EMERGING ACTION PRINCIPLES FOR DESIGNING AND PLANNING **COMMUNITY CHANGE.**

Community Science

Community matters.

Community is much more than a place—**it is built out of the feelings and relationships that are so vital to our well being.** decades of research and practice have shown that being part of a supportive, inclusive, and capable community promotes mental, physical, and social well being more than any other factors known to the social and medical sciences. In such communities, residents and institutions can collectively improve the conditions in which they learn, play, work, and age, and they also have greater resilience to natural or other disasters. This is why building a community's capacity to engage and to take care of its members is essential.

We at Community Science believe this because

At Community Science, we use scientifically principled methods to strengthen community by promoting participation, shared ownership, and continued learning among community leaders and members to encourage change that endures long after our work is finished. In the end, we hope to contribute to the creation of greater health, justice, and equity for all.

With this commitment and with encouragement and support from foundations and innovative leaders, we developed the series, *Community Matters: Action Principles, Frameworks, and Strategies*, to share what science and practice have taught us about building and strengthening community. Only by understanding what works and doesn't work across our nation's enormously varied community contexts and sharing that knowledge with others will we be able to create and support caring, inclusive, and capable communities. Doing this well requires sharpening our tools for observation, evaluation, and communication, systematically applying the best science we have.

This first publication in this series, *Emerging Principles for Designing and Planning Community Change*, which I wrote with Joy Amulya, contains 18 emerging action principles organized around four strategic areas relevant to a foundation's role, capacity building, systems change, and community context. These principles were derived from a review of the documentation available on 13 community change initiatives as well as interviews with the leaders responsible for funding, implementing, and evaluating them. We considered these principles "emerging" because of their recurrence in several of the initiatives; further exploration of their implementation and effect on the initiatives' outcomes will be necessary to understand their full potential and impact.

In our work as both implementers and evaluators of community change initiatives, we find funders who begin these initiatives generally not ready for what they are about to encounter, immediately or in the long run, regardless of how much preparation time they have spent. We believe this is largely because there has been very little effort to identify what has been learned across community change initiatives. Conference presentations and funder publications talk in great generalities from the experience of foundation executives, and rarely from the details that can be derived from evaluations or from systematic examination across initiatives to see exactly what was learned about the strategies used for the last 50 years.

If you are interested in the elements and experiences that many of the country's major community change initiatives--both completed and underway--have in common, or if you wish for a succinct list of actions to guide the design and implementation of your initiative, you will find this publication useful.

Community Science thanks the Annie E. Casey Foundation for funding this study, particularly Bob Giloth (Vice President) and Tom Kelly (former Evaluation Manager). We also would like to thank Mark Joseph of Case Western Reserve University for his contributions as a reviewer. As we believe that knowledge development is a dynamic endeavor, we encourage the users of this publication to contact us with their comments, insights, and any other thoughts, by visiting this link: http://bit.ly/cs-emerging

We hope you get to use this information and contribute to our growing collective knowledge about community change.

David M. Chavis
President, Community Science

Introduction
Background and Purpose

This report describes emerging action principles for designing and planning community change efforts. The goal of these emerging principles is to begin to formulate actionable guidance to the Annie E. Casey Foundation (AECF) Next Generation Community Change (NGCC) Workgroup for evaluating, selecting, and developing strategies for AECF's investments to promote community change. These principles were derived from a review of four AECF community change initiatives and nine other initiatives seen as most relevant for AECF, which included four past and five current initiatives. The review involved extensive review of written documents on each initiative (including published and unpublished reports, planning documents, concept papers, etc.) as well as one to two hour interviews with initiative leaders.

The focus of the document review and interviews was on four major strategic areas critical to community change initiatives: Foundation/Intermediary Role, Community Change, Systems Change, and Community Context. Each of these areas addressed a series of key issues derived from the published literature on community change,[1] as well as the discussion and reflection of the NGCC workgroup. These issues included capacities needed, community leadership, scale, scope (breadth), and sustainability. The principles described in this report were derived from the analysis of the information obtained from each community change effort through the review of documents and interviews with key implementers.

In this report, community change refers to changes in the social, physical, economic, and political environment of a place. Social changes include improvements in sense of community and social capital (e.g., bonding and bridging). Enhancing housing, land use, facilities development or restoration, recreational "green," space and infrastructure improvements are the types of physical changes in a community that are possible. Economic changes include increasing employment, employability, investments, and small business and capital development. Political changes include increasing collective efficacy among residents (youth and adult), greater participation and representation in local government, and mechanisms for supporting and encouraging collective action.

1. For example, see Trent, T. & Chavis, D. (2009). Scope, Scale and Sustainability: What It Takes to Create Lasting Community Change, Foundation Review, Vol. 1, No. 1, pp. 96-114; Kubisch, A., Auspos, P., Brown, P., & Dewar, T. (2010), Voices from the Field III: Lessons and Challenges from Two Decades of Community Change Efforts, Washington, D.C.: The Aspen Institute. See appendix for the set of issues covered.

A total of 18 emerging action principles were developed. The principles are organized according to the four strategic areas listed above: Foundation Role, Community Change, Systems Change, and Community Context. Table 1 summarizes the 18 principles and their strength (the number of initiatives in the study that supported each principle).

The following 13 initiatives were the source for developing the action principles:

//01 **New Futures** (*AECF*)

//02 **Rebuilding Communities Initiative** (*AECF*)

//03 **Making Connections** (*AECF*)

//04 **Civic Sites** (*AECF*)

//05 **Building Healthy Communities**
(*The California Endowment*)

//06 **Comprehensive Community Revitalization Project**
(*Surdna Foundation*)

//07 **Good Neighborhoods Initiative**
(*Skillman Foundation*)

//08 **The Integration Initiative** (*Living Cities*)

//09 **Neighborhood Improvement Initiative**
(*Hewlett Foundation*)

//10 **Neighborhood Partners**
(*Edna McConnell Clark Foundation*)

//11 **New Communities Program**
(*MacArthur Foundation/LISC*)

//12 **Urban Health Initiative**
(*Robert Wood Johnson Foundation*)

//13 **The Village at Market Creek** (*Jacobs Fund*)

A two-part methodology was used for the review of each initiative. The first phase was a systematic review of key documents from multiple sources (published literature, internal foundation documents) for each initiative. After coding and summarizing the information available in these documents according to a conceptual framework matrix,[2] key informants who had a major responsibility in the implementation of each initiative were interviewed to fill in gaps in the matrices.[3] The information from the interviews was subsequently coded and added to the summary matrices. Once the analysis was completed for each initiative, the information from each category of the framework matrix was aggregated across all of the 13 initiatives. We developed the principles by identifying strategies and lessons that recurred across initiatives that were associated with the initiative's success (or emerging success) according to those interviewed or the documents that were reviewed.[4]

Method for Developing Emerging Action Principles

Once the evidence was compiled for each principle, we gauged the strength of evidence of each principle as the number of initiatives that confirmed, through documents or interviews, that this principle would be a positive factor for achieving results. A rating system was developed to summarize the degree of support for each principle within the set of 13 CCIs that we reviewed:

4-5 CCIs confirmed

6-7 CCIs confirmed

8 CCIs or more confirmed

The appendix provides a list of questions, organized around the four strategic areas and reflecting the 18 principles, that can be used by funders to guide their design and implementation of community change initiatives.

2. See the appendix for the framework matrix showing illustrative questions for each coding category.
3. We interviewed one informant per initiative for non-AECF initiatives. For AECF initiatives, we drew on prior interviews conducted in June 2010 as well as interviews targeting gaps in the framework matrix with one or two AECF informants.
4. We set a minimum threshold of requiring at least three initiatives to support each principle; however in the end all of the principles were supported by four or more initiatives.

Table 1. Emerging Action Principles for Community Change

1. Foundation Role

PRINCIPLE 1: Provide clear guidance on requirements (e.g., funding, focus on particular results) and realistic expectations about what can be accomplished while supporting ownership by and capacity of local implementing organizations.

PRINCIPLE 2: Build and sustain trusting relationships with community leadership and build capacity of local leadership to lead more effectively.

PRINCIPLE 3: Engage local government, other system stakeholders, and potential funders to participate in and support community-level changes.

PRINCIPLE 4: Respond to trends and forge links to the regional economy and help local communities make those connections.

PRINCIPLE 5: Work with an experienced local intermediary to develop strong leadership, comprehensive vision, trust with community residents, community capacity to implement change strategies, and resident ownership of change.

PRINCIPLE 6: Leverage additional funding and use an array of financing strategies, including increased use of PRIs, guarantees, and other forms of social investment.

PRINCIPLE 7: Establish collaborative structures (if they don't already exist) and processes to ensure that community change strategies are coordinated and focused to achieve the desired impact (i.e., build capacity for achieving desired scale).

PRINCIPLE 8: Build and strengthen the capacity of local institutions to support and sustain the community's capacity for change.

PRINCIPLE 9: Develop partnerships across sectors to achieve the desired breadth of impact.

2. Community Capacity

PRINCIPLE 10: Increase community-wide capacity for organizing residents, organizations, and other stakeholders in developing initiative plans and advocating for community change.

PRINCIPLE 11: Pay explicit attention to race and culture in community organizing and relationships among community leaders, if possible using an intermediary with specialized expertise working with communities of color.

PRINCIPLE 12: Strengthen the ability to access and use data and other information to make decisions, communicate, and in other ways to better achieve the desired results.

PRINCIPLE 13: Institutionalize the ability to manage and implement the intended community change process.

PRINCIPLE 14: Identify and maintain focus on specific meaningful results that will affect a significant number of neighborhood residents.

KEY:

indicates the number of CCIs reflecting that principle:
4-5 CCIs: // 6-7 CCIs: // 8 or more CCIs:

Table 1. Emerging Action Principles for Community Change

3. Systems Change

PRINCIPLE 15: Target larger systems changes that align with community change goals.

PRINCIPLE 16: Develop integrated place-based systems of services and care.

4. Community Context

PRINCIPLE 17: Be aware and responsive to the history of communities, relations among groups (e.g., across race/culture) and organizations, opportunities, resources, and barriers. Adjust plans while maintaining long-term focus.

PRINCIPLE 18: Select communities based upon prior experience with successful collaborations that mobilized residents and stakeholders around improvement efforts.

KEY:

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4-5 CCIs: // 6-7 CCIs: // 8 or more CCIs:

Emerging Action Principles

Foundation Role

Principle 1 Provide clear guidance

on requirements (e.g., funding, focus on particular results) and realistic expectations about what can be accomplished while supporting ownership by and capacity of local implementing organizations.

A key learning from past CCIs is that success requires community ownership of the planning and implementation of community change. However, the reality is that foundations have requirements and limitations in what they can fund, as well as strategic insights from their own experience and findings in the CCI field. Communities and funders must work together to develop realistic expectations about what can be accomplished.[5] In addition, funders must balance being clear about their requirements with support for local ownership of the change process. In its Rebuilding Communities Initiative (RCI), AECF required grantees to do strategic plans that covered six areas the foundation had found to be important for community change, but the plans developed initially were overwhelming and unrealistic. That led to the foundation's decision to work with each community to define a focus area ("engine of change") that could leverage change in other areas. Robert Wood Johnson Foundation viewed Urban Health Initiative (UHI) sites as partners and allowed each community the autonomy in defining, planning and implementing the work, but provided clear requirements and intensive technical assistance for conforming to these requirements through the intermediary.

5. The need for focus and sequenced implementation was supported by evaluation reports, which repeatedly describe problems with managing comprehensive approaches to community change. We interpret this as pointing to the need for sequenced implementation, in addition to realistic expectations about what can be accomplished. Further work is needed on this issue as these emerging principles are further explored and elaborated.

Principle 2 Build and sustain trusting relationships with community leadership and build capacity of local leadership to lead more effectively.

Transitions occur throughout the life of a CCI, whether internal (e.g., staff and leadership changes) or external (e.g., macro-economic changes). In addition, changes in strategy or focus result from interim evaluation data and transitions to each new phase of the work. Funders must take the time to build and sustain authentic relationships with organizations and resident groups in the community in order to gain their trust as well as to maintain the funder's own knowledge and trust of the community. In AECF's New Futures initiative, strong high-level African-American leadership was critical in winning support and trust from low-income African-American residents. Formal and informal relationships with grassroots leaders and organizations serving leadership roles in the community have been a sustained focus of foundation staff in the AECF's Civic Sites in Baltimore and Atlanta. The Hewlett Foundation was not successful in communicating clearly about transitions in its Neighborhood Improvement Initiative, which led to a breakdown in the communities' trust. Program officers from The California Endowment realized the need to find effective ways to participate in local community collaboratives in their Building Healthy Communities (BHC) initiative; as such, they embedded staff in each of the 14 communities that were part of the initiative as well as had frequent meetings between the foundation's leadership and representatives from these communities. The Jacobs Family Foundation encouraged and accepted criticism from resident teams participating in the Village at Market Creek (VMC) initiative, in order to adapt as needed to address community needs and concerns.

Principle 3 Engage local government, other system stakeholders, and potential funders to participate in and support community-level changes.

Community change efforts are embedded in a larger world of public and private systems. While systems reform is not the explicit focus of many community change work, intermediaries and local embedded funders should recognize the importance and build capacity for engaging local government and system stakeholders in support of sustainable community-level change.

Community change efforts are embedded in a larger world of public and private systems. While systems reform is not the main focus of community change work, intermediaries and local embedded funders should recognize the importance and build capacity for engaging local government and system stakeholders in support of community-level change. Making Connections learned the importance of engaging representatives from public systems to integrate services and partner with community leadership to make other kinds of changes. As an embedded funder for its Good Neighborhoods Initiative in Detroit, Skillman Foundation played a role as a champion for neighborhood change and created influence aimed at leveraging public and private assets toward the initiative's activities. Similarly, UHI was aggressive about engaging local government and getting the attention of systems leaders, and the Comprehensive Community Revitalization Project (CCRP) worked with public agencies to implement changes that impacted in the target neighborhoods.

Principle 4 Respond to trends and forge links to the regional economy and help local communities make those connections.

Lasting community change requires connecting neighborhoods with the regional economy in order to alter regional dynamics that limit opportunities for low-income communities by isolating them from the larger city and region. This includes improving strategies for local hiring, matching employment training to available jobs, increasing access to jobs, and attracting new jobs and investments to low-income neighborhoods. For example, Making Connections increased access to jobs and secured other kinds of community benefits from city and regional large-scale economic development initiatives. The New Communities Program (NCP) in Chicago sought to bring market capacity into its target neighborhoods and reconnect them to the economic mainstream in the region by attracting retail and housing development and creating stronger connections to metropolitan-wide business and employment opportunities. The Skillman Foundation's Good Neighborhoods Initiative convened a Youth Employment learning community with other funders, nonprofits, private sector companies, and city and state government agencies to address sustainable youth employment in Detroit. The Integration Initiative, Good Neighborhoods Initiative, and the Village at Market Creek have targeted transit-oriented development (TOD) as an important economic opportunity for low-income neighborhoods in terms of jobs, retail and housing development, and other kinds of investments benefiting low-income residents.

Principle 5 Work with an experienced intermediary to develop strong leadership, comprehensive vision, trust with community residents, community capacity to implement change strategies, and resident ownership of change.

An experienced and prepared intermediary is critical for orchestrating the many moving parts of a community change effort and is especially important in strengthening the engagement and collaboration of residents and organizations and in building the capacity of local institutions.

Funders should no longer be sole investors in community change efforts, but should capitalize on their influence with other local and national public and private funders to bring in additional funding streams. Financing strategies should go beyond grants to include program related investments (PRIs), equity, loan guarantees, and other forms of social investment to significantly expand the resources and partners for community change. A good example is The Integration Initiative's use of a variety of strategies, including PRIs and other kinds of social investments, with the goal of permanently redirecting public and other resources by leveraging initial philanthropic funds. Local leads bring in new funds by guaranteeing loans, which creates an impetus for a sustainability plan among local partners. Similarly, Skillman Foundation acted as an investment broker in addition to funder, and made it clear up front that there was an expectation that lead agencies would seek other funding. Robert Wood Johnson Foundation also required UHI sites to identify new or existing funding streams to support programming. AECF supported the work of Making Connections through social investments in addition to grant making, including certificates of deposit in local community financial institutions and PRIs in the form of debt and equity. New Futures built ownership by public agencies by requiring matching funds for AECF's grant.

Community change efforts are embedded in a larger world of public and private systems. While systems reform is not the main focus of community change work, intermediaries and local embedded funders should recognize the importance and build capacity for engaging local government and system stakeholders in support of community-level change. Making Connections learned the importance of engaging representatives from public systems to integrate services and partner with community leadership to make other kinds of changes. As an embedded funder for its Good Neighborhoods Initiative in Detroit, Skillman Foundation played a role as a champion for neighborhood change and created influence aimed at leveraging public and private assets toward the initiative's activities. Similarly, UHI was aggressive about engaging local government and getting the attention of systems leaders and the CCRP worked with public agencies to implement changes that impacted in the target neighborhoods.

Principle 6 Leverage additional funding and use an array of financing strategies, including increased use of PRIs, guarantees, and other forms of social investment.

Principle 7 Establish collaborative structures (if they don't already exist) and processes to ensure that community change strategies are coordinated and focused to achieve the desired impact (i.e., build capacity for achieving desired scale).

The nature of community change demands that funders and intermediaries take an active role in concentrating strategies so that a particular set of results can occur. New Futures collaboratives had the authority to pool funding and programs in order to allow institutions and staff to cross boundaries, blend their work, and coordinate better. RCI sites each defined an "engine of change" as a means of connecting broad change strategies, focusing investment, and building capacity. NCP helped coordinate projects in particular result areas by strategic funding using loans and seed grants. UHI's intermediary was funded to build capacities required for sites to achieve results at a citywide scale. The Skillman Foundation program officers who led Good Neighborhood teams belonged to an operations group managing the overall initiative, which met every two weeks to coordinate the work among partners aimed at achieving specific results.

Principle 8 Build and strengthen the capacity of local institutions to support and sustain the community's capacity for change.

Sustaining the community's ability to make change requires community organizations to act as ongoing catalysts for change. It is essential for funders and intermediaries to build this capacity. RCI used an organization development approach and built internal capacity for long-range financial planning, developing a wider range of resource development strategies, writing realistic and focused strategic plans, managing a broad change agenda, and functioning in collaborative structures. Making Connections supported capacity building in community organizing for local partnerships that wanted it, in addition to building new institutional capacities for supporting community change. The Neighborhood Partners Initiative (NPI) funded extensive TA to build the human capital and expertise of lead agencies to implement programs and lead neighborhood change efforts beyond the life of the initiative. The Neighborhood Improvement Initiative funded intermediaries to do leadership coaching for community organizations. Numerous current CCIs support sustainability by investing in capacities of community organizations to support community engagement. A specific example of building local capacity for change is Jacobs Family Foundation's work with government agencies and nonprofits to build the capacity for cultural competence to meet the needs of specific racial, ethnic, and cultural groups.

Because community change addresses multiple areas of change that go beyond what a foundation is willing or able to fund, funders and local lead agencies should create and leverage public and private partnerships early on to support solutions that achieve the breadth of needed for sustainable change.

Principle 9 Develop partnerships across sectors to achieve the desired breadth of impact.

A key challenge in community change work is to address multiple areas of change that might go beyond what a foundation is willing or able to fund. Funders as well as local lead agencies should create partnerships to achieve the breadth needed by each site, while recognizing the need for focusing on a realistic number of results and sequencing the implementation multi-faceted approaches. For example, The California Endowment developed partners for the BHC initiative to address areas outside of health within a set of ten outcome areas. New Futures emphasized that locally designed approaches and interventions should cut across education, employment, health, and human services and convened local collaboratives with representatives from these areas. RCI introduced neighborhood governance collaboratives to get cross-sector entities at the table with residents but was not successful in getting systems-level actors to join. RWJF encouraged partnerships with other major federal and foundation initiatives in each UHI site. Living Cities championed cross-sector solutions and helped build goodwill among necessary partners in The Integration Initiative, while its local lead managed relationships with key partners and officials.

Emerging Action Principles
Capacity Building

Principle 10 Increase community-wide capacity for organizing residents, organizations, and other stakeholders to develop initiative plans and advocate for community change.

The history of CCIs shows the fundamental role of collective action by residents and by organizations in creating community change. This often requires building the capacity in a lead community organization or local collaborative to organize residents and work with them to develop plans for community change along with other stakeholders. A number of Making Connections sites brought local organizing groups together to organize residents to create a resident agenda for community change and to carry that out. RCI focused on building collaborative structures among community organizations along with resident engagement, empowerment, and governance. CCRP found that Community Development Corporations (CDCs) needed assistance in building capacity for writing a strategic plan, engaging residents and community groups in quality of life planning, and building neighborhood social capital. Similarly, LISC worked with lead agencies in NCP to develop their ability for mobilizing other organizations in the community to develop quality of life plans. The California Endowment worked with community collaborative members in each site to develop capacities for inclusion and diversity, shared vision, and using arts and culture to get youth involved.

Structural racism and power are critical to address in community change work given that social problems are often tied to racial inequity and that low-income communities are diverse both culturally and linguistically. Approaches to analyzing problems and advocating for solutions need to include tools for breaking data down by race and ethnicity and building relationships and strategic alliances across different groups. Making Connections developed a Race Matters toolkit to provide resources for analyzing and addressing racial inequity. Skillman's Good Neighborhoods Initiative hired an intermediary, the National Community Development Institute, to build capacity for engaging and organizing communities of color. The Jacobs Family Foundation had organizers on staff from the different racial and ethnic groups in the community and highlighted racial and ethnic diversity as an important community asset to The Village at Market Creek. The California Endowment's BHC initiative found that they needed to begin to transform conflicts among different racial or ethnic groups (e.g., African American, Latino, and Asian), as well as recognize structural racism right from the beginning, before they could proceed with implementation.

Principle 11 Pay explicit attention to structural racism and power in community organizing and relationships among community leaders, if possible using an intermediary with specialized expertise working with communities of color.

Principle 12 Strengthen the ability to access and use data and other information to make decisions, communicate, and in other ways to better achieve the desired results.

A key activity for building capacity for change is the use of data and information. Community groups must know how to use data to describe problems and target solutions. Current and past CCIs have supported this capacity by providing training for community members in data and research, as well as strategically using data to communicate and gain the attention of system leaders, agencies, and other influential entities. For example, Making Connections aggressively brought a data framework to analyzing problems, designing strategies, and advocating and influencing solutions, such as using research to inform community organizing strategies for creating changes in systems affecting low income residents. New Futures set up data systems in schools and taking "report cards" back to the community for discussions about areas where improvements were needed. Civic Sites initiatives kept a focus on racial equity by disaggregating race in data used for targeting change and assessing outcomes.

Although engagement of community stakeholders in problem assessment, priorities, and planning is a critical step for any CCI, it is also imperative that planning is backed by solid project implementation and management. Communities must institutionalize the ability to implement strategies (e.g., activities, projects, advocacy) and manage them over time. In the New Communities Program, lead community organizations had to learn to make the transition from planning to implementation and not to rely on organizers, who tend not to be natural project managers. Lead organizations ensured that implementing partners stay on task, while the role of organizers was to keep residents connected to the change process over time. CDCs in CCRP institutionalized the ability to turn ideas into achievable projects, and used early action projects to gain experience in effective implementation aimed at producing results.
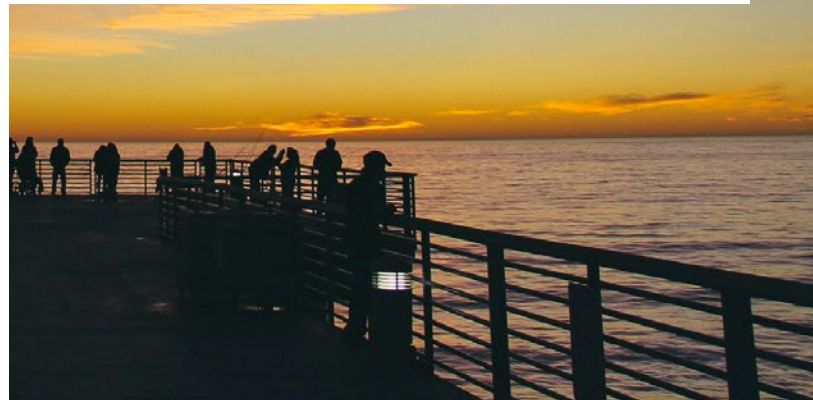
Principle 13 Institutionalize the ability to manage and implement the intended community change process.

Principle 14 Identify and maintain
focus on specific meaningful results that will affect a significant number of neighborhood residents in order to achieve appropriate scale.

Along with building community capacity for planning and implementing change, CCIs face the important issue of achieving scale, or having a desired impact on a particular target population. This requires gauging the ability of initiative activities to make change. Many CCIs have approached this as CCRP did, working with lead CDCs and collaborating partners to implement an array of community programs and activities to improve the physical neighborhood environment and increased opportunities for residents. In this approach, change at the neighborhood level occurs by building community capacity to develop plans and projects for improving neighborhood conditions and increasing the level of goods, services, and programs available to community residents through these projects. The projects themselves have an impact, but so does the process of planning and implementing those projects. A different view of how to create population impact has been adopted by The Integration Initiative: a population level impact can occur when a policy change results from the spread of a new effective practice. Some initiatives, such as NCP, were still trying to figure out how to track population-level outcomes. Both NCP and Making Connections focused on building the community's capacity to target necessary changes and carrying out strategies for making those changes, believing that population changes would come as a result. Good Neighborhoods took the approach of having collaboratives in each neighborhood develop clusters of activities that promote immediate services for children while bigger strategies for wider change are being worked out. AECF's Atlanta Civic Site targeted the population of low-income families in five neighborhoods with its two-generation approach of economic strengthening and improved educational outcomes. The most direct link of community change strategies to population impact was

the approach taken by UHI. Sites were forced to think in the big picture by completing Getting to Scale reports, which involved testing each strategy to determine how many residents could be reached and whether that would make a meaningful difference in health indicators ("Denominator Exercise").

Emerging Action Principles

Systems Change

Principle 15

Target larger systems changes that align with community change goals.

CCI funders and intermediaries must work with community leaders to understand the need for systems change and target strategies for achieving those changes.

Community change initiatives are focused on neighborhood or cross-neighborhood change. However, there is increasing recognition that system-level and policy changes are critical for supporting and sustaining community change. CCIs must work with community leaders to understand the need for systems change and target strategies for achieving those changes. For example, the BHC initiative targeted state-level policy changes that sustain changes at the local level, as well as local policy and systems changes aimed at institutionalizing best practices, and increasing access and availability of services important for health. Making Connections sites pursued opportunities to influence city and state policies affecting neighborhood residents and systems. Although systems change to support neighborhood-level change was a goal, RCI was not able to build capacity of residents and communities to target and pursue systems changes. UHI worked with local change agents (lead organizations) to target systems changes in best practices and funding to adopt them. The Integration Initiative provided sites with TA to learn to think of a larger systemic approach to change. AECF's Civic Sites were embarking on targeting systems changes to broaden the results achieved over the past ten years to a wider population. The California Endowment worked with community collaborative members in each site to develop capacities for inclusion and diversity, shared vision, and using arts and culture to get youth involved.

Community change initiatives need to analyze the needs of individuals seeking multiple kinds of services or care, whether it is health services in schools or one-stop multi-service agencies in the community. This requires initiatives to identify needs for service integration and to collaborate with service providers and outside agencies as needed. For example, New Futures emphasized that public agencies interested in strengthening national support systems needed to learn how to nurture and monitor fledging community-based efforts. The BHC initiative developed a system of care and prevention through development of health homes. Integration Initiative and Good Neighborhoods were also developing systems of care and pursuing other approaches to service integration.

Principle 16

Develop integrated place-based systems of services and care.

Emerging Action Principles
Community Context

Principle 17 Be aware and responsive to the history of communities, relations among groups (e.g., across race, ethnicity, and culture) and organizations, opportunities, resources, and barriers. Adjust plans while maintaining long-term focus.

The process of creating community change plays out against a complex backdrop of the social history of each place. That history both limits and supports strategies for change. While not all factors affecting community change can be known or addressed, the history of relations among groups and organizations should be investigated and opportunities and barriers should be identified so that strategies can be adjusted or changed as needed. These opportunities and barriers include racial and economic dynamics (and the extent to which they have been addressed or lie dormant), history of social struggle, competition or hostility between organizations, trust among lead organizations and community leaders, divisions and affiliations due to language and culture, history of immigration, and successes and failures of past initiatives. For example, Good Neighborhoods in Chicago had to deal with residents' cynicism about organizations actually delivering on their promises. The Village at Market Creek in San Diego identified and built on the opportunity of multi-ethnic diversity and the historic lack of public acknowledgment of that diversity. In New Futures, the history of racial tensions affected low-income African-American residents' trust of the initiative. In AECF'S Civic Sites, long-term institutionalized racism and broken promises fueled resident anger, which had to be constructively channeled toward making change. In RCI, some lead organizations had a history of struggle and civic engagement but had evolved away from that, so were less inclined to use community organizing as a strategy for change.

Principle 18 Select communities and provide appropriate technical assistance and support from the start based upon prior experience with successful collaborations that mobilized residents and stakeholders around improvement efforts.

Although community change initiatives have historically targeted communities with the biggest problems, most difficult conditions, lowest resources, and longest histories of disinvestment, the lack of capacity has limited the success of many of these initiatives. In particular, funders have learned that the community's prior experience with collaborative change efforts builds a foundation for more complex approaches to change. Funders need to provide the appropriate type and level of technical assistance and support customized to the conditions and capacity of that community. Funders and technical assistance providers must be ready to assist grantees and their community partners from the time when they begin the application process to the very end. Commitments, decisions, expectations, and plans are made by grantees early on in the process, while technical assistance providers are often just getting ready. The lack of readiness by technical assistant providers and funders at the beginning of an initiative frequently results in years of work to undo problems that were created due to the limited understanding or capacity for implementing the initiatives during the formative stages. In the Neighborhood Improvement Initiative, sites with prior nonprofit collaboration had more capacity for community planning. CCRP selected neighborhoods where CDCs had experience implementing large housing programs and strong leadership interested in rediscovering the value of community building. Existing cross-sector collaborations had been a benefit to Skillman's Good Neighborhoods Initiative. An important learning from Making Connections was that capacity for community organizing, political engagement, leadership, and technical assistance was at least as important as the existence of prior relationships between the foundation and community and systems leaders.

Conclusion

This report presented an initial list of emerging principles for designing and planning community change efforts. The purpose of the principles is to provide guidance to decision-making by funders in four major areas based on evidence of their recurrence in 13 major present and past initiatives. Further exploration of their implementation and effect on the initiatives' outcomes is necessary to understand their full potential and impact.

Most important, these principles can be a starting point for collective learning so that funders can be better prepared for the implementation of community change initiatives. For something so complex and to which so much attention is paid, little effort has been made to identify what has been learned across community change initiatives. Also, while there is general agreement that community change or place-based initiatives are complex, there has been limited effort by the field to address this complexity. We all realize that a "one-size-fits-all" approach to community change initiatives is not appropriate because of differences in context, capacity, and opportunity. The development of action principles, such as demonstrated here, can form the research- or science-based guidance to the design, implementation, and evaluation of these initiatives with greater specificity than what we have observed so far. Looking at the strength of evidence for community change initiatives can elevate community change strategies to a new level of success and credibility.

Appendix
Illustrative Framework Hypothesis Questions

Illustrative Framework Hypothesis Questions

	FOUNDATION ROLE	CAPACITY BUILDING	SYSTEMS CHANGE	COMMUNITY CONTEXT
HYPOTHESIS/ EVIDENCE/ACTION PRINCIPLES/	What is the right role for a national funder? What is the right role for an embedded funder?	What are the most powerful "levers" or targets of change within the place that will lead to results?	What "levers" or targets of changes are needed in larger systems to make place changes? What role does place have in how systems serve the community?	What is the "right" size of community? What will build community?
CAPACITIES NEEDED	What capacities does the foundation need?	What capacities does the community need to create change?	What capacities are needed to make systems change?	What capacities are needed to support the community to make change?
COMMUNITY LEADERSHIP	What is the foundation's relationship with community leadership, related to goals, priorities, strategy, communication? (e.g., equal partner, supporter, director)	How are community leaders engaged in the community change process?	How should the community leadership be engaged? Do they share ownership of issues?	What are the historical factors among community leaders and their groups that affect this CCI?
HOW SCALE CAN BE REACHED	What is the foundation's role in reaching the desired scale?	How will strategies potentially affect all the target population in the place?	What is the strategy for making intended changes system-wide?	What are the contextual barriers and opportunities to achieving results?
HOW SCOPE (BREADTH) CAN BE ACHIEVED	Who does the foundation need to partner with to achieve the desired scope?	Are all the key organizations that play major role in the changes involved?	How can a strong system of prevention and care be developed?	What are the opportunities and barriers to cross sector collaboration?
HOW TO INCREASE SUSTAINABILITY	What role (s) leads to greater sustainability?	How will strategies to address these changes be sustained?	How will strategies to address these changes be sustained?	What resources are available to sustain this effort? What limits its sustainability?
INDICATORS OF SUCCESS	Shared role and clarity of responsibility among all stakeholders, and staff training.	Community capacity to organize residents, identify and address levers, and take collective action.	Community capacity to advocate, introduce, and sustain best system practices.	Ability to bring changes to scale to improve conditions for all affected.