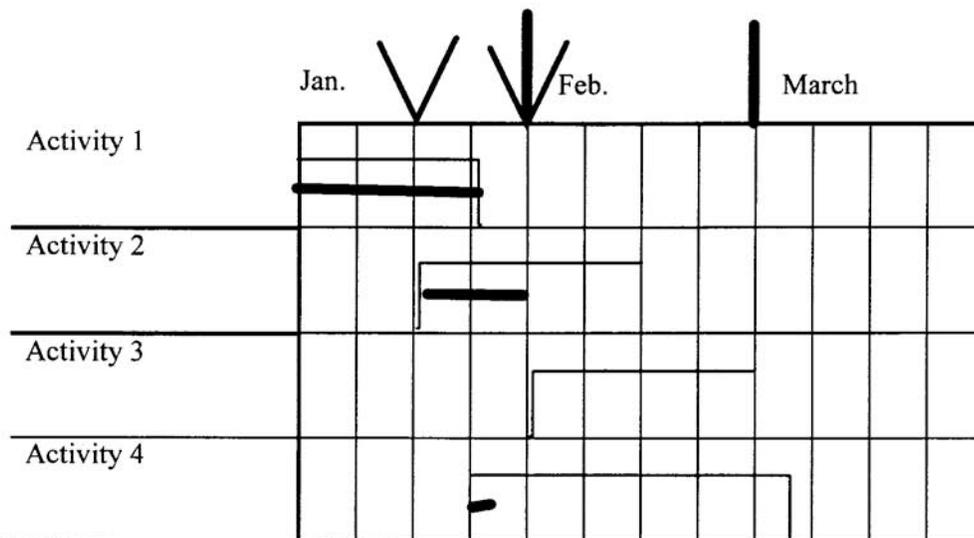
Disadvantages

1. Predecessor activities or events not clearly shown;
2. Relationship or interdependencies among activities not easily demonstrated;
3. Charts showing a large number of jobs or activities are cumbersome;

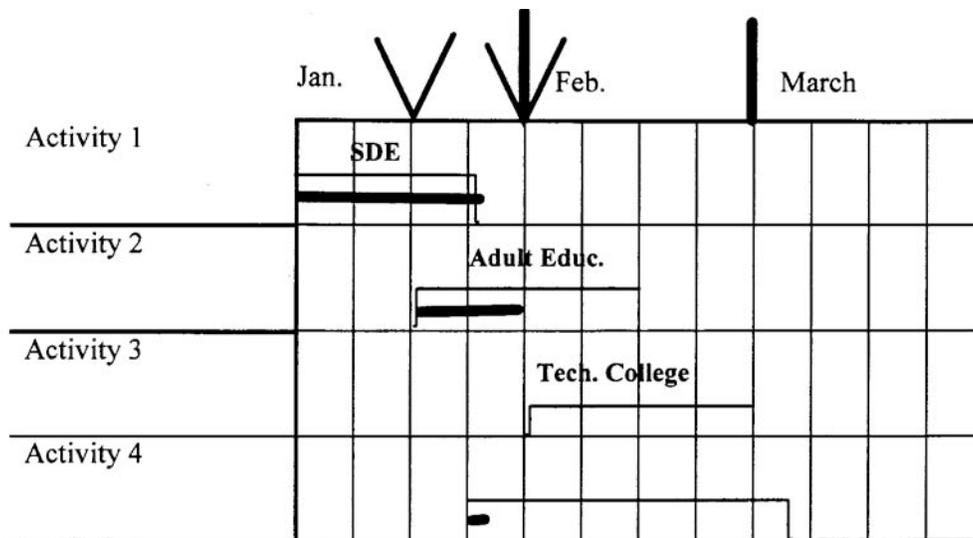
Simple Activity Gantt-type charts use four symbols:



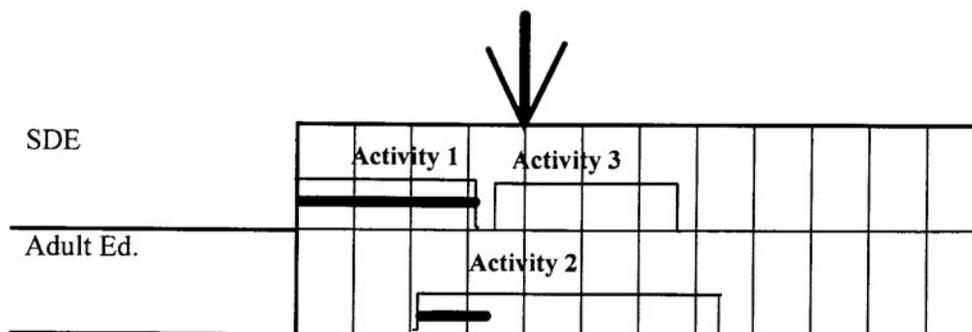
Sample Activity Gantt -type chart :



The chart above indicates that activity I has been completed. Activity 2 has been started and is on schedule. Activity 3 has not been started but is scheduled to start this week. Activity 4 has been started but is half a week behind schedule. A number can be given to each agency involved in the program and the activity can then be coded to indicate the activity number and the agency responsible (i.e., Activity 1.a = activity number 1 and agency "a"). Another option is to list the agency just above the activity.



An agency responsibility Gantt chart is similar to the above except that agencies are listed on the vertical axis instead of activities. Each activity is numbered just above the activity.



Gantt-type charts have proven to be most helpful in monitoring interagency projects and provide an excellent tool for communicating exactly where the project stands at any given time. A Gantt chart might also be helpful within each agency to track what is being done in the agency in relation to the interagency project and the other goals, objectives and activities of the agency. Similarly, each person involved in the project could develop his or her own personal Gantt chart to clearly indicate what activities are the responsibility of the individual person and what progress is being made.

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