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WHAT WORKS IN COLLABORATION: A CASE STUDY OF A FACILITIES PARTNERSHIP BETWEEN A PUBLIC SCHOOL DISTRICT AND A NONPROFIT ORGANIZATION

by

Jake Mueller Klipsch

An Abstract

Of a thesis submitted in partial fulfillment
of the requirements for the Doctor of Philosophy degree in
Educational Policy and Leadership Studies
(Educational Administration)
in the Graduate College of
The University of Iowa

May 2011

Thesis Supervisor: Assistant Professor Liz Hollingworth

ABSTRACT

In the face of increasing budget cuts, public K-12 schools are collaborating with both public and private organizations in an effort to more efficiently meet the needs of the students they serve. When schools share a facility with a community-based organization, the school not only saves costs in regard to facility maintenance and operations, but potentially improves services to their student population. In addition to facility sharing, community agencies might partner with schools to provide students services that satisfy basic needs, including medical, vision, and dental care, to allow students to perform better in school. Other community organizations have cooperated with school districts to provide before- and after-school programming to assist working parents concerned about the supervision of their children outside the school day.

This is a case study of a collaboration between a school district and a nonprofit organization for the purpose of building two high school facilities together. Through interviews with district and nonprofit leaders, this study explores how this was accomplished. Analysis of interview data resulted in five emergent themes. These themes were juxtaposed with Melaville and Blank's 1991 framework. Melaville and Blank's research consisted of a study of multiple partnerships and resulted in five common variables: The Five Variables Shaping Interagency Partnerships. The final chapter of this study synthesizes the collaborative literature and the case study data to suggest a new framework for collaboration: The Five Steps to an Enduring School/Community Collaboration. Educational researchers can use this study and its framework to further explore collaborations in education. School leaders can use this

framework to guide them through their own collaborative processes. All educators can use this research to answer the question, “What works in collaboration?”

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Graduate College
The University of Iowa
Iowa City, Iowa

CERTIFICATE OF APPROVAL

PH.D. THESIS

This is to certify that the Ph.D. thesis of

Jake Mueller Klipsch

has been approved by the Examining Committee
for the thesis requirement for the Doctor of Philosophy
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For Leslie

If you want to go fast, go alone. If you want to go far, go together.

African Proverb

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CHAPTER I: INTRODUCTION

While interorganizational competition was once the predominant driving force in business, due to the ever-widening global marketplace, increasing environmental uncertainty, and the exponential advancements in technology, businesses have begun to realize "we are living in a time when no organization can succeed on its own" (Austin, 2000, p. viii). As a result, interorganizational relationships are an integral part of business in the public, private, and nonprofit sectors.

The willingness to collaborate among organizations became increasingly common in the late 1980s. "We are entering," Gray (1989) stated, "a new era in which collaboration, rather than competition, will in all likelihood become the leading or governing value in interorganizational relations" (p. xv). One of the driving forces behind collaboration is economics. Resource scarcity has led organizations to look outside their own walls to meet their organizational goals. Public schools in particular have begun to struggle to find solutions to their financial needs.

A Brief History of Education Finance in the United States

Drastic changes have been made in the United States system of education since the federal Department of Education began to formally collect data regarding public education approximately 140 years ago (Digest of Education Statistics, 2007a). One major change has been the dramatic increase in enrollment in elementary and secondary education institutions. In 1870 there were 6.8 million students reportedly attending school. By 2005, that number increased to over 49 million students (Digest of Education Statistics, 2007a). The money spent on education has increased as well. In 1949, at the

local, state, and federal levels, $6.2 billion dollars were spent on elementary and secondary education, representing 2.3 percent of the gross domestic product (GDP). In 2006, that number increased to $599 billion, or 4.5 percent of the GDP (Digest of Education Statistics, 2007b). The amount of money spent on education per pupil during this time has also increased dramatically. As indicated in Figure 1, from 1970 to 2006 the average expenditures per pupil increased from $4,060 to $9,266[1] (Digest of Education Statistics, 2007c).

[1] Constant dollars (adjusted for inflation)

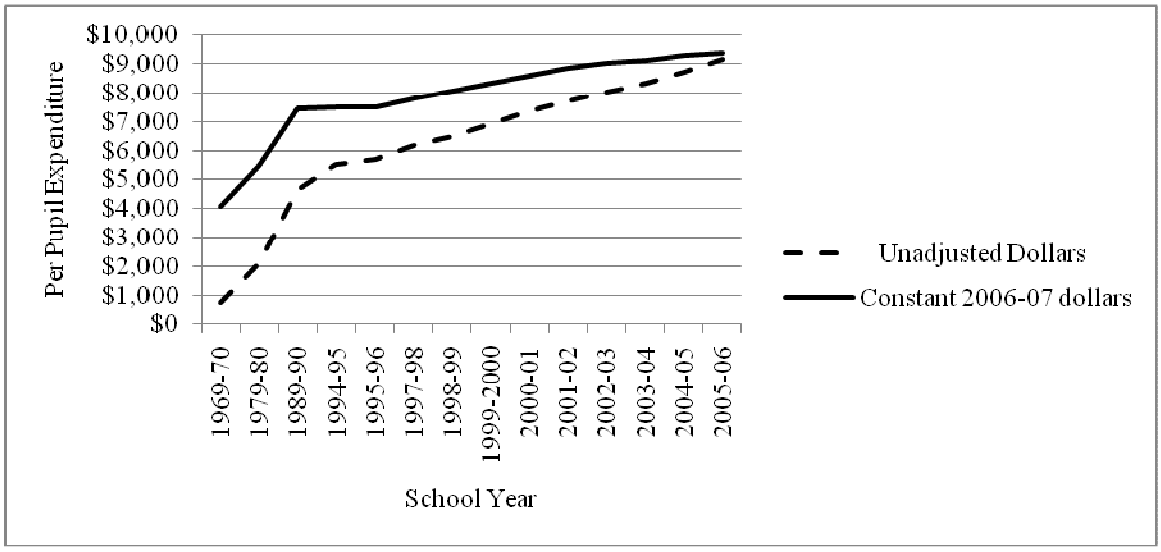

Figure 1. Current Expenditure Per Pupil in Fall Enrollment in Public Elementary and Secondary Schools: 1969–70 Through 2005–06

Source: *Digest of education statistics: 2007c.* (2008). Retrieved April 5, 2009, from http://nces.ed.gov/programs/digest/d08/tables/dt08_184.asp?referrer=list

Despite the increases in the number of students attending school and the money spent to educate these students, one aspect of education that has remained relatively consistent is the United States public school revenue sources. In the early 20th century, public schools were highly decentralized and primarily funded locally. In 1919, approximately 83 percent of school funding was provided at the local level (Digest of Education Statistics, 2007d). The remaining funding came from state sources and less than one percent from the federal government. The amount of local funding began to decrease and state and federal funding increased from 1919 through approximately 1975. As depicted in Figure 2, by 1975 the average percentage of funding from local sources decreased to 46.7 percent while state and federal funding increased to 44.4 and 8.9 percent, respectively. By 2006, the percentage of local funding decreased to 44 percent, the state became the greatest funding source at 47 percent, and the federal government increased funding to nine percent (Digest of Education Statistics, 2007d).

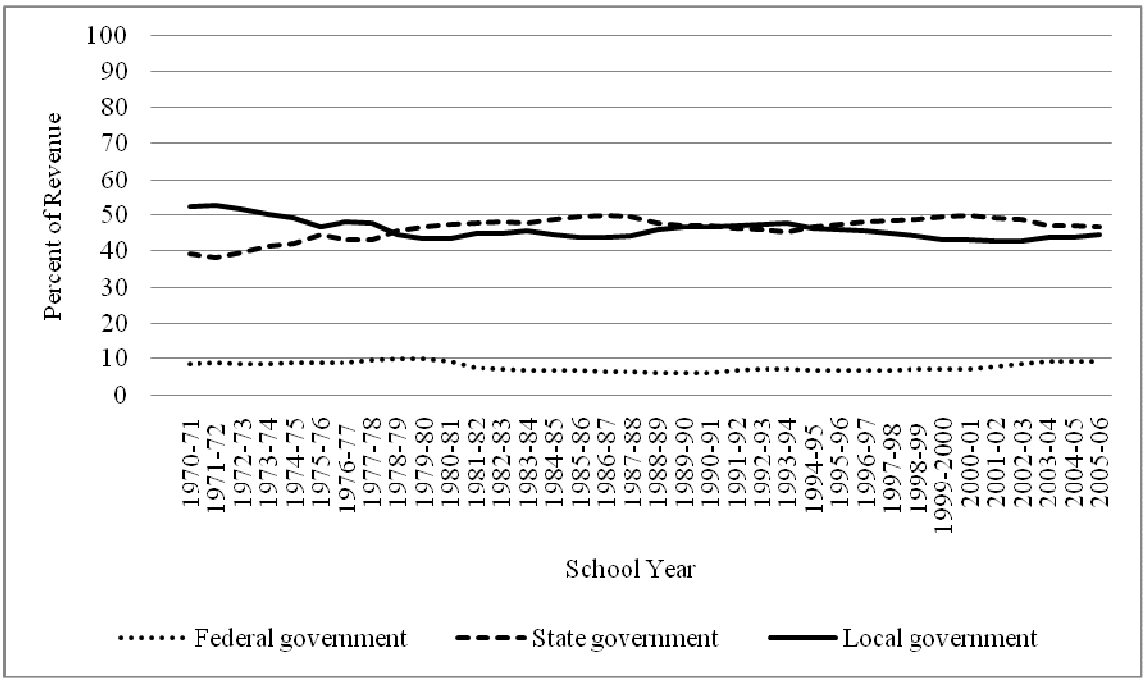

Figure 2. Percentage of Revenue for Public Elementary and Secondary Schools, by Source of Funds: 1970–71 Through 2005–06

Source: *Digest of education statistics: 2007d.* (2008). Retrieved April 5, 2009, from http://nces.ed.gov/programs/digest/d08/tables/dt08_171.asp?referrer=list

This evolving balance between local, state, and federal sources is the traditional school funding model. Funding between each of these areas can be broken down further.

Federal Funding

As mentioned previously, the federal government, on average, provides nine percent of a school district's funding. Approximately 25 percent of this funding is provided as aid through Title I of the Elementary and Secondary Education Act (ESEA) of 1965, later reauthorized as the Education Consolidation and Improvement Act (ECIA) of 1981, the Improving America's Schools Act (IASA) of 1994, and most recently as the No Child Left Behind Act (NCLB) of 2001. This 25 percent in Title I funding is equal to over $10 billion per year and is provided for the purpose of improving the academic achievement of economically disadvantaged students (Baker, Green & Richards, 2008). The allocation of this funding is based on the number of students living in poverty; therefore, districts with a large number of students from low-income households receive a greater share of this federal funding. This allocation of funding helps to ensure the goals of Title I of NCLB are met: "to ensure that all children have a fair, equal, and significant opportunity to obtain a high-quality education and reach, at a minimum, proficiency on challenging state academic achievement standards and state assessments" (No Child Left Behind Act, 2001). Ensuring equitable education for all students also drives the decision to use federal money for other purposes as well.

One purpose is to provide equitable education for individuals with special needs through the Education for All Handicapped Children Act of 1975, later reauthorized as the Individuals with Disabilities Education Act (IDEA) of 2004. In 2004, this number

was just under $8 billion and was distributed to states based on the number of students in the state with a disability as defined by IDEA. The remaining share of federal funding is provided under NCLB for purposes such as the following: (a) Title II – Preparing, Training, and Recruiting High Quality Teachers and Principals; (b) Title III – Language Instruction for Limited English Proficient and Immigrant Students; (c) Title V – Promoting Informed Parental Choice and Innovative Programs; and, (d) Title VIII – Impact Aid.

State Funding

The U.S. Constitution does not include information regarding public education; therefore, under the 10th amendment, education administration is a state right. Because of this, states use different funding models and it is up to the state to decide how funds will be distributed to districts. For reasons just described, a state determines the base level of funding necessary to provide an individual student an adequate education. This base level is considered the funding foundation and state funding is determined based upon this foundation. One formula used to ensure all students receive the foundation level of funding is the flat grant. The flat grant provides a sum of money to a district regardless of district wealth or the amount of local funding available to the district. To ensure equitable educational funding for students, instead of relying completely on flat grants, most states use an equalized foundation formula. This formula provides funding inversely to the local community's ability to pay for the school's needs. For example, a district with a higher property tax base will receive less state funding than a district with a low property tax base.

Other districts use a mixture of a flat grant with an equalizing formula. In Appendix A, Table A1 depicts variations in percentage of state aid from state to state is displayed, from a minimum of 27.1 percent in Nevada to a maximum of 87.4 percent in Hawaii (Digest of Education Statistics, 2007e).

Local Funding

While the average percentage of district funds provided by local funding has slowly decreased since 1929 from 83 percent to 44 percent in 2006, in 21 states the local share is still the largest funding source for districts. The amount of local funding for districts is determined through local property taxes. A key indicator to the amount of local revenue a district receives is determined by whether or not the district is a property-rich or property-poor district. Property-poor districts may need to have a higher tax rate to provide their schools the same resources as a property-rich district with a lower tax rate simply because of a larger, or wealthier, tax base. It is for this reason states have attempted to create and implement equalizing formulas for the purpose of decreasing the funding inequalities between property-poor and property-rich districts.

Citizens are often hesitant to see an increase in their property taxes, which causes a dilemma for schools that depend on tax levies to raise revenue. As property taxes increase, taxpayers often fight against having to pay more. For example, the 1978 People's Initiative to Limit Property Taxation in California, otherwise known as Proposition 13, placed a cap on property tax rates in California, reducing taxes by 57 percent (California Tax Data, 2002). This cap has had a dramatic long-term impact on California's public education funding. When Proposition 13 was passed in 1978, per

pupil spending in California was $600 above the national average. By 2000, that number had dropped to $600 below the national average (Lav & Lyons, 2007).

The property tax cap soon caught on and by 2005 tax caps, or variations of them, were in place in 33 states (Sack, 2005). While the state plans vary, they all have the same basic philosophy: to limit the amount property can be taxed in order to pay for education. For example, Massachusetts passed Proposition 2.5 that states the tax rate is only allowed to increase by 2.5 percent each year. In Illinois the property tax cap states the property tax can increase by the lesser of five percent or the rate of inflation (Lav & Lyons, 2007).

Other states have adopted different variations of the cap, but regardless of the details, these caps have created significant budget shortfalls for districts. If a district has restrictions on the funds it receives through property taxes or the inflation rate exceeds the property tax rate, the district needs to find alternatives to make up for the budget shortfalls.

Traditional Facility Funding Challenges

The lack of federal funding to build or renovate facilities is a great challenge, due to the fact that 50 percent of United States schools were built approximately 35–45 years ago (Thompson & Wood, 2005). President Obama, in his Address to Congress in 2009, called this issue to the attention of the country when he spoke about a school he visited in South Carolina in which “the paint peels off the walls.” When visiting the school in 2007 Obama said, “When a child goes to a school that's crumbling, is it any wonder that she gets a sense her education is not important?” (Obama, 2009). In 1995, the United States

General Accounting Office reported public schools needed $112 billion in repair work. Of this, $50 billion are needed in urban districts (School Facilities, 1995).

When local funding is insufficient to make necessary repairs or to fund a major capital project, a district may attempt to issue bonds. Bonds are a financial tool districts use for the purpose of borrowing money to pay for large projects. After receiving public voter approval (because it is public tax money that is often used to repay the bond), a school board has the ability to issue bonds, typically paid out over 10-, 20-, or 30-year periods. The school board, basing its decision largely on interest rates, sells bonds to competing companies (Burrup, 1974). The revenue from those bonds is then used to pay for the desired capital improvements or new construction.

Bonding typically requires a referendum allowing voters to choose whether or not they are willing to pay the extra taxes to retire the debt. Districts in communities with a small property tax base, a low tax rate, or a lack of willingness to pass a referendum may find it difficult to attain the extra funding necessary for long-term capital expenses.

A New Funding Model

Public schools have a history of being leaders in collaboration in regards to after-school programming, community education, and in providing social services (Dryfoos, 1994). Schools are not only looking to collaborate for the sake of instruction, but also for the sake of financial planning. Districts struggling with dilapidated buildings and a lack of funding for renovations or new facilities have sought creative solutions to their funding needs. One solution districts have found is facility collaboration.

In large urban school districts, due to the lack of resources to build new facilities, decreasing enrollment, and the desire to create a smaller school model, schools have learned to share buildings. In New York, 42 percent of the city's public schools share a facility, and some buildings house as many as five schools (Gootman, 2008). In Chicago the number of schools that share a facility is 12 percent. Los Angeles is planning to divide larger schools in the year 2010, and Denver has also considered facility sharing as it looks for creative ways to utilize the empty classrooms left from a decrease in enrollment.

Nathan (2002) found that schools such as El Puente Academy for Peace and Justice in New York City are sharing facilities in order to create smaller schools without actually having to build new school buildings. El Puente Academy is a public high school in Brooklyn that shares a former church building with staff from a local social services agency. This partnership not only provides students a place to learn, but also allows them to focus on activities that facilitate peace and justice within the community by utilizing the expertise of the agency staff, who also work in collaboration with the students. In 2003, the New York City education chancellor named the academy one of New York City's 208 Schools of Excellence (El Puente, 2009).

Taylor and Snell (2001) report that some schools think creatively to solve the problem of financial scarcity and how it relates to school facilities. In Des Moines, Iowa, the Business/Education Alliance collaborated with the school district and created a downtown school in 1993. Employees working in the downtown area were pleased to have a school so close to where they worked, and employers were pleased because the

nearby school improved employee job satisfaction and increased daily employee attendance among downtown business employees. If a parent needed to visit their child's school, the parent could simply walk to the school for a conference and return to work. A major difference between the traditional public school model and this model is that enrollment is not based on the attendance area of the student's home. Rather, students in the district can open enroll into the school. In Des Moines, parents often choose this option if they work in the downtown area.

When the school opened in 1993, classroom space (along a skywalk) was initially donated by one of the downtown businesses. The school soon expanded and was renovated, financed by donations from the business community. In 1996, the school grew again, this time utilizing space for classrooms on the top of a parking garage previously used as a day care center. The day care center, which was experiencing difficulty covering operational expenses, leased a portion of the facility to the school and in return, the school covered the utility expenses for the whole building. The partnership continued to evolve and eventually a playground space was created by way of parent contributions, business donations, and district funds. As of 2010, as a nongraded elementary school, the school served 268 students from ages 5 through 12. The school employed 18 Des Moines Public School teachers who used the same district curriculum as traditional schools in the area.

Another value added to the collaboration was the students' ability to use the downtown public library. This eliminated the need to build a new library facility. While the district began to assume more of the financial responsibility of the school, it enjoyed

cost savings not normally experienced by a traditional public school. Since over 90 percent of the students have at least one parent employed in a downtown business, the district does not need to provide any transportation. The district also did not need to pay for construction of new classroom facilities. The collaboration in the downtown school was an evolving, complex web of relationships between businesses, the city, and the school district.

A similar collaboration took place in Tampa, Florida (Taylor & Snell, 2001). The Partnership of Downtown Businesses and the Tampa School District collaborated to create a school in downtown Tampa in 1998. The school, housed in a church, opened with 44 students in grades K–2. It expanded a year later to include 125 students from grades K–3. The Partnership of Downtown Businesses signed a five-year lease with the church. The agreement stated that the district would fund the maintenance and renovations of the church in exchange for rent payments. The renovations were to cost $350,000. Of that, $300,000 came from a state legislative appropriation and the remaining $50,000 came from a matching grant as required by the initial appropriation from Easter Seals, operators of a day care program and preschool at the facility. This partnership saved the district a great financial burden as constructing a new school would have cost the district between six and seven million dollars.

In Miami, Florida, the Miami-Dade County School District collaborated with the Miami International Airport in the creation of a school facility at the airport. This collaboration was created for the same purpose as the downtown models mentioned above—to allow easier access to school facilities for parents who work at the airport. In

1988, the airport renovated the facility to be used by the school for a cost of $450,000. Eight years later, another renovation took place to expand the facility that cost the airport an additional $540,000. In addition to the costs of renovation, the airport also pays for telephone services, utilities, cleaning, and repairs of the building. The district pays for books, curriculum, supplies, equipment, computers, desks, chairs, tables for the classrooms, and teacher salaries. As with the facility collaborations mentioned above, the airport management has reported an increase in employee satisfaction and a decrease in absenteeism (Taylor & Snell, 2001).

Other schools have been created within and share facilities with shopping malls (Taylor & Snell, 2001). The mall school model is typically created for high school students who have difficulty learning in a traditional classroom. In 1998, the nonprofit arm of the Simon Property Group began a national initiative to build mall schools. In these schools, Simon absorbs the price of the mall space for classrooms and the district provides the curriculum and teachers. This collaboration enables students to engage in career training internships in such areas as retail sales and marketing while the district saves money on the cost of building new facilities. One such school exists in the Mall of America in Minneapolis, Minnesota. Here the mall built school space out from the existing structure at a cost of $350,000. Typically, space at the Mall of America is rented for $32 to $50 per square foot, but the mall saw value in having a school onsite and rents the space for one dollar per year. The space is rented by the Metropolitan Learning Alliance, a partnership between five local school districts and three businesses. This collaboration also provides an opportunity for an enriched curriculum for students.

Students are provided real-world experience with which to base their class work. Curriculum topics developed at mall schools include life/career choices, global studies, entrepreneurship, environmental issues, and arts in the marketplace (Nolan, 1994).

Often organizations choose to collaborate not only to share an existing facility, but also to expand an existing facility. A school district in North Liberty, Iowa, was planning on building a new elementary school with a 4,356 square foot gym; however, the city offered to pay for the expansion of the gym to 8,464 square feet in exchange for use of the gym for the city's recreation program. North Liberty, the western edge of which falls within the boundaries of the Clear Creek Amana School District, also contributed $400,000 to the expansion of a Clear Creek Amana elementary school gym in exchange for use by the city. A similar collaboration took place in Coralville, Iowa, where the city contributed $579,000 to the building of a new elementary school in exchange for use of its gym. Iowa City, Iowa, contributed $325,000 to an elementary school for an expansion to include a fitness space and family resource center (Daniel, 2008).

Charter Schools

The charter school movement exemplifies the collaborative mindset. Charter schools are nonsectarian public schools of choice that operate based on a "charter." The length of time of the charter varies, but most last three to five years, upon which time the charter can be renewed (U.S. Charter Schools, 2008). The founding of a charter school might begin without a pre-existing facility. When that is the case, the school must find a facility from which to borrow space or build a new facility altogether. Charter schools

have often satisfied this need by partnering with private businesses and other external entities.

Collaborations are particularly prevalent in the charter school movement when schools seek access to more resources and more autonomy and fulfill this need by collaborating with private businesses and other external entities (Smith, 2004; Wohlstetter, et al., 2004b; Smith & Wohlstetter, 2006). While greater autonomy is a major factor that fuels the charter school movement, another driving factor is resource dependence, or the public schools' need for more resources.

Newly founded charter schools are required to find a facility in which to house the school. The business in which the charter school collaborates often provides this building or is able to find an appropriate building in the community. The sharing of facilities is particularly important for charter schools since there is often a shortage of finances to buy or build a new school, and without a physical space from which to operate, the school cannot exist. Charter schools have been forced to find creative solutions to the problem of adequate facilities. As a remedy, they have utilized churches and YMCAs for classrooms, cafeterias, assembly halls, and gym space. Other schools have built partnerships with libraries, museums, and environmental organizations in order to create added value for their school as well as classroom space (Smith, 2004). In a nationwide survey of 110 charter schools conducted in 1995, it was found 25 used space provided by nonprofit organizations (Education Commission of the States and Center for School Change, 1995). Charter schools also partner with churches for the use of facilities. Smith and Wohlstetter (2006) report one such charter school had a 15-year lease of one

dollar per year with a local church. Another charter school leader in the same study reported a contract for facilities as long as the school maintained its charter.

Other charter schools did not receive facilities free of charge, but shared the cost with an organization. An example of this is the collaboration between a charter school and the Boys and Girls Club. As the two organizations began to trust one another, they began to share personnel, volunteers, and services.

In addition to the capital advantage charter schools receive through collaboration, these collaborations sometimes allow schools to benefit from the resources and services available through the private business or organization with which the school partners, such as funding for office and classroom supplies and staffing for human resource services (Wohlstetter & Smith, 2006). Collaborating with other economic sectors allows public education entities to take advantage of a variety of resources. For example, a public school that collaborates with a private business might have access to the human resource services of the organization, allowing the school to save costs and take advantage of a previously established and effective human resource department. Another possible benefit of such a collaboration is the amount of available financial resources to be used for classroom technology or supplies. By collaborating with private businesses, charter schools may have access to the financial resources of the private business. Community-based organizations are able to bridge the resources gap for charter schools in the areas of financial, human, and physical resources.

Other school districts that do not use the charter model have also begun to realize the need for access to community resources and services. When the collaborative

mindset is embraced in these districts and their surrounding community, the school is transformed into a community school.

Community Schools

The *community school,* or *full-service school,* movement (Dryfoos, 2008; Dryfoos, 1994) is a manifestation of the desire for schools to build relationships with the community and integrate health and human services within the school. Full-service schools are a growing trend that could not exist without a spirit of collaboration among community organizations that often offer services at the school. Full-service schools are described by Dryfoos (2008) in the following way:

> A full-service community school remains open for extended hours, weekends, and summers, welcoming families and community members into the building for an array of services and activities provided by community agencies. Needs related to physical and mental health, dentistry, social services, after-school activities, and educational enrichment are addressed on-site. (p. 38)

The goal of the community school is to provide an easily accessible facility containing education for both children and adults, health care, and other social services. It is the community agencies and schools that work collaboratively to decide what will be offered and for what cost to the community. School districts throughout the country have made an effort to incorporate the community school model.

In Alabama, the Birmingham School District has 18 community schools, funded by the City Council and the Board of Education (Melaville, 1998). The goal of these community schools is to provide life-long learning opportunities as well as to cooperate with community agencies such as the department of health, the city parks and recreation department, and local museums to provide health, education, cultural, and recreational

activities at accessible locations. This goal encompasses the mission of many organizations that collaborate with the schools.

Full-service schools benefit both schools and community agencies. From the perspective of the school, students and families have easier access to health care and other social services, which could have a positive impact on student attendance and academic achievement. From the perspective of the community agency, there may be an increase in the number of families taking advantage of their services because they are more convenient and easily accessible at the school site. The location of the service provider removes the transportation barrier many families face.

Much of the collaborative capability of schools is made possible by grants provided by the federal government. The U.S. Department of Education offers grants to State Education Agencies (SEAs) with eligibility requirements depending upon the purpose of the grant. These grants are not intended solely for low-income communities, but many provide funding to meet the health and human service needs of low-income, under-resourced areas. Some examples of grants include the 21st Century Community Learning Centers Grant (21st Century Community Learning Centers, 2009), Comprehensive School Reform Grant (Comprehensive School Reform Program, 2008), and Improving Literacy Through School Libraries Grant (Improving Literacy Through School Libraries Grant, 2009). Local Education Agencies (LEAs) take advantage of these grants and many others by applying for them at the state level. Many of these grants provide the funding necessary for a school to pursue collaboration with a community organization.

The Promise Neighborhoods Program

One of the most popular organizations in the community school movement is the Harlem Children's Zone (HCZ) in New York City, which was originally piloted in one block of Harlem in the 1990s. Today, HCZ is an expansive program that encompasses an area of approximately 100 blocks of Central Harlem. It includes a "Baby College" for parents of children ages zero to three and programming for students at all levels through college. Programming includes after-school tutoring, health and social services, and community building. An example of a health and social service provided is the HCZ asthma initiative. If a child is identified as missing school due to asthma, the family is connected to the HCZ asthma initiative. The child is provided a case manager who might, for example, go to the home of the child, bring a high efficiency particulate air (HEPA) vacuum cleaner, and educate the family on keeping a dust-free home (Abramson, 2010). It is comprehensive services like this that has helped bridge the gap for families living in the Zone.

HCZ has a pipeline of services that includes two pathways. One pathway of children goes through the HCZ Promise Academy charter schools, and on the other track HCZ supports the children in the public schools (Harlem Children's Zone, 2009). President Obama encouraged other communities throughout the United States to replicate the network of services provided by the HCZ. In order to meet this objective, the Obama administration established the Promise Neighborhoods Program, which is a grant program funded by the U.S. Department of Education.

The Promise Neighborhoods Program intends to provide "funding to support eligible entities, including 1) nonprofit organizations, which may include faith-based nonprofit organizations, and 2) institutions of higher education" (Promise Neighborhoods, 2010). The purpose of the program is to "significantly improve the educational and developmental outcomes of all children in our most distressed communities, including rural and tribal communities, and to transform those communities" (Promise Neighborhoods, 2010). One of the six strategies indicated in the Promise Neighborhoods program description is the building of a "continuum of academic programs and family and community supports, from the cradle through college to career, with a strong school or schools at the center" (Promise Neighborhoods, 2010). Another strategy described is the integration of programs and "breaking down agency 'silos' so that solutions are implemented effectively and efficiently across agencies" (Promise Neighborhoods, 2010). The Department of Education also indicates four core features that must be included in any Promise Neighborhood to effectively improve the outcomes for children. One of these core features is "a 'place-based' approach, which leverages investments by focusing resources in targeted places, drawing on the compounding effect of well-coordinated actions" (Promise Neighborhoods, 2010).

In 2010, ten million dollars were made available to communities that applied for Promise Neighborhood competitive grants. 943 organizations across the country expressed interest in applying (Abramson, 2010). The Obama administration funded 21 of these neighborhood groups and is seeking $210 million for fiscal year 2011 (Otterman, 2010).

Purpose of the Study

With the need and number of community/school collaborations increasing, educational researchers have begun to explore what collaborative frameworks and theories are most effective. The purpose of this study is to explore, through the lens of one specific framework, Melaville and Blank's (1991) Five Variables Shaping Interagency Partnerships (described in Chapter Two), how organizational leaders in a particular case developed and implemented a facilities partnership between a public school district and a nonprofit organization. The collaboration of study took place between a public school district and a YMCA in an urban, Midwestern city. The results of this study will add to the body of knowledge about effective frameworks for school collaboration, specifically as it relates to facility sharing, and are designed to answer the question, "What works in collaboration?"

The research questions to be explored are as follows:

1) Research Question 1: How did the social and political climate of the community influence the collaboration?
2) Research Question 2: Why were some communication and problem-solving processes considered priorities by people in leadership positions and were they agreed upon?
3) Research Question 3: What roles did individuals at various levels in each organization play in the collaboration?
4) Research Question 4: Which governing policies of the organization affected the development and implementation of the collaboration?

5) Research Question 5: Did the availability of resources impact the collaboration? If so, how?

The next chapter reviews the research literature on collaboration, especially as it pertains to public schools and the business sector. Theories of collaboration will be provided as well as details about the theoretical framework used in this study.

CHAPTER II: REVIEW OF THE LITERATURE

Introduction

This review of literature provides information about collaboration in the public, private, and nonprofit sectors. It focuses on collaboration from the perspective of public schools. An overview of what has been written about collaboration between the private sector and the public education sector is also provided. In addition, the review explores collaboration pursued between public schools and nonprofit organizations. Collaboration between public schools and YMCAs are detailed, as these two entities have begun to look toward one another in order to overcome funding obstacles related to resources, services, and facilities.

Definitions of the terms commonly found in collaboration literature are provided, as well as the definitions used throughout this study. Examples of various collaborations in the public, private, and nonprofit sectors are described. Collaboration theories found in the literature and the theoretical framework through which this study was analyzed are provided in this chapter as well. The benefits, factors of effective collaborations, and barriers to collaborations are also described. Following this, the relationship between public schools and the YMCA are explored. Finally, case studies in collaborations and related fields are examined.

Definitions of Terms

Throughout the collaboration literature in the business field, differing definitions are found for the same terms. For example, in the case of the term *collaboration*, some authors use a simple definition: “two or more individuals working toward a desired

outcome" (Hogue, 2007, p. 3), or "creating new value together" (Kanter, 1994, p. 97). Others define the same term with greater complexity. Gray (1989) defines the term as "a process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their limited vision of what is possible" (p. 5), and Davies and Hentschke (2006) define *collaboration* as "formal involvement with others with direction provided by an interorganizational governing group…with a possible co-mingling of funds" (p. 209). These differing definitions exist for other terms found throughout the literature as well (e.g. cooperation, joint venture, partnership). The term definitions change depending upon the purpose of the study and the author conducting the research. Table 1 provides examples of definitions in collaboration literature and how they vary depending upon the author.

Table 1

Definitions of Terms

Term	Definition
Alliance	Voluntary arrangements between firms involving exchange, sharing, or co-development of products, technologies, or services (Gulati, 1998, p. 293)
	Groups of organizations working together to solve issues of mutual concern based on the benefits of collective action. Such alliances can address problems and needs that are beyond the capability of individual organizations in a single sector (Wohlstetter, P., Malloy, C. L., Guilbert, H., and Smith, J., 2004a, p. 1079)
Collaboration	Formal involvement with others with direction provided by an interorganizational governing group…with possible co-mingling of funds (Davies and Hentschke, 2006, p. 209)
	A process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their limited vision of what is possible (Gray, 1989, p. 5)
	Two or more individuals working toward a desired outcome (Hogue, 2007, p. 3)
	Creating new value together (Kanter, 1994, p. 97)
Cooperation	Characterized by informal trade-offs and by attempts to establish reciprocity in the absence of rules (Mulford & Rogers, 1982)
	Whereby fully independent groups share information that supports each other's organizational outcomes (Peterson, 1991, p. 68)

Table 1. Continued

Coordination	Formal institutionalized relationships among existing networks of organizations (Mulford & Rogers, 1982)
	Whereby independent parties align activities or co-sponsor events or services that support mutually beneficial goals (Peterson, 1991, p.68)
Joint Venture	Collaborative alliances among several businesses that hope to gain a strategic advantage in world markets by pooling the distinctive competencies of each form (Gray, 1989, p. 190)
	An undertaking of two or more organizations for the accomplishment of a specific purpose (Arsenault, 1998, p. 35)
Partnership	A formal, legally recognized entity that defines how power will be shared, decisions made, and so on relative to a joint venture. Under the umbrella of joint venture (Arsenault, 1998, p. 36)
	A dynamic relationship among diverse actors, based on mutually agreed objectives, pursued through a shared understanding of the most rational division of labour based on the respective comparative advantages of each partner…encompasses mutual influence, with a careful balance between synergy and respective autonomy, which incorporates mutual respect, equal participation in decision making, mutual accountability and transparency (Brinkerhoff, 2002, p. 21)

The encompassing definition that will be used in this study is the definition of *collaboration* used by Gray (1989): "a process through which parties who see different aspects of a problem can constructively explore their differences and similarities, and search for solutions that go beyond their limited vision of what is possible" (p. 5).

Gray's definition was chosen for a few reasons. First, with the large variety of collaborations explored throughout this literature review and the study as a whole (e.g. collaborations between small businesses and public schools, school districts and large corporations, large corporations and other large corporations) a definition had to be applicable to a variety of settings and situations. A definition that was extremely detailed and specific would not allow for the application of some of the collaborations explored. For example, Brinkerhoff's (2002) definition is too limiting as it states collaborations are based on "mutually agreed objectives, pursued through a shared understanding of the most rational division of labour based on the respective comparative advantages of each partner…encompasses mutual influence, with a careful balance between synergy and respective autonomy, which incorporates mutual respect, equal participation in decision making, mutual accountability and transparency" (p. 21). While this definition might apply in many cases, not all collaborations explored in this study are expansive enough to necessitate discussion about a division of labor. Gray's definition was also chosen because it is not overly ambiguous. Kanter's (1994) definition, "creating new value together" (p. 97) could encompass so much that it is does not clearly state that the subject of research is organizational collaboration. In Kanter's definition collaboration could imply that the subject could be two individuals working on a small project. While that is an acceptable definition in some cases, in this study collaboration is meant to be used to describe two or more organizations working together. Finally, Gray's definition was chosen because it focuses on a problem. The focus of this study is on two organizations that were dealing with a specific problem (i.e. lack of funding to build or maintain a new

facility). This focus on a problem differentiates this definition from others as it implies the collaborative organizations are not merely looking to increase their profit, but to find a solution to some pre-existing condition.

Mission and Vision

The concepts of *mission* and *vision* are present throughout collaboration literature in addition to organizational literature in general. Many theories and frameworks described in the literature indicate the importance of mission alignment of collaborative entities.

While definitions may vary, *mission* can be defined as an organization's purpose or reason for being, as opposed to *vision*, which can be defined as a picture of what an organization wishes to create (Senge, 1985). Mission "defines a direction, not a destination. It tells the members of an organization why they are working together, how they intend to contribute to the world" (Senge, p. 59). A mission should be motivating, but it might not necessarily be accomplished. Vision is more focused on intended results and can both be intermediate or long term. A vision statement is outcome-based and ideally can be assessed.

When the idea of mission alignment is referenced in this study, it refers to the idea that for two organizations to have a successful collaboration, the respective missions of each organization must be compatible. For example, the pharmaceutical company Merck founded the Merck Institute of Science Education (MISE) in 1993. MISE collaborated with various public school districts to improve science education and science literacy among American youth (Williams, 1996). One public school district that collaborated

with MISE was the North Penn School District in Pennsylvania. In Table 2 the mission statements of each organization are provided.

Table 2

Mission Statement Comparison

Organization	Mission Statement
Merck and Co., Inc.	To provide society with superior products and services by developing innovations and solutions that improve the quality of life and satisfy customer needs, and to provide employees with meaningful work and advancement opportunities, and investors with a superior rate of return (Merck's Mission and Values, 2009).
North Penn School District	Working collaboratively, the North Penn School District will provide an effective, innovative, student-focused community of teaching and learning where students will: (a) become independent, adaptable, life-long learners who transfer understanding to new applications; (b) exhibit creative and critical thinking; (c) achieve at the proficient or greater level in all academic areas; (d) adapt to a changing technological world; and (e) transition from competent student to productive, responsible citizen of the global society (North Penn School District, 2008).

While initially it may seem these two statements are very different, an examination of each statement will find some complementary aspects and potential for alignment. Merck's mission statement describes quality of life and meaningful work; the

school district's mission describes working together, adapting to a technological world, and becoming competent, responsible citizens of the global society. While not identical, the complementarity of the two missions may be enough to provide the groundwork for a successful collaboration.

Collaborations in the Public, Private, and Nonprofit Sectors

Although this study will focus on facility-sharing collaborations between public schools and nonprofit organizations, it is important to view a snapshot of collaborations within the various sectors.

Schools are not the only entities to take advantage of collaboration. Public, private, and nonprofit entities choose to align to meet a variety of needs, often specific to a particular sector. Some studies found that while private businesses typically align to create value, social sector alliances are often created in response to a threat (Sagawa & Segal, 2000). For example, the cable television organization HBO was looking to create value by increasing its minority viewership while the nonprofit organization the United Negro College Fund (UNCF) was looking to decrease the threat of a loss of funding. To meet the respective needs of both organizations, HBO agreed to provide a donation to the UNCF for each new HBO subscriber, thus encouraging UNCF to promote the organization (Sagawa & Segal, 2000). Often, the motivation for nonprofit organizations to collaborate with private entities is the allure of greater financial resources (Austin, 2000; Sagawa & Segal, 2000; Smith & Wohlstetter, 2006; Eikenberry & Kluver, 2004). For example, City Year, a nonprofit dedicated to promoting community service among youth, collaborated with Timberland, a footwear and clothing company. As the

collaboration progressed over 10 years, Timberland became increasingly invested, eventually providing shoes and full uniforms for kids as well as technical assistance in the areas of finance, marketing, and human resources for the City Year enterprise (Austin, 2000).

Regardless of the allure financial resources might provide, nonprofits might choose to proceed cautiously in these ventures or choose not to pursue them at all. Those that avoid these collaborations often do so because of cultural differences between the for-profit and nonprofit organizations that are often difficult to overcome. Some of these cultural differences include a perception of opposing institutional goals and the desire for immediate short-term results by the for-profit sector. This desire for short-term results is sometimes antithetical to the long-term missions of nonprofits. An example of a nonprofit choosing to forgo collaborations is the Environmental Defense Fund (EDF) and its past adversarial stance toward government and business. The EDF chose not to collaborate with any such entity because EDF believed government and business had a negative impact on the environment which defeated the purpose of EDF. However, EDF eventually revised its stance, believing that collaborating could help it to reach its goals and has now partnered with both the government and business (Gutfeld, 1992). In 1990, EDF collaborated with the Bush administration in an effort to reduce acid rain and with McDonald's to abandon its clam shell sandwich containers by finding sandwich packaging alternatives (Milne, 1996). While these were examples of collaboration between private companies and nonprofits, private organizations are not the only entities that collaborate with nonprofits.

The government has a history of collaborations with nonprofits. In areas where nonprofits exist, such as research, health, social services, arts and humanities, approximately one third of federal spending goes to nonprofit organizations (Salamon, 1990). While government-nonprofit collaborations come predominantly in the form of government financial support, both the nonprofits and the government reap the benefits. The government is able to "attain its objectives without adding to the size of its bureaucracy, while the nonprofit receives added funding while meeting its objectives of addressing community problems" (Milne, Iyer, & Gooding-Williams, 1996, p. 206). There are, however, some factors that dissuade organizations to choose to collaborate with the government. Milne, et al. (1996) found nonprofits might avoid aligning with the government due to excessive amounts of paperwork and the amount of time it takes to reach desired objectives. Due to these factors, nonprofits might forgo collaboration with the government and choose an alternative route.

One such route for a nonprofit would be the choice of collaborating with another nonprofit. Not only might collaboration with another nonprofit be advantageous to meeting an organization's mission, it might be necessary for survival. LaPiana (1994) states "no nonprofit organization can long survive and succeed in advancing its mission while living independent of other nonprofits." Nonprofit-nonprofit alliances have been found to be particularly effective for the purposes of fundraising and political lobbying. This has been shown to be especially true among nonprofit environmental organizations (Milne, 1996).

Whichever form of collaboration an organization might choose, the necessity to collaborate, particularly among public and nonprofit organizations, has increased due to an increased scarcity of federal and other funding (Eikenberry & Kluver, 2004).

Theories of Collaboration

There are five major theories of collaboration through which organizational relationships can generally be described: transaction cost theory, resource-based theory, resource dependence theory, efficiency theory, and exchange theory. These theories are found primarily in the literature of economics and management. It is important to have an understanding of these various theories because they provide a perspective through which collaborative ventures are viewed. These theories provide insight into the motivations various organizations might have for choosing to collaborate.

Transaction Cost Theory

The primary focus of transaction cost theory is the awareness of all costs incurred in a particular transaction. The theory focuses on the reduction of these costs between organizations through efficient management techniques. Transaction cost theory is a strategy used to keep business costs at a minimum. Williamson (1981) compares transaction cost to the friction produced by a machine.

> In mechanical systems we look for frictions: do the gears mesh, are the parts lubricated, is there needless slippage or other loss of energy? The economic counterpart of friction is transaction cost: do the parties to the exchange operate harmoniously, or are there frequent misunderstandings and conflict that lead to delays, breakdowns, and other malfunctions? (Williamson, 1981, p. 552)

Transaction cost theory indicates the primary unit of business is the transaction, and in order for an organization to run efficiently, the cost of each transaction must be closely

analyzed and “friction” must be minimized. For example, in a situation in which one organization shares gym space with another organization, the two entities would need to be sure communication channels are clear. If not, the gym could become scheduled by both organizations at the same time, creating great difficulties. Another result of a lack of communication in this situation is the wasted energy used by individuals hoping to use the gym. If the scheduling individual is unclear about the correct channels of communicating, that person will end up wasting time and energy that could be used toward another project or activity. These are both examples of a negative transaction cost that create “friction” between collaborative organizations.

Resource-Based Theory

Resource heterogeneity forms the basis of resource-based theory. The theory is built upon the following questions: What resource does one organization have that others do not and how can the organization use that resource to create a competitive advantage? In collaboration, a competitive advantage is created among firms when they efficiently manage shared resources. The theory focuses on an organization’s analysis of its resources and the utilization of its resources to their maximum potential. Resource-based theory exists for the purpose of creating growth and sustainability (Milne, 1998). An example of this is the relationship between an entrepreneur and an expert in a specialized area (e.g. technology). An entrepreneur may not have the technical expertise to create a profit, but can organize specialized knowledge and recognize its value, while the technical expert may not recognize his/her own talent or know how to turn it into profit.

However, the two individuals can collaborate and utilize the strengths of one another, thus creating new value (Alvarez & Busenitz, 2001).

Resource Dependence Theory

Resource dependence theory indicates that organizations collaborate in order to reduce the threat of environmental uncertainty (Weiss, 1987; Lowndes & Skelcher, 1998; Arsenault, 1998). This theory is applied when an organization is functioning in a volatile economic environment and is looking to reduce the threat of reductions in funding and/or other resources. If an organization doubts that it can maintain success on its own, it might look toward another organization to assist in the accomplishment of its mission (Arsenault, 1998). Resource dependence theory does not address internal organizational challenges; rather, it is a theoretical solution to external challenges. This may play out, for example, if a small organization that is struggling financially to maintain human resource services, specifically as it relates to the hiring and training of employees, decides to collaborate with another organization that has a fully functioning human resource department and share the cost with them. Another example may exist in the nonprofit sector when, in a time of economic uncertainty, a nonprofit organization encounters challenges maintaining charitable donations. State and federal grants to nonprofits, which also become more competitive during challenging economic times, are often contingent upon the number and quality of the partnerships the nonprofit pursues. For this purpose, the nonprofit might seek out new partnerships with other organizations in the public, private, or nonprofit sector in order to win grants that will help the organization sustain its services.

Efficiency Theory

In the field of economics, efficiency theory describes collaboration as an organizational process that creates value through the sharing of similar resources in order to produce cost savings (Austin, 2000b). This theory is applied more often in same-sector collaborations than in cross-sectoral collaborations because resources are more likely to be similar within similar sectors. For example, efficiency theory is put into practice when private businesses choose to collaborate in order to share research and development costs. An example of the application of this theory is the collaboration of facilities by different organizations for the purpose of sharing capital resources and utilities. In such a collaboration, the organizations might not share the same mission or services. The collaboration exists solely for the purpose of gaining a financial advantage.

In Wilmington, Delaware, 25 nonprofits moved into a newly renovated office building in the downtown area (Dyson, 1998). This 22 million dollar project allowed participating nonprofits to eliminate duplication of services and encourage future collaboration. In this particular case, one of the participating organizations donated a building for office space and another building as a parking facility. The resources shared included maintenance, utilities and services, board and conference rooms, a copy center, and bulk purchasing. These shared resources allowed for decreased costs for all participating organizations.

When organizations share facilities and other capital resources, they decrease costs, which provides them with more funds to focus in other areas. The organizations are also able to collaborate with other agencies while retaining complete autonomy. They

avoid compromising their respective missions by having to comply with the needs of stakeholders from other organizations. In the case of the partnership in Delaware, the alignment of mission, strategy, and values was not as important because the participating organizations did not intend to collaborate on a particular project. Rather, they intended only to share a facility and related facility costs.

Exchange Theory

Similar to other collaboration theories, in exchange theory, two or more organizations voluntarily collaborate with one another in the exchange of services and/or facilities deemed mutually beneficial. While the organizations involved in these collaborations both might play an equal role, their purpose for collaborating and individual benefits from the collaboration may vary (Weiss, 1987). Exchange theory differs from efficiency theory in its quid pro quo purpose. As a very basic example, *efficiency theory* in practice can be described as two organizations sharing the same building and splitting the cost, while *exchange theory* can be described as one organization paying the rent on a building while the other organization provides a service of equal value to the other organization (e.g. utilization of the marketing expertise of the participating organization). Another difference between the two theories is that while both organizations might play an equal role in the collaboration, the benefit from the participating agencies may vary. In the practice of exchange theory, a public school might collaborate with another organization for the purpose of creating cost savings, however, the other organization might be choosing to collaborate for a different reason (e.g. increasing business visibility). Schools also engage in collaborations for such

purposes as tapping into the knowledge of the staff of the collaborating organization in their area of expertise (e.g. marketing, engineering, or science) or increasing parental involvement at school by building the school near or even at the worksite of the parent.

While different collaborations might utilize parts of all theories to different degrees, school districts are increasingly envisioning the future of education through the lens of efficiency or exchange. Administrators are becoming more creative in finding ways to meet the challenges of smaller schools, diminishing resources, and financial scarcity. Whether schools choose to collaborate for purposes of efficiency or exchange, collaboration continues to increase in schools throughout the country (Gootman, 2008).

Frameworks for Collaboration

Throughout the literature there are many frameworks and formulas for creating successful collaborations. A few of those frameworks will now be examined in addition to the framework that will be used in this study.

Tuckman's (1965) collaborative model (Figure 3) proposes four encompassing steps to most effectively create and maintain a collaboration. *Form* deals with the initial decision to collaborate and the writing of a vision or mission for the collaboration. *Storm* describes the creation of roles within the collaboration. This is also when strategies are outlined. When organizational roles and a plan have been created, participating agencies move into the third stage: *norm.* It is in this stage that the processes and procedures are decided upon for the purpose of accomplishing the goals of the collaboration.

The final step, *perform*, is the action step after the mission and strategies have been outlined. It is in this step that the plan is implemented.

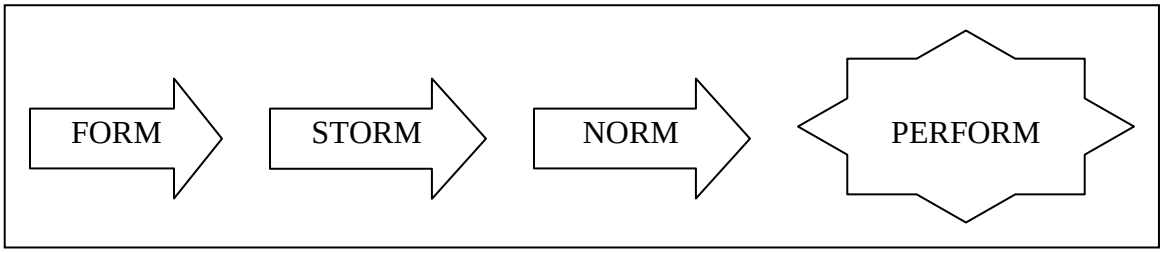

Figure 3: Tuckman's Four Steps to Collaboration Development

Kanter (1994) describes five phases to the creation of successful alliances. These phases are closely aligned to Tuckman's. Kanter compares these phases to the phases of courtship between two people.

> In the first (phase) – courtship – two companies meet, are attracted, and discover their compatibility [form]. During the second – engagement – they draw up plans and close the deal [storm]. In phase three, the newly partnered companies, like couples setting up housekeeping, discover they have different ideas about how the business should operate [norm]. In phase four, the partners devise mechanisms for bridging those differences and develop techniques for getting along [norm]. And in phase five, as old-marrieds, each company discovers that it has changed internally as a result of its accommodation to the ongoing collaboration [perform]. (p. 99; brackets added)

Other collaborative frameworks, created later, are very similar but include more details in specific areas. Berliner (1997) indicates seven steps to a successful educational partnership:

1. Identify a shared concern about a real problem.
2. Find the right mix of participants.

3. Develop an appropriate organizational structure.
4. Specify the roles and responsibilities of leaders and participants.
5. Carry out the partnerships activities.
6. Evaluate the partnership's structure and activities.
7. Confront problems and use them as opportunities to build relationships among partners. (p. 2)

In the above steps, Berliner (1997) includes two steps (six and seven) that do not fit Tuckman's original four-step model. Bailey & Koney (2000) include a fifth step in the partnership development model that encompasses Berliner's steps six and seven: transform. Transform is the evaluative step. Tuckman's model, revised with Bailey and Koney's fifth step is shown below.

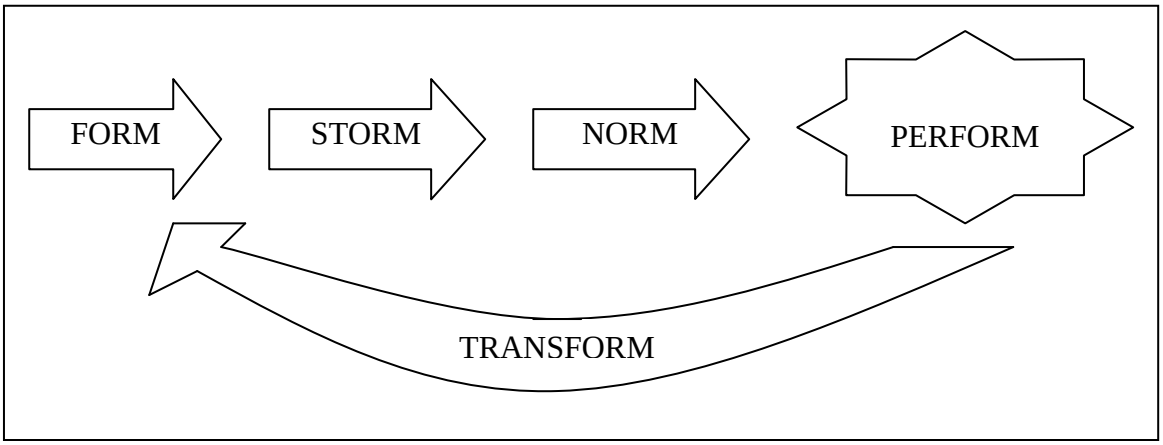

Figure 4: The Five Steps to Collaboration Development and Sustainability

The Five Variables Shaping Interagency Partnerships

Outside the specific fields of economics and management, an important theoretical framework found in collaboration literature, the Five Variables Shaping Interagency Partnerships, is described by Melaville and Blank (1991).

In this model, the social and political climate is the first of five factors that strongly influence collaborations. If a community is struggling with a particular issue and the majority of community members are open to finding solutions to common problems, a collaboration is more likely to succeed. Local politicians play a part in this as well as leaders of the community.

The second factor indicated by Melaville and Blank (1991) that leads to collaborative success is the processes established by the participating organizations. Some of these processes include the communication and problem-solving processes used to establish collaborative goals, the roles established between the organizations, how decisions are made, and how conflicts are resolved.

The leaders and participants within the organizations who work together in the implementation of the collaboration make up the third factor. Leadership is highly important to the success of the collaboration.

The fourth factor that must be in place in an interorganizational relationship is the policies of each individual organization that allow for flexibility within the collaboration (e.g. the rules and regulations at the federal, state, and local level, as well as the budgets). Organizations that are burdened by strict policies and regulations within their organizations are less likely to collaborate successfully.

The final factor in Melaville and Blank's (1991) framework necessary for a successful collaboration is the availability of resources within the collaborative entities. Organizations must be willing to share staff, services, and funds.

Of the various factors described above, throughout the literature on collaborative frameworks, and within the models, there are a few variables present throughout. These overarching themes, exemplified in the research of Melaville and Blank (1991) and summarized in Table 3, provide the framework used throughout this study.

Melaville and Blank's (1991) framework was chosen for this study because the five variables are general enough that they allow for concepts to be explored without being inhibited by stringent guidelines. At the same time, the five variables provide a framework that is not overly ambiguous, leading to a lack of direction or focus within the study. For example, Tuckman's (1965) model provides four steps that are so general, applicable in cases of small group partnerships up to collaborations between large institutions, it could lead to a lack of focus within this study and would not draw out the emphasis on collaboration from the standpoint of educational leaders. The other end of the spectrum is Berliner's (1997) seven steps. This model was avoided because it was created specifically for educational partnerships. The researcher did not choose this model in fear that the specificity was too exclusive and would inhibit the results since one of the organizations involved in the case was not an education agency.

Table 3

Five Variables Shaping Interagency Partnerships

Variable	Description
Climate	The social and political climate in a neighborhood or community
Process	Communication and problem-solving processes participants use to establish goals and objectives, agree on roles, make decisions, and resolve conflicts
People	The vision, commitment, and competence of the people who lead, participate in, and eventually implement the activities of the collaboration
Policies	The governing policies that each organization brings to the table
Resources	The resource availability that determines the permanence and size of the population that will eventually benefit from the collaboration

The Benefits of Collaboration

A major function of collaboration is symbiosis. Symbiosis describes a mutually beneficial relationship between two or more unlike entities. Typically symbiosis describes a relationship between two organisms, but the term can be applied to organizations as well. Collaborative organizations might achieve a specific goal, but the goal might be different for each. For example, Georgia-Pacific (G-P), a manufacturer of paper, packaging, builproducts and related chemicals, collaborated with The Nature Conservancy (TNC), an international conservation organization. G-P believed this collaboration would enhance its credibility with government regulators and TNC enjoyed the benefits of enhanced visibility and the building of a viable reputation (Austin, 2000). The collaboration between G-P and TNC is an example of a symbiotic relationship that allowed both organizations to gain in different ways.

Organizations often choose to work together to attain common objectives and to fulfill their respective missions. These collaborations come in the form of sharing capital, expertise, time, facilities and technology in order to conduct business with fewer staff and less overhead costs (Weiss, 1987). Collaboration also provides an opportunity for organizations to utilize specialized talent that might not be found within one organization. An example of this is a school district that collaborates with a local university and other organizations to offer school-to-work training at the university where there are more materials, resources, and greater expertise among staff in the collaborating organizations. This is an example of a coalition partnership. A coalition partnership is one that brings together various organizations with similar interests such as the school

district, business leaders, employment programs, and local colleges. In such a case, all groups are interested in a higher quality work force and are willing to work together toward the accomplishment of that goal (Berliner, 1997).

Kanter (1994) states companies must sustain collaboration in order to stay competitive, particularly in the new global economy where competitors are increasing throughout the world and new markets can only be tapped through some level of collaboration with other organizations. It has also been stated that partnering is a strategy necessitated by the need to address the complexity, nature, and scale of public service (Brinkerhoff, 2002). Partnering with organizations with a slightly different focus allows a problem to be addressed at different angles, rather than a single organization focusing on one aspect of an issue while neglecting others that are equally important. For example, the non-governmental organization, International Medical Services for Heath (INMED), exists to empower communities to improve their health and quality of life. To achieve their mission, INMED collaborates with other entities that have access to resources INMED does not. In Brazil, INMED has the cooperation of the ministry of education to work with children in schools to treat parasitic infections as well as in local hospitals and government offices. Improving children's health is a complex goal that necessitates the help of other organizations. Collaboration allows for INMED to work toward achieving its mission.

In addition to the benefits of collaboration just described, Kogut (1988) describes three other factors that encourage businesses to engage in joint ventures:

> Transaction costs resulting from small numbers bargaining, strategic behavior that leads firms to try to enhance their competitive positioning or market power, and a

> quest for organizational knowledge or learning that results when one or both partners want to acquire some critical knowledge from the other or one partner wants to maintain its capability while seeking another firm's knowledge. (p. 298)

In other words, organizations choose to collaborate in order to reduce costs through bargaining, increase market power/position, and/or increase or exchange organizational knowledge.

Stainback and Donahue (2005) present the idea of collaboration as a solution to schools' financial challenges. With the school-age population rising, causing an increased demand for resources at schools, it is necessary for public entities to collaborate with private entities in order to maintain a quality education for students. Accessing technology that exists in the workplace also necessitates the demand for public entities to collaborate with private entities. Stainback and Donahue (2005) write that "there are insufficient public funds available to meet the burden of improving facilities and there is little tolerance for increasing the available funds through traditional means" (p. 292).

Table 4 provides a brief description of the benefits of collaboration as provided by various authors throughout the literature.

Table 4

Comparison of Reasons Organizations Collaborate

Collaboration Theorist	Purpose of Collaboration
Austin, 2000	Fill the services gap between what a community needs and what the government can provide. Utilize economies of scale to meet financial goals. Remain competitive.
Berliner, 1997	Utilize specialized talent. For example, if an organization wishes to better market itself, it might choose to collaborate with an organization with a stronger marketing reputation in exchange for a different service or resource in which it specializes.
Brinkerhoff, 2002	Address the complexity, nature, and scale of public service.
Epstein, 1995	Help children succeed in school and in later life.
Gray, 1989	Analyze and address problems from all angles as exemplified by the case of INMED and its desire to improve health by collaborating with the government, local hospitals, and schools.
Kanter, 1994	Tap new markets to remain competitive.
Kogut, 1988	Reduce costs, enhance competitive position, enhance market power, and gain knowledge.
Stainback and Donahue, 2005	To meet the need of improving school facilities with little public tolerance for increasing the available funds through traditional means.
Weiss, 1987	Share capital, expertise, time, facilities and technology. Conduct business with fewer staff and less overhead costs.

Schools and other organizations not only choose to collaborate for financial purposes, but also to enhance the value of their school community through student/family events. Epstein (1995) states,

> There are many reasons for developing school, family, and community partnerships. They can improve school programs and school climate, provide family services and support, increase parents' skills and leadership, connect families with others in the school and in the community, and help teachers with their work. (p. 701)

Sanders and Harvey (2002) conducted a study of an urban elementary school that developed many strong connections with community organizations for the purpose of helping to increase the academic outcomes of the students. This school developed partnerships with local businesses, universities, health care organizations, faith organizations, senior citizen organizations, and individual community volunteers. The collaborative events took the form of health awareness events, after-school programming, a reading rewards program, tutoring, and an arts and crafts day, among other programs. This type of public school collaboration is an example of a community school (as described in Chapter One).

Drivers of Collaboration

While the desire to utilize the resources or specialized talent of another organization is an example of an internal motivator of collaboration, there are also external forces that drive organizations toward collaboration. Austin (2000) writes that there are three forces propelling collaborations into fruition: political, economic, and social. Lack of trust in the federal government to solve social problems has led to an increase in pressure on nonprofits and other social organizations to fill the services gap

between what a community needs and what the government can provide. This is the political force that has led to a greater demand for organizations to share resources and collaborate in order to address social problems. The driving economic force is the continued demand for collaboration due to the increasing lack of government funding. This lack of federal support drives collaboration in order to meet their needs by increasing economies of scale. The third force propelling collaboration is the social force. The social force is the increasing environmental complexity and the necessity to collaborate in order to overcome this complexity. Without collaboration and the sharing of resources, services, and personnel, it is becoming increasingly difficult for an individual organization to survive. Therefore, these external political, economic, and social forces drive collaborative opportunities for organizations.

What Makes Collaborations Effective?

Complementary missions are an important component of collaborative success. If the purposes of two or more organizations are closely aligned, then there is a greater chance the collaboration will be effective (Melaville & Blank, 1991). The respective visions of the organizations must energize the stakeholders. Without a vision that promotes action and a continually evolving understanding between the collaborative entities of how the efforts of the stakeholders will further that vision, the collaboration will not be successful (Kronley & Handley, 2003). Once mission, vision, and values are aligned, other variables that can determine the success or failure of a collaboration include: a large, difficult, but solvable problem; creative thinking; aligned incentives; willingness to advertise and pursue potential collaborative partners (tendering process);

and the ability to attract and then negotiate with prospective partners (Davies & Hentschke, 2006).

Once a partnership has been built, it is necessary to ensure that structures are in place to sustain the collaboration. Kanter (1994) provides eight principles necessary for successful organizational collaborations in any sector. She refers to these principles as the "Eight I's That Create Successful We's".

1. *Individual Excellence*. Both organizations within a collaboration are strong and are seeking positive ways to improve their organization. This is in opposition to the idea that an organization seeks to collaborate to disguise a weakness.
2. *Importance.* The collaboration is important to each organization and fits into the respective mission/vision statements of each organization. The collaboration is a means to an end as laid out in a strategic plan.
3. *Interdependence.* This principle is similar to the first. The principle of interdependence indicates that the collaborating organizations do not need to collaborate in order to survive. Instead, they choose to collaborate because they recognize they can create a greater value for their respective organizations if they work together.
4. *Investment.* Both partners have a stake in the collaboration and take ownership over the success of the collaboration. To display their commitment and willingness to invest, each organization contributes finances, resources, and/or knowledge to the collaboration.

5. *Information.* Partners are willing to communicate openly. They share information necessary to the success of the collaboration and are clear about the individual goals and objectives to be reached through the collaboration.
6. *Integration.* Organizations in the collaborative venture develop linkages and strategies to ensure that they can operate successfully. This will vary by organization. Connections are made between many people at various levels of the participating organizations.
7. *Institutionalization.* The relationship becomes formalized as various systems and processes are put in place. This allows for greater sustainability in the collaboration and does not allow for the partnership to end capriciously.
8. *Integrity.* The participating organizations treat each other honorably, with trust and respect. The information shared during the communication process is not abused for the individual gain of one organization at the demise of the other.

Many of the above factors necessitate a strong relationship between organizations. The presence of this relationship creates the foundation for which collaborations are built and drives the alliance to success. These relationships are not just important at the executive level of leadership, but throughout the entire organization (Melaville & Blank, 1991). "Individuals," Austin (2000) writes, "are the architects, builders, and sustainers of organizational partnerships" (p. 159). These relationships are the true foundation and strength of the collaborations. It is not the system in place that creates an effective collaboration, but the interpersonal, interorganizational connections that propel collaborations to success (Kanter, 1994).

Other important aspects of collaboration are trust and control (Das & Teng, 1998; Kronley & Handley, 2003; Ring & Van de Ven, 1994). Control, in collaboration literature, is the policies and procedures in place between collaborative organizations that ensure the attainment of goals becomes more predictable. In collaborative relationships, control ensures environmental factors do not produce a negative effect on the success of collaborative goals. The concept of trust can be defined from a narrow or broad perspective. A narrow definition of trust can be the assessment of goodwill and reliability as perceived by one organization over another (Ring & Van de Ven, 1994). More broadly, trust is the predictability that an organization will follow through with proposed actions and act reliably. Trust and control drive collaborations because they increase the likelihood that organizations will be able to predict the outcome of particular goals. This also makes the entity more likely to take risks with the assurance that each organization will work toward the success of particular objectives.

Finally, for a collaboration to be effective, the leadership of both organizations must be willing participants. Both parties should believe that the gains of the collaboration will outweigh what each individual organization will need to give (Davies & Hentschke, 2006). Often what is gained goes beyond a bottom line cost savings; for instance, an organization could gain a solution to a problem that could not be solved independently. Collaboration provides an opportunity to solve future problems creatively. Entering into a collaboration is not only a solution to an immediate problem, but potentially results in an evolving relationship that could help to meet the needs of the participating organizations in the future (Kanter, 1994).

Barriers to Collaboration in Education

Despite the many benefits to collaboration, organizations often choose not to utilize collaboration as a strategy. This section will explore why organizations forgo the collaborative strategy and provide examples of some of the barriers to collaboration in both the public and private sectors, especially as it relates to education.

One reason organizations avoid collaborative ventures is the complexity of the collaborative process. Entities that pursue collaboration may encounter the following challenges: lack of funding and skill in creating new financial resources, resistance from key community sectors, lack of trust from organizations, personality conflicts within organizations, lack of respect and understanding between organizational leaders and other staff members, difficulties in gaining an appropriate cross section of partners, challenges in maintaining open communication, and the lack of a skilled collaboration facilitator (Hogue, 2007).

A common theme in the above challenges is relationships. Trust, personality conflicts, respect, and communication are all related to relationships or a lack thereof. Relationships are an integral component to interorganizational collaboration and the lack of relationships creates a nearly insurmountable obstacle.

In addition to the factors mentioned above, Gulati (1998) provides a list of barriers organizations may face when working toward successful collaborations. These include the following: a lack of flexibility in management of the alliance, absence of a system for constructive conflict management, and a confusion of partner expectations. Relationships play a role in these factors as well, particularly the latter two.

Organizations might also choose to avoid collaboration because engaging in a collaboration may prompt a drastic change from the past organizational culture of complete autonomy. With change comes uncertainty and insecurity of expected consequences. Also, individuals might avoid collaboration because they have an investment in the status quo or they disagree with the proposed changes (Gray, 1989). Furthermore, the decision to avoid collaboration may stem from the possibility that doing so will conflict with an organization's mission.

This lack of alignment among the missions of potential collaborators could become an obstacle to success. Gray (1989) notes the challenges of private sector collaborations with public schools. "For programs like these the predominant motivation is to ensure the availability of a qualified work force and to reduce the negative costs to society of large numbers of unemployed" (p. 187-188). While on the surface it may appear that a particular business is engaging in collaboration for purely charitable purposes, the truth is that the business gains an advantage as well. For example, a car dealership in a community could provide a pair of new shoes to all students at a particular public school near the dealership. While this may be an act of charity for the students at the school, it also advertises the car dealership to the families of the students. Signs of thanks could be posted around the school and in the school newsletter. When one of these families eventually purchases a car from the dealership, the act of charity becomes a profit-making business strategy. While this might not be a negative strategy, these situations should be monitored to avoid unethical advertising or decision making.

Another barrier to collaboration, from the negotiating standpoint, is the historical relationship of the collaborative organizations. If organizations have had a history of political maneuvering and have acted negatively toward one another in the past (prior broken relationship), there will be a resistance to any kind of collaboration due to the lack of trust (Gray, 1989). For example, if a school district collaborates with a city in the building of a facility and later the school district feels it was misled by city officials in regard to which organization would pay for a certain aspect of the project, it will create difficulty for future collaboration between the two entities.

Power disparities could also discourage collaboration. If an organization believes that choosing to collaborate will lead to a decrease in their perceived decision-making power and autonomy, they will choose another option. Similar to the idea of loss of power, an organization might avoid collaborating in order to continue to operate within the mindset of individualism. Within this mindset is the thought that negotiating is a sign of weakness (Gray, 1989). For example, a private organization might choose to forgo collaboration with a public school district or nonprofit organization as major decisions and policy often have to first be reviewed by a school board or board of directors. This potentially slows projects down—a reality that a private business may not be accustomed to. While the collaboration between a private entity and a school district may serve as a benefit for the private organization, the requirement of having to deal with a board in the decision making process may dissuade the private organization from choosing to collaborate.

Weiss (1987) surveyed 67 local school officials regarding why they do and do not choose to collaborate with other entities within the field of education. Weiss interviewed these officials without providing specific choices with which to answer; instead the interview was conducted and data were collected in regards to how many times interviewees mentioned specific reasons for not collaborating. Of the officials interviewed, 54 percent mentioned they chose not to collaborate because it would not solve the problems facing them and 25 percent mentioned they would rather solve the problem themselves. The third most popular response to why they chose not to collaborate is because it was inconvenient or disruptive (p. 101).

Collaborations Between YMCAs and Public Schools

This is a study of a collaboration between a YMCA and a public school district in the Midwest. This section provides information on the YMCA organization and a brief history of YMCA collaborations with schools.

The YMCA is a 501(c)(3) charitable nonprofit organization that exists in 124 countries around the world. There are currently 2,686 YMCAs in the United States with almost 21 million members (Welcome to the YMCA, 2008). The mission of the organization is to "put Christian principles into practice through programs that build healthy spirit, mind and body for all" (Welcome to the YMCA, 2008). Although all YMCA facilities differ, the typical facility consists of a gymnasium, swimming pool, and some kind of exercise or multi-purpose room. The organization invites anyone interested in taking advantages of their programs to do so. Since not all families have the financial resources to pay the full price for YMCA services, this invitation creates the necessity to

provide financial assistance to families in need. Each year 1.6 billion dollars are needed to provide this assistance. Just as facilities differ by individual YMCA, so, too, do revenue sources (Welcome to the YMCA, 2008). However, approximately 80 percent of funding typically comes from memberships, services, and programs such as camps and childcare. The remaining 20 percent is typically fulfilled by way of fundraising. To fulfill its mission, the YMCA must find creative ways to reduce costs in other areas in order to provide services to all individuals and families who are interested.

Collaboration is one strategy the YMCA has implemented to achieve its mission. The YMCA of the U.S.A. represents one of the largest collaborative organizations in the country. These collaborations take place between schools, colleges, churches, government agencies, and hospitals, among many other entities (Welcome to the YMCA, 2008).

Sometimes leadership at a particular YMCA may choose to collaborate with other YMCAs to fulfill its mission. One such collaboration took place in Michigan between the YMCAs of Metropolitan Detroit, Macomb County, and North Oakland County (Dyson, 1998). The purpose of the collaboration from the perspective of the YMCA of North Oakland County was to find resources to build its own facility, a challenge they could not overcome individually. Due to the collaboration, the Oakland YMCA was able to tap into the funding sources of the other organizations to find adequate funding to complete its project.

In other collaborative ventures utilizing exchange theory, the YMCA will exchange the use of one facility for the use of another. An example of this is the

Learning Village in the Stafford School District of Virginia. In this district, a new elementary school and high school were needed, but there were not sufficient funds to construct the facilities. To offset the costs, the district collaborated with the YMCA, the county, the regional library, and a nearby college. The result was a multi-organizational collaboration that included the sharing of the YMCA pool by the school district, and the sharing of the districts athletic fields by the YMCA (Stainback & Donahue, 2005). In this collaboration the school district saved money by not having to build a new swimming pool. Instead, they were able to exchange the use of their athletic fields to the YMCA for the use of the YMCA swimming pool.

As of 2009, a similar collaboration was planned in Dayton, Ohio, between the YMCA of Greene County and the Xenia City Schools. The partnership, which also included other local organizations, was named *Under One Roof*. The plan was to build a facility that housed a school, YMCA, and a wide array of other social service agencies. Many collaborative ideas were generated from the partnership. One benefit for the school district was the smooth transition between the school day and after-school programs for students who were in YMCA programs. In November of 2008, a tax issue was approved by the Xenia community allowing project implementation to begin (Under One Roof, 2009). The proposed facility included a YMCA, medical facility, library, senior center, and community college classrooms. The district planned to save money by not duplicating construction, operating, maintenance, landscaping, and other utility costs. Instead, many of these costs would be shared among collaborating agencies (Ohio Y, Schools, 2007).

YMCAs and public schools often choose to collaborate because their facilities are often similar. However, facilities are not the only area in which public schools and YMCAs are similar. Both face similar economic challenges. Schools face budget cuts partly due to their inability to meet increasingly stringent academic goals. The YMCA must find strategies to reduce cost in order to maintain their goal of providing services to the population they serve. In order for the mission of each organization to be fulfilled, the necessity for resources must be met. YMCAs and schools have begun to look to one another to find solutions to their problems.

Case Study Research in Collaboration and Related Fields

While much has been written on the subject of collaboration, few case studies have been conducted. In order to complete this review of the literature, the field had to be expanded to include not only case studies in collaboration, but in other areas as well. Some of the research that will be described in this section includes case studies in collaboration, leadership, educational leadership, and education.

One case study, conducted by Usher (2010), examined the impact of antecedent factors on the success of the implementation of Enterprise Resource Planning (ERP). ERP is a computer-based system that manages human and financial resources as well as other financial data and assets. The purpose of the system is to facilitate the smooth flow of information throughout all functions of an organization in addition to managing the connections to external stakeholders. The three antecedent factors of study were information technology governance, interorganizational collaborations, and interorganizational learning. The study compared differences and similarities of the

impact of these factors between multiple organizations that had recently implemented or upgraded their ERP systems. Through in-depth interviews with organizational leaders, the study found that the period of stabilization that follows implementation cannot be eliminated, but can be shortened if the organization has formal processes, structures, and mechanisms in place to manage the changes involved in implementation (Usher, 2010).

While Usher's study explored the impact interorganizational collaboration had on the success of another project (i.e. ERP implementation), other research focused on collaboration not as an antecedent, but as the end product. Neal (2010) conducted a study that described antecedent factors necessary for a successful partnership. In her study on public-private partnerships, she found partnership success is contingent upon factors such as the availability of resources, the organizational environment, partner characteristics, the relationships between partners, and characteristics of the partnership organization. Several of these factors align with Melaville and Blank's Five Variables Shaping Interagency Partnerships (1991), most obviously resources, but also culture, and people.

In the area of leadership, Ault (2009) examined leadership characteristics and their perceived importance to teacher leaders. Through self survey and focus group interviews, this study found four characteristics that were deemed important to strong leadership: consideration (in regard to building relationships), tolerance and freedom (sharing leadership and decision making), initiative and structure, and demand reconciliation (dealing with conflicting demands). Similar to Neal's (2010) study, these findings affirm some of the variables of Melaville and Blank's (1991) framework,

specifically that in successful collaboration, relationships and people are as important as the policies and processes that are in place.

In the area of educational leadership, Blanco (2009) conducted a study that was intended to measure the key reform strategies chosen by the superintendent of a large urban district. The study intended to produce data that show a relationship between the superintendent's chosen reform strategies and the effect those strategies had on student achievement. The study found that strategic planning, building capacity, common vision, a theory of action and a focus on data-driven results lead to improved student achievement. In addition to these findings, the study also found that job preparation, leadership skills and the district's strengths and challenges significantly influenced the choice of the reform strategies selected by the superintendent.

Spencer (2009) also utilized the case study model to explore educational leadership. Spencer's research explored the leadership of a principal of a school with 26.7 percent male teachers. With male elementary teachers making up only 9 percent of the United States teaching population, Spencer's study explored what the principal of this school has done to create a school staff population that far outweighs the average in terms of the gender of the teachers. The study found that a welcoming environment created by the principal facilitated an initial increase in male teachers at the school. Once more males began working at the school, other males were more inclined to accept a position because of the high population of male teachers.

While several of the studies just described focus on the impact the leader of a district or school had on a given output, other studies focus on topics of education not

necessarily through the eyes of school leaders. Doll (2009) conducted a case study of an elementary school that has been successful in closing the achievement gap. The study found that individual and team planning time for the purpose of designing effective lessons and collaborating on pacing guides contributed to improvement. The study also concluded that schools benefit from a school-wide instructional focus that incorporates a common theme. These strategies made a positive impact on academic achievement, particularly as it relates to students from poverty, minority students, and English Language Learners.

Significance of this Study

As has been indicated throughout this review of literature, collaboration is becoming a dominant force in interorganizational relationships. Organizations, faced with funding scarcity and the desire to create new value, have begun to move from a framework of competition to a framework of collaboration. School leaders in particular have begun to utilize collaboration as a strategy to overcome funding obstacles, enrich curriculum, and utilize community resources.

With the need for collaboration increasing, educational practitioners consider the question, "What works in collaboration?" A variety of frameworks exist, many of which have been presented in this review, but school district leaders must choose a framework that will enable them to meet their district goals. One of the major goals that educational practitioners face is providing the resources and services to students with a limited budget. This study provides an example of a district that was able to save money by utilizing collaboration. Practitioners can use this study, and the frameworks therein, as a

guide through their own collaborative process. Educational leaders can also use the information presented in this case to avoid possible mistakes in the planning and implementation of their own partnerships. Finally, in addition to providing examples of strategies to avoid, the study also provides educational practitioners examples of strategies that were effective in this particular case that should be taken into consideration in their own partnerships.

This study is significant to researchers as it will contribute to the body of knowledge regarding effective models of collaboration and partnership. It will provide data that affirm or dispel, through the perceptions of organizational leaders in one particular case, Melaville and Blank's (1991) Five Variables Shaping Interagency Partnerships. Researchers can use the results of this study as the foundation for future studies that have a focus on the financial savings that result from facility partnerships. This study will also contribute to the body of knowledge regarding the differences and similarities of collaborative strategies depending upon the size of the surrounding population. The next chapter will further describe the research methodology of this study.

CHAPTER III: METHODOLOGY

This chapter describes the research methods used in this study. The purpose and design of the study are described, followed by a description of data collection techniques, and an examination of methods used to analyze the data.

Purpose of the Study

There are several theoretical frameworks presented in collaboration literature intended to guide an organization through the creation and implementation of a collaborative project (Tuckman, 1965; Kanter, 1994; Berliner, 1997; Bailey & Koney, 2000). Melaville and Blank (1991) provide one of these frameworks, which is presented in Chapter Two. In their research, Melaville and Blank (1991) describe a variety of collaborations and how each case contained five common variables: climate, processes, people, policies, and resources. These variables, The Five Variables Shaping Interagency Partnerships, will serve as the research framework for this study.

The purpose of this study is to explore, through the lens of Melaville and Blank's Five Variables Shaping Interagency Partnerships (1991), how organizational leaders in a particular case developed and implemented a collaborative project between a public school district and a nonprofit organization. An analysis of the case will determine what the collaborating agencies would need to change in order to more fully align with Melaville and Blank's (1991) five variables. The results of this study will contribute to the research about what works in school collaboration.

Research Questions

Each research question to be explored is aligned with one of the five variables described by Melaville and Blank (1991).

1) Climate: Research Question 1 (RQ1): How did the social and political climate of the community influence the collaboration?
2) Processes: Research Question 2 (RQ2): Why were some communication and problem-solving processes considered priorities by people in leadership positions and were they agreed upon?
3) People: Research Question 3 (RQ3): What roles did individuals at various levels in each organization play in the collaboration?
4) Policies: Research Question 4 (RQ4): Which governing policies of the organization affected the development and implementation of the collaboration?
5) Resources: Research Question 5 (RQ5): Did the availability of resources impact the collaboration? If so, how?

Study Design

This is a qualitative case study designed to answer these five research questions. A case study can be described as the exploration of the perceptions of individuals in the context of a natural setting (Glesne, 2006). Other researchers define case studies as "the study of the particularity and complexity of a single case" (Stake, 1995, p. xi), "empirical inquiry that investigates a contemporary phenomenon" (Yin, 1989, p. 23), or an "in-depth study of instances of a phenomenon in real-life settings from the perspective of the

participants involved" (Gall, Gall, & Borg, 2007, p. 634). Case studies allow researchers to ask "how" and "why" questions (Yin, 1994). As opposed to traditionally quantitative methods such as statistical analysis, which rely primarily on numerical data, case studies use words, pictures, and/or multimedia and have the advantage of providing a more complex, holistic picture (Bogden & Biklen,1998; Creswell, 1994). The rich, thick description allows the researcher to explore a phenomenon in detail not usually possible using other methods of qualitative or quantitative research (Merriam, 1988; Marshall & Rossman, 1999). While in case studies the primary unit of analysis is the case itself, the case is explored through the perceptions of individuals. Case studies allow not only for explanations of a particular culture or phenomenon, but also for the attitudes, beliefs, and perceptions of individuals within the case and how those factors impact the culture or phenomenon.

Critics of the case study method say a small number of cases cannot establish generalizability of findings. Others feel that the intense exposure to study of the case biases the findings and find it useful only as an exploratory tool. This lack of generalizability is indeed a limitation of case study research (Stake, 1995; Yin, 1994). The reason case studies cannot be generalized is they are context-dependent. "Generalizations are assertions of *enduring* value that are *context-free*. The value of a case study lies not in its generalizability, but rather in its ability to modulate efforts at prediction and control" (Lincoln & Gluba, 1985, p. 110). While a case study cannot be generalized to other cases, an analysis of the data should allow a researcher to generalize to theory (Yin, 2003). Merriam (1988) states case studies are used "to develop

conceptual categories to illustrate, support, or challenge theoretical assumptions held prior to the data gathering" (p. 27-28). Therefore, case studies are beneficial for the purpose of developing "context-based knowledge and experience" (Flyvbjerg, 2006, p. 222).

Within this case study, data were collected and analyzed by utilizing techniques from a grounded theoretical perspective. Charmaz (2006), citing Glaser and Strauss (1967; Glaser, 1978; Strauss, 1987), defines the aspects of grounded theory as the following: a) simultaneous involvement in data collection and analysis; (b) constructing analytic codes and categories from the data, not preconceived logically deduced hypothesis; (c) using the constant comparative method, which involves making comparisons during each stage of the analysis; (d) advancing theory development during each step of data collection and analysis; (e) memo-writing to elaborate categories, specify their properties, define relationships between categories, and identify gaps; and (f) sampling aimed toward theory construction, not for population representativeness (p. 5-6).

Typically, descriptive case studies are inductive, rather than deductive in nature (Merriam, 1988; Bogden & Biklen, 1998). However, employing techniques from grounded theory in this study presented an interesting opportunity for the study to be both inductive and deductive (see, for example, Patton, 2002). This study was deductive in that participants were asked questions that fell within the five variables of Melaville and Blank's (1991) framework. Such questions were posed as a means to explore how the five variables were manifested through the perceptions of the leadership in this particular

case. In addition, this research was inductive in that questions were open-ended and respondents were allowed to shape their answers in whatever way they saw fit. Therefore, although the interview questions were presented to participants from a loosely deductive framework, interpretation of the responses were grounded in the experiences of the participants and inductively analyzed so codes and categories could be constructed "from data, not from preconceived logically deduced hypotheses" (Charmaz, 2006, p. 5). Since the data were not completely grounded in the experiences of the subjects interviewed (questions were framed by Melaville and Blank's (1991) framework), it cannot be said that this study exemplifies all aspects of grounded theory. This is why the researcher indicates that grounded theoretical *techniques* were used, but the study does not exemplify grounded theory in its entirety.

This study also fit the case study design as it operated within a bounded integrated system (Yin, 1994). McMillan and Schumacher (2006) describe an integrated system as a site where "there is a natural socio-cultural boundary and face-to-face interaction encompassing the person or group (p. 317). In this case the "bounded system" was the collaborative organizations: the school district and the local YMCA.

The case examined in this study was chosen for a few reasons. First, the collaboration took place within ten years of this study; therefore, many of the leaders and staff who led the collaboration were still working within their respective organizations and held similar positions. Details of the collaboration, therefore, were recalled more easily by those involved. Related to this, the researcher was able to speak directly to the primary drivers of the projects, or individuals in the first generation of the collaboration,

rather than individuals hired after the collaboration was already in place. Finally, the case was chosen because of the researcher's access in the organizations.

The researcher's perspective is a unique aspect of this study. While positivism indicates there is an objective truth from which a researcher should strive to operate, interpretivism indicates that a researcher cannot escape from his/her subjective lens (Weber, 2004). In this study the researcher was embedded within the community of study, both as a community member and an employee of the school district of study, and had relationships with both organizations and many of the individuals involved.

Subjectivism Acknowledged

Qualitative research is conducted through the filter of the researcher; therefore, the experiences and personal history of the researcher play a role in the collection and analysis of the data (Bogden & Biklen, 2007; Coffey & Atkinson, 1996). Some researchers have embraced their place in their own research in order to obtain more in-depth data. For example, in the latter half of the 19th Century, Alfred Binet, the creator of the Binet Intelligence Test, studied his daughters in his research on intelligence. In the early 20th century, psychologist Jean Piaget also used his own children as research subjects.

In this study, the role of the researcher was similarly utilized. As previously stated, this study focused on a school district and a nonprofit organization. The researcher was the son of the nonprofit organization's leader. He was also an employee of the school district. This presented an advantage as it was used to uncover information that may not have otherwise been known. It is important to first examine the researcher's

history and relationship with these individuals and organizations. To examine this history, a brief autobiography will be provided, a strategy from the narrative inquiry theoretical approach (Clandinin & Connelly, 2000).

Researcher Autobiography

Regardless of where in the United States my family has lived, the YMCA consistently served as the backdrop of my childhood. With both of my parents occupying different positions of leadership in the YMCA organization for as long as I can remember, my two brothers and I joined our parents on their trips to work and, when we were old enough, ran free through the Y looking for places to explore. When my siblings and I became old enough to work, we became Y employees, working as custodians, receptionists, and child-care supervisors.

When I was in third grade, my father was hired as the director of the Riverton[2] YMCA and I became an elementary school student in the Riverton School District. I moved through junior high school and eventually graduated from high school and moved on to college. After college I began teaching in an impoverished, urban school in a large city. During this time I developed new skills for mental and emotional survival: strength, perseverance, and determination. At this city school, chaos was the norm. I soon learned that the best strategy, encouraged by the principal, was to keep my classroom door shut. Eventually, I locked the door and covered the window so no one could see in and disrupt the class. Isolation allowed for complete instructional autonomy and I felt it was necessary. I did not pursue partnerships with fellow teachers and no

[2] Riverton is a pseudonym.

organization collaborated with our school. I was always curious about collaborative opportunities both between classrooms and in the community, but I lacked faith in myself, my school, and my community in bringing a partnership to fruition. During my time in the city I began to pursue school administration, and after one year as dean of students at a junior high school, I returned to Riverton where I rejoined the Riverton School District as a school administrator of an intermediate school with a low-income student population. At this school and in this district many positive community partnerships were in place.

At approximately the same time I began teaching and moved into education administration, changes were being made in Riverton. During my undergraduate years, my father, who at the time was the president of the Riverton YMCA, began working with the Riverton School District on collaborative projects to build new Y facilities on the campuses of two of the high schools in Riverton. By the time I returned from my teaching experience in the city, both of these projects were completed.

Overcoming Bias and Building Trust Among Participants

In order to avoid over-subjectification and bias toward participants as well as address issues of power, participants were first made aware of measures of confidentiality that would be taken. Participants were informed that pseudonyms would be used in all written reports and, after transcription, all records or other recorded documentation would be destroyed. Additionally, trust was necessary for participants to be honest during the interviews. In order to ensure subjects were comfortable sharing information, participants were informed that information would not be shared with other individuals

and that no identifying information that would allow an individual to identify who provided what information would be shared. Instead, information would be collected and summarized for the purpose of discovering general themes present throughout the interviews. There were no foreseeable risks to subjects in this study[3].

The Benefits of the Researcher's Place in the Study

While the above steps were taken to ensure accurate, valid data, the researcher's place in this study was used to create a depth otherwise unavailable. One reason for this is that the researcher came into the interviews with background information about how the school district and YMCA operated. This allowed for a greater, more detailed exploration of the issues. In addition, participants were more likely to provide accurate information about specific aspects of the collaboration as they knew the researcher would be aware if information was misleading or incorrect. Similarly, the researcher was aware of any *in vivo* codes participants might have used. Charmaz (2006) describes *in vivo* codes as "insider shorthand terms specific to a particular group that reflect their perspective" (p. 55). As an employee of one organization and an individual with personal involvement with the other, the researcher was more likely to understand any of these codes and was more fully able to analyze any hidden meaning they might have had. In addition, this language may less likely have been misleading or confusing to the researcher. Finally, and possibly the greatest advantage of the researcher's place in this study, participants may have been more likely to provide detailed information because of the trust and the relationship the researcher had with participants. They may also have

[3] This study was also approved by the Institutional Review Board (IRB).

been more willing to provide as much time as necessary to ensure the most accurate information was provided for the study.

Data Collection

In this study, archival documents were first collected in order to gain an understanding of the planning and events that led to the collaboration. These documents provided crucial background information in understanding the organizational environment prior to the collaboration (Gay, Mills, & Airasian, 2006). Unlike interviews and observations, these documents were less likely to be influenced by the researcher or subjects because they were analyzed independently. Some of the documents included: contracts, leases, written agreements, organizational charters, bylaws, funding information, blueprints, as well as articles, books, and other documents that guided either organization in the collaborative process. Another benefit of these documents is that they corroborated the information collected in the interview process, the primary data source for this study.

Interviews were used in this study for the purpose of gaining an understanding of how the organizational leaders in the case thought (Bogden & Biklen, 2007). Open-ended questions were asked and were the main source of raw data for the study (Sewell, 2008). "Quotations reveal the respondents' levels of emotion, the way in which they organized the world, their thoughts about what is happening, their experiences, and their basic perceptions" (Sewell, 2008, p. 1).

Merriam (1998) states that a researcher must select a sample from which one can learn most with respect to the focus of the study. With the focus of this study being the

perceptions of organizational leaders in their utilization of a collaborative framework, interview participants were purposefully sampled based on their position of leadership in their respective organizations. These individuals were chosen because, for the purpose of the study, their responses were likely to be "information-rich" (Gall, Borg, & Gall, 1996). More specifically, the type of purposive sampling can be described as elite. The focus of elite interviews is on individuals "considered to be influential, prominent, and/or well-informed people in an organization or community; they are selected for interviews based on their expertise in areas relevant to the research" (Marshall & Rossman, 1999, p. 113).

Ten participants were interviewed in this study. The researcher considered interviewing additional subjects, but after these initial interviews took place the researcher felt enough data were provided and that further interviews would not provide data that would significantly add to the findings of the study. The following individuals were interviewed from the school district: (a) superintendent at the time of the collaborative project, (b) current superintendent, (c) district director of operations at the time of the collaborative project, (d) current district director of operations, (e) principal of Washington High School at the time of the collaboration, (f) current principal of Washington High School, (g) principal of Adams High School at the time of the collaboration, and (f) current principal of Adams High School.

The following individuals were interviewed from the YMCA: (a) chief executive officer, (b) chief operations officer. The researcher contacted the organizational leaders from both organizations and appointed a 90-minute period of time to conduct the interviews.

Table 5

Interview Subject Guide

Name	Current or Former Job Title	Brief Biography
Larry Roberts	Former Superintendent	Former principal of Adams High School before being hired as superintendent. Retired from RSD in 2004.
Walter Gilbert	Current Superintendent	Former superintendent in another district. Hired as superintendent of Riverton School District in 2006.
Michael Gibson	Former District Director of Operations	Director of operations for RSD for 26 years before accepting position in another district.
Mark Richards	Current District Director of Operations	Director of operations in another school district before accepting his current position in 2009.
Christopher Chandler	Former Principal of Washington High School	Principal at the junior high level in Riverton until accepting the principal's position at Washington in 1990. Retired from RSD in 2004.
Evelyn Carlysle	Current Principal of Washington High School	Former teacher at Washington High School until hired as associate principal in 1999. Principal of Washington High School since 2004.

Table 5. Continued

Teresa Arp	Former Principal of Adams High School	Former associate principal at Adams High School before becoming principal. Retired from RSD in 2003.
Susan Cartwright	Current Principal of Adams High School	Principal of Adams High School for five years. Principal at the time of this study.
Kevin Smith	Chief Executive Officer of Riverton YMCA	YMCA employee since 1972. Accepted position as chief executive officer of Riverton YMCA in 1987.
Peter Jacobs	Chief Operations Officer of Riverton YMCA	YMCA employee for nine years before being hired as the chief operations officer of the Riverton YMCA in 1999.

Note: All names are pseudonyms.

Gall, Borg, and Gall (1996) describe three formats to qualitative interviewing. The first format is referred to as the informal conversational interview (p. 309). In this style of interview, questions are generated spontaneously in a natural interaction. A specific set of questions are not predetermined and participants being interviewed might not even realize they are being interviewed. The second format is the general interview guide approach (p. 309). In this format, a set of topics is outlined before the interview. The topics are intended to be explored but the order of the questions and the wording are not predetermined. The third format is referred to as the standardized, open-ended

interview (p. 310). In this format, questions are asked in a predetermined sequence and the wording is the same for each interview. This format is most often used when researchers intend to minimize the possibility of bias. Patton (2002) includes a fourth interview format: the closed, fixed response (p. 349). This is the most rigid format of those stated above. In this format, all question and response categories are determined in advance and respondents must choose a response provided by the researcher.

In this study, the general interview guide approach was used. This approach was used in order to allow the interview to be framed by Melaville and Blank's (1991) Five Variables Shaping Interagency Partnerships. The framework variables and associated research questions were used as the general outline of the interview, and, while guiding questions were used, it was not necessary for the order of the questions and the wording to be strictly followed as is the case in the standardized, open-ended interview style. The general interview guide approach allowed for an amount of structure within the interview that was not constricting to the answers of the subjects. As indicated in Chapter Two, the framework is general enough that it allowed for concepts to be explored without being inhibited by a stringent frame. At the same time, the framework provided enough specificity to focus the direction of the interview questions.

The five variables, with their associated research questions and guiding interview questions are provided below.

1) **Climate: Research Question 1 (RQ1): How did the social and political climate of the community influence the collaboration?**

Interview Question 1: Describe the social and political climate of the community prior to the collaboration.

Interview Question 2: What impact did the climate have on the creation, development, and implementation of the collaboration?

2) **Processes: Research Question 2 (RQ2): Why were some communication and problem-solving processes considered priorities by people in leadership positions and were they agreed upon?**

Interview Question 1: How did you work with the other organization to establish goals and objectives, agree on roles, make decisions, and resolve conflicts?

Interview Question 2: Which of the processes were most important to you?

3) **People: Research Question 3 (RQ3): What roles did individuals at various levels in each organization play in the collaboration?**

Interview Question 1: Describe your relationship with leaders of the other organization. What impact did personal relationships have on the collaboration?

Interview Question 2: How do you define a successful collaboration?

Interview Question 3: What advice do you have for other organizations looking to collaborate?

4) **Policies: Research Question 4 (RQ4): Which governing policies of the organization affected the development and implementation of the collaboration?**

Interview Question 1: Governance structures can be described as the federal, state, and local level policies and guidelines of an organization. It includes budgets, target populations, and operational language. What are the major governing structures that influence decision making in your organization?

Interview Question 2: How did governance issues, such as state and federal mandates, funding structures, or board policies, help or hinder the collaboration?

5) **Resources: Research Question 5 (RQ5): Did the availability of resources impact the collaboration? If so, how?**

Interview Question 1: How would you describe the human and financial resources available to your organization? What other resources were available to you?

Interview Question 2: What resources did your organization have that were able to be exchanged in the collaboration?

Data Analysis

Interviews were transcribed, inputted into computer files and coded. Coding, as defined by Charmaz (2006), means "naming segments of data with a label that simultaneously categorizes, summarizes, and accounts for each piece of data" (p. 43).

Coffey and Atkinson (1996) state that "coding qualitative data enables the researcher to recognize and recontextualize data, allowing a fresh view of what is there" (p. 45)[4]. Transcripts were analyzed, line by line, and each line was given a code that summarized the prominent theme the line encapsulated. When all lines were coded, the 89 themes that appeared most often were cut from the transcript and pasted into 89 separate documents. Each of these documents were printed and further analyzed. The researcher found that many themes were similar and some umbrella concepts were present, under which other themes fit. The process of analysis, regrouping, and consolidating of the 89 themes, resulted in 14 overarching themes. Analysis indicated that these themes also had many similarities and concepts that enveloped others. Analysis and consolidation of the 14 themes continued and eventually led to five overarching themes. Those five themes were also analyzed and it was found that no further consolidation or regrouping could be conducted without losing major concepts and themes that were addressed in the interviews. A representative sample of codes is shown in Appendix B. Melaville and Blank's (1991) five variables were then analyzed in comparison with the five emergent themes of this study.

Analysis of archival documents (e.g. contracts, leases, written agreements, organizational charters, bylaws, funding information, and blueprints) served to corroborate the information provided through interviews. Changes in any agreements were examined and questioned in order to understand the intent of the changes.

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[4] Data were transcribed for the purpose of content analysis, as opposed to discourse or linguistic analysis. For this reason, every utterance (stutter, false start) was not transcribed, only the complete thoughts of the subjects.

The interview coding categories and document analysis were analyzed with respect to Melaville and Blank's (1991) Five Variables Shaping Interagency Partnerships for the purpose of exploring the five research questions. Table 6 provides a summary of data collection and analysis techniques.

Table 6

Summary of Data Collection and Analysis

Theoretical Framework	Data were recorded according to the Five Variables Shaping Interagency Partnerships (Melaville & Blank, 1991): Climate, Processes, Policies, People, and Relationships.
Document Analysis	Organizational by-laws, mission and vision statements, sharing agreements, leases, and literature describing the history of the organizations. Websites of the respective organizations were also analyzed.
Interview Protocol	Interviews were conducted within a 90 minute period of time. Follow-up interviews were conducted as necessary for clarifications. 10 subjects interviewed are described in Table 5.
Emergent Themes	Five themes emerged through analysis of documents and interviews: Communication, community, determination, formal agreement, and relationships.

Summary

This qualitative case study utilized techniques from the grounded theoretical approach to answer the five research questions. Leaders of the participating organizations were purposefully sampled because their responses were likely to be information-rich with respect to the focus of the study. Each research question was based on Melaville and Blank's Five Variables Shaping Interagency Partnerships (1991). Data were collected primarily through interviews using the general interview guide approach. Interview data were corroborated by examining archival documents. Analysis took place with the use of coding and synthesis of the various data collected. The following chapter will provide an examination of the results of the case study.

CHAPTER IV: RESULTS

Introduction

This chapter will explore the themes that emerged from the data and the relationship between those themes and Melaville and Blank's Five Variables Shaping Interagency Partnerships (1991): climate, processes, people, policies and resources. As described in Chapter Three, the data collected through interviews were transcribed and coded to find dominant themes. The first iteration of the data provided 89 initial themes present across the ten interviews. These topics were further analyzed and grouped by similarities. At the end of the second iteration, 14 themes were present. Again, these themes were further analyzed and explored to find similarities and relationships. The final analysis left five overarching themes dominant among all interviews: community, communication, relationships, formal agreement, and determination. Table B1 in Appendix B provides a code map from the interviews. A qualitative analysis of these themes found the five emergent themes of this study embedded in varying degrees within Melville and Blank's (1991) five variables. This chapter will explore the relationship between Melaville and Blank's (1991) five variables and the five emergent themes of this study.

Before beginning the analysis of the data, it is first necessary to describe the history of the case itself. The first section of this chapter will provide a brief history as described by those interviewed and supported by document analysis. As part of the case history, two external factors will be described that were of vital importance to the collaboration: the Local Option Sales and Services Tax (LOSST) and the 28E Shared-

Use Agreement. These two topics will be explored in detail as their role in the collaboration was paramount. The following table is included to clarify the chronology of events.

Table 7

Chronology of Events

Date	Event
1985	New junior high school was built. Old junior high school became Washington High School.
1994	Washington and Adams High Schools began serving 9th grade students in addition to their 10th – 12th grade population.
1997	New gymnasium added to Washington High School.
1998	Failure of collaborative agreement in growing area of Riverton.
1999	The Local Option Sales and Services Tax (LOSST) came into effect.
1999	School District and YMCA leadership visited model collaborative site, spoke with organizational leaders, and toured facility.
2001	Ground-breaking for Washington High School/YMCA facility.
2002	Ground-breaking for Adams High School/YMCA facility.
2002	Washington High School/YMCA collaborative facility was completed.

Table 7. Continued

2003	Adams High School/YMCA collaborative facility was completed.
2003	Teresa Arp retired from position as principal of Adams High School. Replaced by interim principal.
2004	Larry Roberts retired from superintendent's position.
2004	Christopher Chandler retired from position as principal of Washington High School. He is replaced by Evelyn Carlysle.
2004-2006	Interim superintendent assumed leadership role in RSD.
2005	Susan Cartwright became principal of Adams High School.
2006	Walter Gilbert was hired as RSD superintendent.
2007	Michael Gibson resigned from position as director of operations for RSD to accept a position in another district. He was replaced by Mark Richards.

Case History

In the early 1980s, Riverton School District (RSD) had two high schools each serving approximately 2,000 students. To support the number of students in these schools and to address an increasing population at the junior high school level, the district made an effort to fund the building of a new high school and a new junior high school. A referendum that would have increased taxes in order to pay for the new facility was marketed to the community. Evelyn Carlysle, the principal of Washington High School during the time of this study, was a Washington High School teacher at this time. She recalled going door to door speaking to the community about the need for a new facility. Regardless of the district effort, the referendum that would have funded the project did not pass. While district leaders were not able to build a new high school, they chose to use money in their general fund to build a new junior high. When they did this in the 1985–1986 school year, they moved the junior high students into the new junior high school and the old junior high became Washington High School. This decision created some dissension within the community as it created a perception that the district disregarded the voice of the community. While the district now had a third facility to serve high school students, the building itself was not renovated to meet the programmatic and curricular needs of the students. Students were being served in a junior high school facility that had no swimming pool and a small gymnasium with very little room for spectators.

Since other high schools in the district and throughout the state house swimming pools, the district felt it was important for Washington High School to have one as well in

order to provide equitable opportunities for its students. A swimming pool also increases the opportunities students have to earn college scholarships for swimming, which is a major interscholastic sport.

Christopher Chandler, the principal of Washington High School, worked with Larry Roberts, the superintendent, to discuss strategies to find funding to renovate the high school. In 1997, 12 years after Washington became a high school, Superintendent Roberts chose to allocate approximately one million dollars from the district's general fund to build a new gymnasium. The addition of the gym increased the amount of space available to provide physical education classes for students. It also allowed a greater ability to accommodate extracurricular activities and spectators. However, the addition was still not enough to meet the needs of the students being transported to other high schools to gain access to a swimming pool.

While the initial expansion and these conversations were taking place within the district, both Superintendent Roberts and Principal Chandler were members of the Riverton YMCA, where they exercised regularly. As patrons, they built relationships with Kevin Smith, the CEO of the YMCA. Before the thought of collaboration was even considered, these men would exercise together on a regular basis, all the while building a friendship. These friendships soon spread into other areas of their professional lives as well. Mr. Smith and Superintendent Roberts met and spoke often at weekly Rotary Club meetings. Principal Chandler eventually joined the Board of Directors of the YMCA. Superintendent Roberts also joined the board at this time. Throughout the time Principal Chandler and Superintendent Roberts were discussing the possibility of further expansion

of Washington High School, Mr. Smith was struggling with how to expand YMCA services to growing areas of Riverton. He could not find the initial funding to build a new facility.

In 1999, a new tax came into effect that created an enormous opportunity for both organizations.

The Local Option Sales and Services Tax

Soon after the new gymnasium was built at Washington High School, but while Superintendent Roberts, Principal Chandler, and other school leaders were still struggling to find resources for a new swimming pool, the county passed the Local Option Sales and Services tax (LOSST). Revenue from this tax was to be used for school infrastructure needs or school district property tax relief (Statewide School Infrastructure Sales and Services Tax, 2010). School infrastructure included "construction, reconstruction, repair, demolition work, purchasing or remodeling of schoolhouses, stadiums, gyms, field houses, and bus garages" (Statewide School Infrastructure Sales and Services Tax. 2010). With the passage of LOSST, the district gained additional revenue for infrastructure of approximately 13 million dollars annually[5].

Suddenly, the district had the funding necessary to build a new facility, but due to restrictions on how the money could be used (as determined by the definition of "school infrastructure"), they did not have enough money to operate and sustain the facility over time. It was at this time that Mr. Smith, Principal Chandler, and Superintendent Roberts

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[5] LOSST later became a state-wide tax, renamed the Statewide School Infrastructure Tax. The tax was collected by the state and distributed to all counties based on enrollment. This change decreased the amount of money received by the Riverton School District by approximately three million dollars.

bore the fruit of the time they had put into their relationship. These leaders had conversations about how they could work together to meet their respective needs and decided that the district's LOSST funds could be used to build a swimming pool and other amenities at Washington High School while the YMCA could operate the facility. While the conversations regarding the building of a new facility collaboratively had been considered over the past years, it was not until the passage of the LOSST that the possibility of the project moved forward. The three leaders began to see great possibilities for their respective organizations. The possibility of the project being completed became not a matter of if, but when. Mr. Smith recalled meeting with Superintendent Roberts and Principal Chandler at which time they asked each other, "Is this the right thing for the community?" They agreed it was, shook hands and "the rest was just details" [K. Smith, May 10, 2010].

There was a large amount of work to be done, but the leaders adopted a mindset that nothing was going to stop them. Soon, Peter Jacobs, the chief operations officer of the YMCA joined the conversation and became a key player in helping to resolve those details and to figure out a way to make the vision a reality. Michael Gibson, the experienced director of operations from the school district also joined the conversations and played a crucial role in utilizing the resources of the district to move the project forward.

Mr. Smith and Mr. Jacobs (from the YMCA) soon began working with Superintendent Roberts, Principal Chandler, and Mr. Gibson (from the school district) in researching other districts that completed a collaborative project that matched their

vision. They found a YMCA and school district elsewhere in the state that had recently completed a similar shared facility project. In 1999, they visited the district and spoke with the organizational leaders there. On future trips, they took other community members with them in order to help others see what the collaboration could look like and that it could be successful. Leaders from Riverton found that the 28E Shared-Use agreement was used as the legal document in that collaboration. Using that collaboration as a model, it was decided that the 28E would also be used in the Riverton/YMCA collaborative agreement.

The 28E Shared-Use Agreement

The 28E Shared-Use Agreement refers to the state code that defines and describes collaborations between public and private entities. The purpose of Chapter 28E is "to permit state and local governments in [this state] to make efficient use of their powers by enabling them to provide joint services and facilities with other agencies and to co-operate in other ways of mutual advantage" (Chapter 28E, 2010). The agreement requires a specified duration, purpose, manner of financing, and method for partial or complete termination of the agreement. The two agencies in this case, with their lawyers, wrote the 28E agreement for the Riverton School District and YMCA. The specifics of the document and what is shared between the two organizations are described later in this chapter.

With great excitement from the organizational leaders who had been researching and planning the project, the ground-breaking for the new Washington High School/YMCA collaborative facility was held in 2001. As construction began,

Superintendent Roberts and Mr. Gibson began to see the advantage of the collaboration and the potential financial savings that could also occur at other facilities. They realized that although they committed approximately seven million dollars of LOSST funds to build the Washington High School facility, financial projections indicated it would cost approximately 1.3 million dollars each year to operate the facility. The agreement indicated the YMCA would cover these operational costs. Over the 25-year agreement, this equated to a district savings of approximately 33 million dollars. With this savings in mind, they chose to pursue a similar collaboration at Adams High School. Teresa Arp, the principal of Adams High School, was invited into the conversations and new discussions began with Mr. Smith and Mr. Jacobs from the YMCA. Mr. Smith and Mr. Jacobs were not initially looking to build a new facility in that particular area of Riverton. In fact, they were in the midst of beginning a collaborative project with a local hospital in an adjacent city. However, the momentum the district currently had in regard to the first project quickly persuaded the YMCA leadership that they should focus their attention on this new collaborative possibility. It was decided that with the passage of the LOSST, the time was right to take advantage of the opportunity and work with the school district on a second project. Even though the Washington High School/YMCA construction was still underway, the two organizations began planning the second facility collaboration at Adams High School.[6]

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[6] Mr. Smith and Mr. Jacobs from the YMCA were soon disovering the great potential of collaboration. While projects were underway at Washington and Adams High Schools, they decided to move ahead with the collaborative project with a local hospital at the same time. At one point, thanks to the passage of the LOSST and the collaborative mindset of YMCA leadership, the YMCA was building three new local facilities at the same time.

The situation at Adams High School was slightly different than that at Washington High School. Adams High already had a pool but struggled to maintain it financially. In addition, during the 1994–1995 school year, Adams High went from a school serving approximately 1,800 students in grades ten through 12 to a school serving approximately 2,400 with the inclusion of students in grade nine. As the school only had one gymnasium to serve its entire student population, this increased the facility strain that already existed. The district and the YMCA decided that, using a model similar to the Washington High agreement, the district could use LOSST funding to build a new recreation facility and the YMCA could operate the facility. At this site, since the pool already existed, the YMCA would take over operations of the pool in addition to operating the new recreation facility.

In November of 2002 the Washington High School/YMCA was completed. With the completion of the Adams High School/YMCA soon thereafter (in October of 2003), the two organizations now had new resources for their students and the community. After the projects were completed, the two organizations continued to consider details and actively plan in order to make the partnerships operate effectively. Mr. Jacobs, from the YMCA, played a key role in addressing these details. His primary contact point at Washington High School was the associate principal[7].

The maintenance of the partnership has continued up through the time of this study. New leaders are now in place. Mr. Smith and Mr. Jacobs remain in their leadership positions at the YMCA; however, all other initial collaborators from the

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[7] Deceased at the time of this study.

school district have changed. Superintendent Roberts retired from the RSD in 2004 and later assumed a superintendent's position in another state. After a brief interim superintendent served the district, Walter Gilbert became the new superintendent in 2006. He was in that role at the time of this study. Mr. Gibson, the veteran RSD operations director, resigned from his position in 2007 and took a position as the director of operations in another district. He was replaced by Mark Richards. Principal Chandler retired from his position at Washington High School in 2004 and later became the director of human resources in a district in another state. He was replaced by Evelyn Carlysle, who had served as associate principal of Washington High School since 1999. Ms. Carlysle came into the principalship with years of experience at Washington High School, having worked there—initially as a teacher—since 1990. Teresa Arp, who was the principal at Adams High School during the creation of the Adams High School/YMCA partnership, retired soon after the project was completed and was replaced by Susan Cartwright, the principal at the time of the study. Those interviewed indicated that the mobility in the district was unrelated to the building of the new facilities. However, with so much turnover within the district, new challenges were created for the organizational leaders. The YMCA leadership had to continue to build new relationships with RSD leadership. New RSD leaders had to learn about the history and current status of the collaboration. This challenge continued up to the time of this study, but leaders from both organizations demonstrated a willingness to make the collaboration work.

Analysis of Data

This section will explore the interview data as recorded by the ten organizational leaders who were a part of the project in the beginning or who were in a position of leadership at the time of this study. The emerging themes are analyzed through the lens of Melaville and Blank's Five Variables Shaping Interagency Partnerships (1991).

Climate

Research Question 1:
How did the social and political climate of the community influence the collaboration?

Melaville and Blank (1991) stress the importance of the social and political climate on collaboration. "When human needs, public sentiment, legislative priorities, and institutional readiness converge…conditions are ripe for collaboration" (p. 20). The social and political climate in this case strongly influenced the collaboration. The importance of the community climate in the collaborative process emerged in interviews with many of the organizational leaders. The political, economic, and social climate of the community provided Riverton School District leaders both opportunities and challenges.

Peter Jacobs, the chief operations officer (COO) of the YMCA, who played an integral role in the development of the projects, recalled how the economic growth in the community served as the foundation for moving the project forward. Prior to this project taking place, the state funded approximately 100 million dollars in downtown projects. "People were in the building mindset," recalled Mr. Jacobs, "and when things are good, things really happen" [P. Jacobs, March 15, 2010]. The economic climate spurred

growth opportunities in the community which led to this collaboration. The YMCA leaders felt a definite need to expand services. Organizational leaders also felt their respective institutions were ready to pursue collaboration. After a concerted effort to communicate project goals, the leaders believed that the public supported the collaboration and that the timing was right to move forward.

The political climate in the community was a challenge, as there was a failed attempt to build a collaborative facility in 1998. Prior to the YMCA/RSD collaboration, the City of Riverton had considered building a complex in a growing area of Riverton. The complex was to include a variety of partners including the YMCA, the city parks and recreation department, the local hospital, the public library and the school district. The number of partners created complexities that could not be overcome, and the plan began to be looked upon negatively by the community. Some vocal members of the community saw the development as an opportunity for a few business people to profit, rather than an opportunity for more resources to be provided in a growing area of the city. A local election took place at the same time and the issue of whether or not the partnership should be pursued was used by candidates running for office, those both for and against it. The negative publicity surrounding the business people and politicians involved led to the eventual failure of the project and an attitude of distrust in large scale projects involving public money.

Melaville and Blank (1991) indicate that a challenging climate can provide an opportunity for valuable planning time. The failure of the initial project in 1998 provided organizational leaders a year to plan. It created an opportunity for community leaders to

get together to consider other ways in which a collaboration could work. Leaders of the school district and the YMCA used some of those conversations to create momentum toward the collaboration at Washington High School. The previously negative environment was used as an opportunity to build a more positive climate and stronger relationships. This validated Melaville and Blank's (1991) definition of a positive climate as one in which "previously established working relationships exist among potential partners" (p. 20).

In this case, it was not just the community climate that influenced the collaboration. The climate within the school district also had an influence on how the project would be pursued. Principal Chandler recalls negativity among staff members at Washington High School who had been disappointed by the perception that each time leaders said they would do something in regard to facilities, it did not happen. He responded to the staff by saying, "now that we've finished all the negative talk, let's just talk about what we need and what we'd like to have" [C. Chandler, April 9, 2010]. He indicated that when he worked through the negativity, he was able to mobilize his staff and move forward with the project. He began including them in the conversations about the vision of the partnership. He made it quite apparent, as exemplified by the previous statement, that he was determined to move the project forward and was not going to allow previous situations and challenging circumstances distract him from the ultimate goal of project completion.

Regardless of the passage of LOSST and the progress of the collaboration, interview subjects indicated that there will always be negative individuals in the midst.

Susan Cartwright, the principal of Adams High School at the time of the study, said, "There are always people out there that want to throw darts at anything, particularly those things that are good" [S. Cartwright, March 11, 2010]. Mr. Jacobs said, "There are always going to be naysayers or people who don't know everything—don't understand everything—so they fill in their own blanks" [P. Jacobs, March 15, 2010]. The individuals interviewed indicated the best way to combat misperceptions and negativity is to communicate the truth to the misinformed individuals during meetings and conversations. If these meetings and conversations fail to eradicate misperceptions, the individuals spreading inaccurate information and negativity should be ignored. At the same time, those interviewed indicated that the truth should be communicated to the community and other stakeholders through public presentations, written communication, or personal conversations so the public does not become persuaded by the negativity.

Community Benefits

A key strategy organizational leaders used to address the challenging climate was to publicize the potential benefits of the collaboration to the community by making presentations to community groups and local businesses. A few major benefits that leaders referred to were the impact the collaboration could have on the local economy and on the relationships between students and the community.

Superintendent Roberts referred to the potential economic growth that could occur if the collaboration took place and how this served to motivate him in moving forward. He indicated that he believed individuals would consider moving to the area to take advantage of the positive growth. "We can show other communities," he stated,

"Riverton is a place you want to be, because look at what they've done" [L. Roberts, April 9, 2010].

In addition to the economic benefit, the other community benefit the collaboration created was improved relationships and perspectives between the community and the students. Because the collaboration brought about opportunities in which students might work out on a treadmill during a physical education class while a community member might work out on a treadmill next to him or her, the two individuals are able to see each other in a different light. Mr. Jacobs stated,

> Sometimes people stereotype their kids because of what they don't know. Now they are working out right next to them. They're using the space right next to them and in some cases they're serving as their mentor. The person who makes a compliment to a kid about what they're doing, how they're acting, in that environment of working together is pretty interesting and has occurred over time. Students are also seeing adults in a different light. [P. Jacobs, March 15, 2010]

While the benefits of improved community-school relationships are more difficult to measure than economic impact, leaders felt the collaboration has a great social benefit for both the school district and the community.

Building a Partnership that Outlives a Changing Community Climate

One area of importance that emerged from the data was the importance of building a collaboration that is sustainable throughout a potentially fluctuating economic and social climate. Organizational leaders made changing perceptions and combating negativity a priority in order to push this project forward. Once complete, the social climate became more positive. Mr. Smith, who had to work hard to persuade the community that this collaboration would be beneficial to all, recalled that the only

comments he heard after it was completed were positive. Many community members, he said, asked why the project had not happened sooner.

The project was written formally as a 25-year agreement. Over those 25 years, the community climate will likely change. For this purpose, those interviewed indicated that it was imperative that the formal written agreement clearly state the objectives and procedures for moving the project forward. Details of the agreement are described later in this chapter, but the agreement itself is of great importance to the collaboration, as it should hold the project in a steady state, enduring over a changing climate.

The data from this study affirmed that the community climate is an important factor for the creation and development of a collaboration. The social and political climate influenced how the collaboration commenced, who was involved, and at what point steps were taken. Melaville and Blank's (1991) variable of climate and the data that emerged in this study were closely aligned.

Processes

Research Question 2:
Why were some communication and problem-solving processes considered priorities by people in leadership positions and were they agreed upon?

Melaville and Blank (1991) indicate that communication and problem-solving processes are critical to creating and sustaining a collaboration. Communication emerged as a major theme in this study as well. Melaville and Blank (1991) posit that communication is vital between organizations in regard to how they "establish goals and objectives, agree on roles, make decisions, and resolve conflicts" (p. 21). While

Melaville and Blank (1991) describe communication as an important aspect of the process of problem solving between the organizations, the data from this study indicate communication had a more comprehensive role. Three facets of communication emerged from the data: (a) intraorganizational, (b) interorganizational, and (c) organization/community.

In this case, interorganizational communication came first by way of the informal, and later formal, conversations between Mr. Smith, Principal Chandler, and Superintendent Roberts. These initial conversations began in 1995. Once these conversations took place, the YMCA and the school district had intraorganizational conversations within their respective organizations regarding how to meet their needs and communicate with constituents and employees about the possible collaboration. When leaders from the YMCA and school district were prepared to move forward, work still had to be done to persuade the community to support the project. It was at this point that communication between the organizations and community began. The conversations between organizations and the garnering of community support continued from 1995 until 1999, when the LOSST was passed and propelled the project forward.

Leaders from both organizations agreed communication was central to the collaboration. In addition to the three facets of communication, the data also indicated three overall purposes of communication: (a) marketing the project to the community, (b) avoiding problems in the planning stages, and (c) resolving problems in the implementation stage. Figure 5 depicts the three facets and three purposes of communication that emerged from the data in this study.

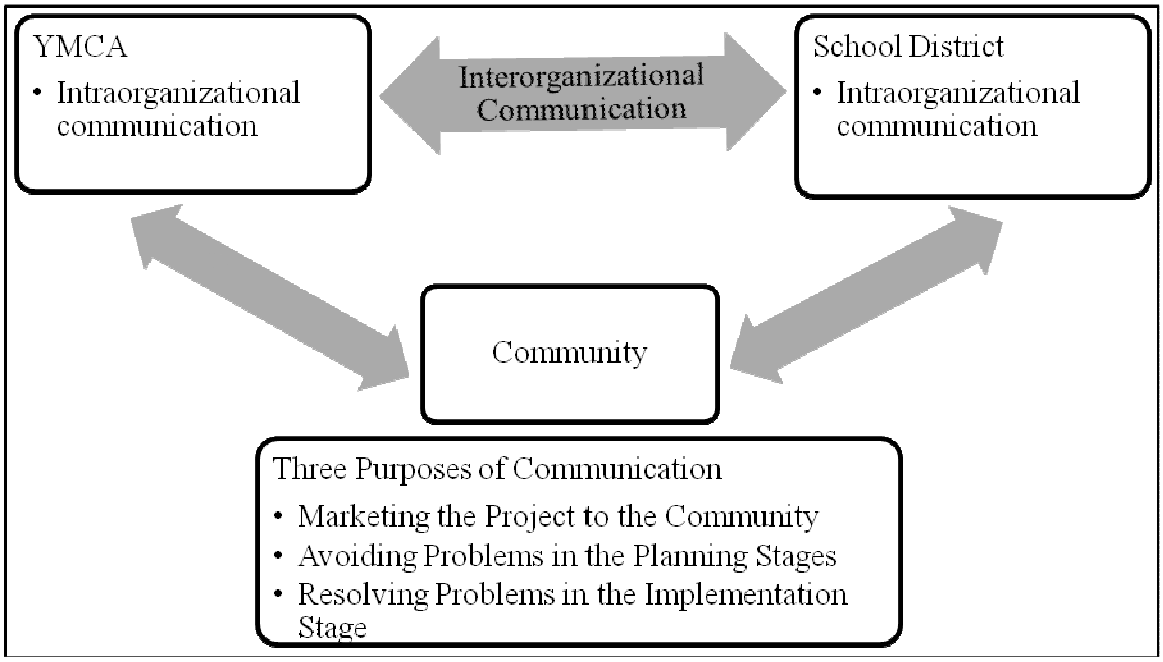

Figure 5. The Three Facets and Three Purposes of Communication.

Marketing the Project to the Community

In order to move from planning to implementation, it was necessary to address the community perception. RQ2 asks which communication and problem-solving processes were considered priorities by people in leadership. Communicating the project vision to the community was a high priority in this case. "Keep everyone informed," stated Mr. Jacobs. "Not only the people that are on the inside, but the people that are on the outside that are looking at this with a microscope asking 'What was the original reason for this? What was the original purpose?'" [P. Jacobs, March 15, 2010]. Communication was the vehicle used to influence the community perspective.

In this case, the passage of LOSST was crucial; therefore, there was a great push to get this legislation passed. District leaders used the partnership as a concrete example of what could be done with the LOSST tax revenue. A variety of strategies were used to market LOSST and to build support of the collaborative project. An event was held in the Washington High School cafeteria in which the community could hear from organizational leaders about the tax and what it could do for the schools of Riverton. There were also meetings with the editorial board of the local newspaper and email blasts to district and YMCA families. Leaders spoke at PTA meetings and Rotary Club meetings. The YMCA mailed information to members and constituents about the LOSST and the collaborative project. A campaign video was also made that could be shared with community groups interested in learning more about the collaboration.

New Perspectives. Once the community was fully informed in regard to how the facility would operate, it became easier to convince people to continue to support the

project and other collaborative projects in the future. Mr. Jacobs went on to say, "Once they can see it, feel it, touch it, taste it, whatever, then they can believe it. Once you got it going, the walls started falling down. It's one of those comfort level things. It just took time," [P. Jacobs, March 15, 2010].

One strategy used to help others in the community envision what the finished product could look like was to show them a similar collaboration already taking place. As previously indicated, leaders from the school district and YMCA relied heavily on the model provided by another city in the state that had successfully completed a similar collaboration. The school district in this city collaborated with a YMCA and, up to that point, had been pleased with the result. Leaders from Riverton took parent groups, business people, and other stakeholders to visit this site to provide the vision that encouraged them to pursue something similar in Riverton.

Stakeholder Involvement. The next important aspect of marketing the project was in regard to stakeholders. The data support the idea that bringing stakeholders to the table is vital to collaboration. More specifically, it is not just important to have a variety of people at the table, but it has to be the "right people." The right people, as described by Principal Chandler, include everyone that will be affected, including students, parents, and community business people. References to bringing the right people to the table were made by five of the individuals interviewed. In order for the community to change their perspective and stakeholders to become involved, they must first be effectively communicated with in regard to the collaboration. The subjects interviewed did not indicate that there was any formal decision-making process used to decide which

stakeholders would be targeted. Instead, the organizational leaders focused their attention on those individuals that fell within their circle of influence. For example, Principal Chandler focused his attention on the staff, students, and parents of Washington High School. He also communicated with the business people that worked in the surrounding area of the school. Superintendent Roberts worked with district families, but also communicated the vision of the partnership to the Riverton Board of Education. Much of the communication that occurred from the superintendent took place during board meetings, where he was able to speak about the vision and development of the collaboration. This also provided a time for the community to ask questions. YMCA leaders spoke with their staff about the collaboration and how it would impact the organization. Information about the collaboration was also disseminated to YMCA members through mailings.

As another strategy used to communicate the plan to the community and help constituents visualize the finished project, organizational leaders had architects sketch out what the shared facilities would look like. Those drawings were displayed in school buildings to further plant the vision within the community.

More challenging than selling the project to individuals who would directly reap the benefits of the collaboration was selling the project to individuals who may have felt that the success of the partnership would not directly impact them. In order to market the partnership to area businesses, Principal Chandler researched the impact regional swim meets had on the economy of a nearby school district. He found that a weekend swim meet typically generated around $280,000 for the neighboring community. He took that

information to businesses surrounding Washington High School and showed each of them how the collaboration would be of benefit.

In his interaction with the larger community, Principal Chandler also found that some people mistakenly believed the collaboration would generate only a new swimming pool. In response, "we showed how it wasn't just the swimming pool. It also included cross-training equipment, racquetball, and basketball courts[8]" [C. Chandler, April 9, 2010]. This information was communicated to the community. The leaders met with different groups in the community and answered the question, "What's in it for me?"

Superintendent Roberts also took a major role in marketing the project. "I think I gave 30 different presentations at schools and churches—anybody that would listen—telling our story. We put together a PowerPoint. I could probably still tell you each building, when it was built, because I've given it that many times" [L. Roberts, April 9, 2010]. Leaders from both organizations worked closely in all of these marketing events, and whenever possible, appeared at speaking engagements together.

Avoiding Problems in the Planning Stages

While communicating with the community is important to gain popular support, communicating interorganizationally also arose as an area of importance in the prevention of future problems. When two organizations are accustomed to making decisions independently, it may be challenging to learn a new way of making decisions. "You've got to plan, organize, and communicate extremely well when you're sharing a

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[8] The details of the shared facility are described on page 113 and in Appendices C and D.

space, when you're partnering. That was not the case with both entities before because we didn't do that," [P. Jacobs, March 15, 2010].

Before planning the details of the partnership, leaders made it a point to get to know the culture of the other organization. Principal Chandler said that not doing so could be burdensome or even disastrous. Within the communication and problem-solving process, Melaville and Blank (1991) describe the importance of learning the needs and pressures of your partnering organization and how the other organization operates. Melaville and Blank (1991) also indicate that developing and maintaining a positive rapport with key players is important. The importance of communication and building rapport among key players is aligned with the data in this study. Once the leaders knew the project was moving forward, Mr. Jacobs, the YMCA employee who had the responsibility of working with the school district to organize the scheduling of the shared facilities, recalled a conversation he had with the associate principal of Washington High School in which he said, "Why don't we just have meetings one-on-one where you and I just get to know each others' organizations and culture? Once I can understand and appreciate where you're coming from, then I think we can work better together," [P. Jacobs, March 15, 2010]. Once leaders from both organizations believed they understood the basic operational culture of the partnering organizations, they moved to the next step of planning the project.

In this case, a variety of stakeholders were involved in the initial planning stages. Some of these individuals included engineers, architects, construction supervisors, YMCA representatives and staff from the high school. The principal of Adams High

School at the time of the collaboration, Teresa Arp, indicated, “a lot of crises were averted just because you had a lot of different points of view around the table saying, ‘Well, what if…’ It was preemptive,” [T. Arp, April 22, 2010]. According to the subjects interviewed, another benefit of involving a variety of stakeholders—including teachers, local business people, parents, and students—is that they then feel they have a voice in the decision-making process. In addition to this, these stakeholders can take back the information learned and share it with other constituents within their circle of influence. The spread of misinformation can be avoided in this way and these individuals help to market the collaboration to others.

Resolving Problems in the Implementation Stages

Regardless of the amount of communication during the planning stages, it is inevitable that problems will arise during the implementation of a collaborative project. The data showed that when this is the case, it is imperative that the lines of communication stay open to quickly and efficiently resolve the issue.

Throughout the various interviews, there were many references to “sitting down and talking with” the other organization. Building a schedule that worked for both the district and the YMCA was one of the major factors that necessitated face-to-face communication. In this case, Mr. Jacobs and the associate principal of Washington High School met on a regular basis to discuss how the schedule would work. This one-on-one strategy of communication was employed to create an efficient decision-making process. When there were problems in this stage, Evelyn Carlysle, who became the principal of Washington High School after Mr. Chandler, stated the conflicts would be resolved

through communication "funneled through one person at the Y and one person at the high school…so we don't have either one of us being hit from different directions and not having a line of communication," [E. Carlysle, March 19, 2010]. One-on-one communication between site directors was considered a priority between both organizations because it allowed problems to be solved at the site level by people who best understood the issues and solutions to specific problems at a particular site. For example, if a situation arose that caused the school to make a last-minute change in regard to the use of the swimming pool and the YMCA had already scheduled the pool for a different activity at that time, the site directors from both organizations would meet to discuss a solution to the problem.

In cases when conflicts were not able to be resolved at the site level, the issue would be referred to a district administrator, such as the director of operations, executive directors, and/or the superintendent. At the YMCA, the issue would be referred to the COO and/or the CEO. Leaders from each organization would discuss the issue and attempt to resolve the conflict. If disagreement still existed, a process was in place to resolve the issue by using a steering committee. The steering committee brings together three individuals from each organization as well as one individual from outside both organizations to mediate. The issue is discussed and if disagreement still exists it is voted on in order to resolve the conflict. This process is depicted in Figure 6. Up to the time of the study it had not been necessary for the committee to be used to formally resolve a conflict. Instead, it had been used as a communication tool to ensure that the agreement

was adhered to as designed. The steering committee is another example of a problem-solving process that was considered a priority by leaders of both organizations.

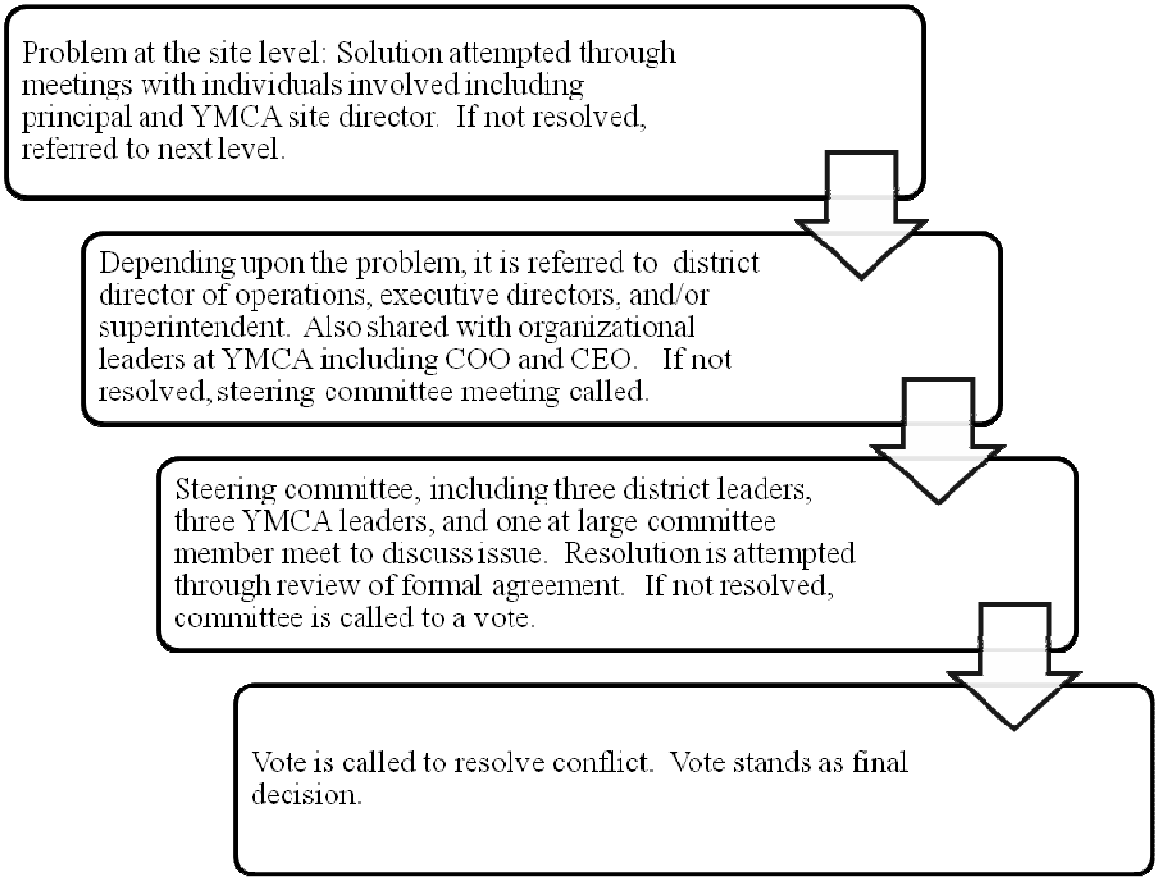

Figure 6. RSD/YMCA Problem Solving Process

Not only was it repeatedly mentioned that it was important for communication to be open at the site level, several interview subjects reported that this communication was modeled at the highest levels of the organizations. The leaders of both organizations must show individuals within their respective organizations the kind of communication they wish to see. As Michael Gibson, the director of operations in RSD at the time of the

collaboration said, “The CEOs of both organizations really need to communicate well with each other” [M. Gibson, April 22, 2010]. As a model of this strong communication, the leaders of both organizations in this case presented information about the project together to staff and community groups. This displayed a unified vision for the collaboration and showed stakeholders that there was strong communication as well as a sense of trust and agreement among leaders.

Melaville and Blank (1991) indicate that in collaborative relationships, “communication is the bedrock strategy vital to their success” (p. 23). This was consistent with the findings of this study. When asked what he would tell other agencies were the most important aspects of collaboration, Mr. Smith responded, “I think the major issue is communication” [K. Smith, May 10, 2010]. Every person interviewed spoke in depth about the importance of communication in the collaborative process. Intraorganizational communication, interorganizational communication, and communicating with the community was a priority and was imperative in order to market the project to the community, garner a supportive climate, and gain community support. Strong communication in the planning stages helped to avoid future problems from occurring. When problems did occur during the creation or implementation stages, strong communication allowed the two organizations to resolve issues quickly and efficiently.

People

Research Question 3:
What roles did individuals at various levels in each organization play in the collaboration?

The importance of relationship building as a key role for individuals in the collaboration was a theme that emerged from the data in this study. This aligned with the importance of people described by Melaville and Blank (1991). Unlike Melaville and Blank (1991), however, who focused on the importance of people and relationships at the highest level of the organization, this study found that relationships were important among individuals at all levels of the collaboration. The data indicate that while the people involved are crucial to the collaboration, it is the relationship between the people that is most important. Regardless of the competence, experience, or knowledge of the organizational leader, if that leader has an inability to build relationships and connect with others, a collaboration will struggle to reach its potential.

The YMCA organization values the importance of relationships to such an extent that the building and maintaining of relationships is one of the goals the YMCA executive committee has placed on its CEO, Mr. Smith. Mr. Smith stated that when a new community leader begins working in or around Riverton he attempts to connect with them as soon as possible. "I make a point of trying to develop some sort of relationship so that when you have an issue, if there's a problem, it's not a matter of 'Hi…I'm the President of the Y. I'd like to meet and talk about this.' It's already been established," [K. Smith, May 10, 2010].

Previously, individuals involved in the project were described as responsible for communicating, marketing, and advocating for the project. In addition to these roles, individuals involved were expected to be relationship builders and maintainers. The people in this study were important because many had a personal relationship with others in the partnership. These relationships paved the way to open and honest lines of communication. In cases where there was not a personal relationship, strong working relationships were formed that served to move the collaboration forward.

"I think the personal relationships are the only reason it happened," recalled Superintendent Roberts [L. Roberts, April 9, 2010]. This statement summarizes the thoughts shared by many organizational leaders in this case. Principal Arp said, "I'm trying to think of an adjective that would describe [relationships] fairly because it was critical. It was paramount," [T. Arp, April 22, 2010]. It was indicated that had relationships faltered, there was the potential for the entire project to collapse. Relationships impacted how the community perceived the collaboration. They also impacted the planning and problem-solving process. In this case, the data reflected that relationships were built, developed and/or maintained at the site level as well as at the highest level of leadership in the respective organizations.

As stated in the Chronology of Events in Table 7, the idea of collaborating began when Mr. Smith, Superintendent Roberts, and Principal Chandler, who all had personal relationships with one another, were having informal conversations regarding concerns they each had with their struggle to build or maintain a facility. It was the relationship

between leaders that led to the communication of these needs. The communication of needs led to the collaboration itself.

The collaboration was able to move forward in part because the two organizational leaders, Mr. Smith and Superintendent Roberts, not only had a professional investment in making the collaboration work, but they also had a longstanding personal investment in their relationship with each other. This previous relationship created an environment of trust. "If he said he could do something or he would do something," recalled Superintendent Roberts, "I never thought about it again because I knew that it would take place. And I knew that if there were any issues, he would immediately be up front about what was there. If he had a concern, he would ask about it," [L. Roberts, March 15, 2010].

Before the collaboration began, Principal Chandler also had a relationship with the YMCA, both as a general member and board member. These relationships became the cornerstone of the collaboration. Principal Carlysle indicated that if Principal Chandler and Mr. Smith had not built these relationships and forged these bonds early on, the entire project might not have taken place. These leaders were able to sit down and discuss the vision they had and how they could meet their respective needs. Once the leaders of each organization settled on a vision for the collaboration, they turned toward relationships they had with members of the community.

Melaville and Blank (1991) envisioned leaders as the most important people within a collaboration. While this study affirmed that the leaders are definitely important to the collaboration, stakeholder involvement is vital as well. When asked about one

thing that would be done differently if given the chance to pursue the collaboration again, Principal Chandler said, “I think you include the stakeholders right away; whereas for us it was a vision and then we marketed it. I would include the community stakeholders right away in that vision,” [C. Chandler, April 9, 2010]. This aligns with Melaville and Blank’s (1991) framework, which indicates that collaborating organizations should “engage staff who will deliver services in joint planning from the earliest possible moment; keep all other staff well-informed” (p. 23). Mobilizing people in the community proved to be an important aspect of this project.

Another benefit of strong personal relationships is the new ideas and programs that can result when individuals from different organizations are able to have open and trusting discussions. In one case, the head basketball coach at one of the high schools had a positive working relationship with the YMCA site director at his school. Through this relationship, a basketball program was built that ran on Saturdays throughout the fall, winter, and spring. This program may not have existed if the school district or YMCA tried to create the program themselves. It occurred because individuals from both organizations saw potential for both groups, were able to brainstorm ideas to make it work, and were willing to commit their respective resources in pushing it forward.

The final aspect of the collaboration in which relationships played an important role was within the area of site management. In the initial planning stages Mr. Jacobs worked with the associate principal of Washington High School. In regard to his relationship with the associate principal he said, “there’s nothing better than the confidence and the trust and the integrity of the person sitting across from you…I knew I

had that and she knew she had that with me so it worked extremely well" [P. Jacobs, March 15, 2010]. At each high school the principal worked with the YMCA site director in scheduling activities, solving problems and managing the facilities. The individuals interviewed indicated that these relationships have been consistently strong.

With so great an importance placed on the roles of people within the organization and the relationships that develop, it becomes a challenge when staff changes. Throughout the interviews, staff changes, particularly from within the school district, emerged as an obstacle in the collaboration. One reason staff changes can create challenges is that the leaders who remain must rebuild relationships with new leaders and educate them on the history of the collaboration. A second reason is that new leaders may not have the same investment in the collaboration or may outright disagree with the philosophy behind the entire project. A formal written agreement intends to ensure the collaboration is maintained despite changing staff. Similar to the importance of the formal agreement and its ability to exist outside of the changing community climate, the formal agreement must also outlive and exist outside of the individuals who first created and developed the collaboration. "People over time change," Mr. Jacobs stated,

> when this existed it was now three superintendents ago…[a high school administrator] passed away not long after the agreement was signed. The principal at that school is gone and right on down the line. The principal at Adams originally is gone, the athletic directors are gone. [P. Jacobs, March 15, 2010]

The agreement is a document stating that if people involved in the organizations change, the collaboration will remain, and while a leader could choose to terminate the partnership, there are financial consequences if s/he does so.

Restructuring and new hires have put new individuals in leadership at the YMCA sites as well. Principal Carlysle, the principal of Washington High School at the time of this study, indicated "the directors that are there now have no perspective as to how much the facility was used by our student body eight years ago when it opened" [E. Carlysle, March 19, 2010]. Knowing the history of the collaboration helps individuals gain a better understanding of what has been tried before. It answers the question, "Where have we been?" which in turn leads to a clearer answer to the question, "Where are we going?" Staff turnover is an inevitable consequence of time that necessitates an increased focus on relationships, communication and a clear written agreement.

As has been indicated above, relationships form the foundation of this collaboration. Because of the continued success of the collaboration, other organizations and groups travel to Riverton to tour the facilities and speak to the organizational leaders. Mr. Smith stated,

> you can tell the ones that are going to be successful are the ones that are…friends, colleagues. Relationships are built. The one's that come in and they're introducing themselves to one another while at the same time introducing themselves to us, you know they're going to have a heck of a time making that work. [K. Smith, May 10, 2010]

Mr. Smith went on to describe the importance of relationships in all aspects of collaboration, "I think the major issue is communication and relationship maintenance…Development going in, enhancement going through, and maintenance going out are extremely important" [K. Smith, May 10, 2010].

Multiple Leaders Versus a Single Leader

The role of people in leadership positions is one area of difference between Melaville and Blank's (1991) framework and the data from this case study. In this case,

there was an overall school district leader (Superintendent Roberts) and an overall YMCA leader (Mr. Smith). These were the major leaders and decision makers, but in addition to these individuals, there were other active leaders in each organization. The collaborating organizations did not choose a single leader to oversee the project. Melaville and Blank (1991) indicate it is important to have one strong leader guide the entire process in order to avoid "the advancement of any single institution's agenda" (p. 25). The framework indicates it is possible for an individual from one of the collaborating agencies to take on this leadership role, but this individual must be "especially sensitive to the perceived conflicts of interest, real or imagined, that can occur" (p. 25). As an alternative to an overall leader from one of the collaborating agencies, Melaville and Blank (1991) describe the possibility of utilizing an established member of the community as a neutral leader. This neutral leader is similar to the role played by the at-large member of the steering committee as described in the 28E Shared-Use Agreement. However, in this case, the at-large member was not initially intended to play the role of overall collaboration leader. The 28E agreement indicates that the intent of the steering committee is predominantly to resolve conflicts and facilitate communication. The neutral leader model was absent in this case.

The absence of the neutral leader may have actually been beneficial to the creation of this particular case of collaboration as the partnership was driven by strong leaders from both organizations, who happened to work extremely well as a team. However, to ensure the collaboration continues to thrive over the course of the term of

the agreement, a neutral leader becomes more important. As new leaders come into power, the neutral leader ensures that the partnership is sustained equitably.

This case differed in the leadership model used, relying on shared leadership from both organizations rather than on a single leader to oversee the project. There was also a difference in the roles of people. While Melaville and Blank's (1991) framework focused primarily on the roles of leaders, the data from this study indicated a focus on the importance of people at all levels of the project and their ability to build relationships with one another.

Policies

Research Question 4: Which governing policies of the organization affected the development and implementation of the collaboration?

The YMCA and Riverton School District each had its own governing policies solidly in place at the onset of this collaboration. Leaders had to make an attempt to understand their respective policies in order to move the project forward. Major policies addressed dealt with school safety and security and the scheduling of facilities. This section will describe these policies and how they were addressed. It will also describe the formal written agreement that became the guiding policy for the collaboration.

Safety and Security

A major challenge to overcome was how to deal with the safety and security of the student body. Because of the intermingling of community members and students in a public school, special measures were taken to ensure the safety of all. One measure taken was to ensure all students in the school wear a specific T-shirt during their physical

education class that identified them as students. It was also required that the physical education teacher stay within eye contact of students at all times. During these physical education classes, students used a separate locker room than the general public so that there was not contact between the two groups in locker rooms or other unsupervised areas during allotted times. A second measure put into place was the unification of emergency drills between the school and the YMCA. This was a challenge and is an example of a governing policy that affected the collaboration. Mr. Jacobs indicated,

> think of your own perspective—just how you handle security in a school district or in a school building—and now you've got to marry a school district's policies and YMCA policies in those areas. You have to consider how you're going to coordinate those efforts. [P. Jacobs, March 15, 2010]

The YMCA decided it would be in the best interest of the partnership to hold the same drills and other emergency procedures as the students. Therefore, when the school facility was conducting a crisis drill that called for all students to remain in the building with doors locked, the YMCA conducted the same drill. Adults in the YMCA often became upset during these drills because they were told they must remain inside the building during the drill. The same situation applied to fire drills. When the students evacuated the building, so too did individuals using the YMCA facility.

Scheduling

Another area of concern was the equitable sharing and scheduling of the facilities as it related to the policies that previously existed within the organizations. In response to RQ4, both organizations learned they had differing governing policies that influenced the collaboration. For example, one high school operated on a block schedule. YMCA leaders stated that it took many conversations before they were able to fully understand

how the block schedule worked. Had they not had these conversations, it would have impeded their ability to build a schedule for sharing the facility that worked for both the YMCA and the school district.

The scheduling of swimming pool use created a challenge for both entities. One specific issue that arose was in regard to a community swim team. While not a formal school district program, the community swim team believed that since most participants were RSD students that it was a feeder for the school district. The formal agreement indicated that district programs did not have to pay for use of the YMCA facility, therefore they did not believe they should have to pay. However, since the team was not technically a district program, the YMCA charged the team a fee for use of the facility. The team did not agree with this decision and eventually chose to use a different swimming pool not associated with the YMCA to avoid having to pay the fee. With issues like these, it is imperative that a formal agreement can be referenced to resolve conflicts.

The formal agreement is vital to the collaboration. The previous three prominent aspects of collaboration in this case—climate, processes, and people—all had potentially changing elements. The community and organizational climate could become more positive or negative. The processes of communication could vary depending upon the person in charge at the time and their preferred style of communication. The people in positions of leadership and throughout each organization will change. The written agreement is intended to exist outside the internal and external changes that could occur. The 28E Shared-Use Agreement was written as a 25-year agreement with a 25-year

renewal option at the end of the initial 25 years. Throughout that time, the individuals who originally developed and created the collaboration will have most likely moved on. Therefore, the data indicated that the written agreement itself must be able to last over time and beyond the influence of the individuals who happened to be in power at the time of origination. The agreement itself becomes the foundation of the collaboration, rather than the people. Regardless of the community support, effective communication and strong personal relationships, if the written agreement itself is not strong, the collaboration has a strong likelihood of failure. The agreement is the document that is the foundation of the collaboration and guarantees the longevity of the partnership.

Melaville and Blank (1991) state that an agreement needs to indicate the sharing of resources, and the availability of those resources between organizations determines the permanence of the collaboration and the size of the population effected (p. 31). However, the formal written agreement is less important in Melaville and Blank's (1991) framework: "the process of developing a formal document enables participants to anticipate problems, find solutions, move toward specific goals and objectives, and minimize later misunderstandings" (p. 34). While this is similar to the 28E described in this study, Melaville and Blank (1991) indicate the agreement should be "subject to change and renegotiation as need dictates" (p. 34). The agreement in this study was written as a 25-year agreement, so working to make it as clear and thorough at the initial drafting was extremely important.

A summary of the two agreements (between the YMCA and Washington High School and Adams High School) is provided in the next section. (See Appendix C and D

for full copies of the respective agreements.) Following these descriptions, a key factor indicated in the data will be described: mutual beneficiality.

Summary of the Formal Agreement

Washington High School. On September 15, 2000, the Washington High School agreement was completed. It was signed by the President of the School Board, the School Board Secretary, the CEO of the YMCA and the Chair of the YMCA Board. Much of the agreement describes general legal matters that are consistent with the Adams High agreement. The major areas summarized below are the operating relationship, budget, steering committee responsibilities and consequences of termination prior to the end of the term.

At Washington High School, the district used LOSST funds to build a new recreation facility. Using these funds was possible because the tax policy stated that LOSST revenues were allowed to be used for school "construction…remodeling of schoolhouses…gyms [and] fieldhouses" (Statewide School Infrastructure Sales and Services Tax, 2010). Specifications regarding how LOSST funds could be used was an example of a governing policy that affected the development of the collaboration as the money could only be used in ways defined in the tax code. The facility included a swimming pool, gymnasium, locker room, racquetball courts, multi-purpose room and weight room. The general terms of the agreement indicate that while the district paid for the majority of the building of the facility, the YMCA agreed to operate it. The agreement does indicate that the YMCA will also make a significant financial contribution to the building of the facility of at least 500,000 dollars. The YMCA is

responsible for the maintenance of the facility and the district is responsible for any major repairs that are required over time. The YMCA is financially responsible for utilities and maintenance of the recreational facility including plumbing, toilet facilities, water, heat and air conditioning. The school district is responsible for repair, replacement and maintenance of the roof and exterior of the facility. In addition, the district is responsible for the repair or replacement (but not maintenance) of heating, ventilation, air conditioning, plumbing, sewer and electrical systems.

The term of the initial agreement is 25 years after which time the agreement may be extended for an additional term of 25 years at the option of the YMCA. Throughout the time of the agreement, the YMCA agreed to pay an annual rent of one dollar. The agreement indicates the YMCA and Washington High School will jointly establish the scheduling, supervision, recording and reporting for program activities in the new facility. The same section of the agreement goes on to say the two entities will schedule the facilities so as to establish and maintain a balance between the need of the YMCA to operate the facilities as a YMCA membership-based facility (which is financially self-sustaining) and Washington High School's need to schedule the facility based on the educational and extracurricular needs of its students.

This indicates the foundational need for both organizations and provides an example of the governing policies of each organization that affected the collaboration. The YMCA has policies in place requiring it to make enough revenue with the facility as a YMCA to continue to sustain the operations of the facility. The school district has policies in place requiring it to adequately utilize the facility based on the needs of its

students. While both needs are important, if the YMCA cannot make sufficient revenue to fund the operations and maintenance of the facility, then the agreement will fail. For this reason, the agreement indicates a collaborative policy that states that the ability for the YMCA to garner revenue takes priority over the scheduling needs of the school. While the revenue requirements of the YMCA have priority over the school's schedule, the agreement indicates that the YMCA will make the facilities available at reasonable times to Washington High School for organized student activities. However it also makes clear that while the YMCA will make its best effort to accommodate the school, scheduling opportunities shall be made available after YMCA programming needs have been met.

When conflicts arise regarding any of the issues indicated in the agreement, the steering committee, as described in the agreement, resolves the conflict. The steering committee is composed of three individuals determined by the superintendent of the school district, three individuals determined by the CEO of the YMCA, and one person at large who serves a one-year term and who is selected by a majority of the other six members. The steering committee resolves disputes with a majority vote. The agreement also indicates that the steering committee meets regularly to facilitate communication and cooperation between the two organizations in the performance of both parties. During interviews, some of the leaders indicated that the steering committee has been underutilized. The 28E agreement indicates that the steering committee should meet "regularly." Since the definition of "regularly" is not clearly defined, some leaders reported the committee rarely meets and that it has lost some of its influence.

RQ4 asks about the governing policies of the organization and how those policies affected the collaboration. In this instance, the steering committee intends to ensure the policies set forth in the agreement are being followed. The steering committee intends to ensure that the people involved communicate through a formal process that ensures the needs of both agencies are satisfied fairly.

The final major area described in the agreement is the consequences of terminating the agreement by either party prior to the end of the term. In the case of termination, sole possession of the facility returns to the school district and the YMCA is required to vacate. If the school district terminates the agreement before the end of the term, it is required to pay the YMCA all the capital contributions it made to the project (in this case, at least 500,000 dollars as described above). If the YMCA terminates the agreement before the end of the term, the YMCA will pay the district an amount equal to the operating expenses for the previous 18 months.

Adams High School. The Adams High School shared-use agreement was signed on April 8, 2002. It was signed by individuals in the same positions as those from the Washington agreement; however, the people in those positions all changed except for Mr. Smith, the CEO of the YMCA. The majority of the agreement is similar to the Washington High School agreement. The major difference is that the entire recreation facility was newly constructed at Washington High School. At Adams High School, all recreational facilities were new except a pool that already existed and was now to be operated by the YMCA. The agreement had to be adjusted to accommodate for this difference, especially as it pertains to the cost of maintaining the pool and the pool's

surrounding area. For example, since the pool already existed, it was connected to a power source already attributed to Adams High School; therefore, the partners had to agree on a way for the YMCA to pay for this cost. In this case, the two agencies hired engineers to assess the estimated energy costs of the pool. The YMCA then agreed to pay Adams High School that amount. In turn, Adams High School continued to pay for the energy associated with the swimming pool with those dollars.

Mutual Beneficiality. Repeatedly throughout the interviews, individuals referred to the importance of the agreement being mutually beneficial. Principal Cartwright, the principal of Adams High School at the time of this study, stated, "any successful collaboration is going to be mutually beneficial to all of the parties involved" [S. Cartwright, March 11, 2010]. Mr. Jacobs, The YMCA COO said, "what's good for us needs to be good for them" [P. Jacobs, March 15, 2010]. Walter Gilbert, the superintendent at the time of this study, who took the place of Superintendent Roberts, indicated the importance that the "ultimate outcome meets both the needs of the school district, the needs of the Y and the needs of the community" [W. Gilbert, March 25, 2010]. The purpose of the mutually beneficial aspect of the collaboration goes beyond a sense of merely being a good partner; rather, it has a more practical purpose: avoiding future legal repercussions. Mr. Jacobs referred to a comment by a lawyer who helped to solidify the agreement. "If the agreement is not good for both parties then it is going to wind up in court" [P. Jacobs, March 15, 2010]. Although both high schools and the YMCA had different resources to offer, both organizations had to feel their needs were being met fairly. In this case, the resources provided to each high school were different

because the needs at each location were different. Also, the YMCA and the district were having needs met in very different ways. Both groups were gaining access to a new facility but were responsible for different aspects of the project. Both groups did not need to provide equal resources, but both groups had to provide equitable resources. That is, the two organizations had to feel that what each put in, although different, was of equal value. For example, while the district initially invested more money into the building of the facilities, they knew it would pay off over the term of the agreement as the YMCA paid for the operations.

All parties involved in this collaboration indicated that they understood the importance of a mutually beneficial agreement to the long term success of the collaboration. When referencing the agreement, the term "win-win" was used 13 times throughout the interviews by five different subjects. Most often the term was referencing the win for the YMCA and the school district, but this was not always the case. Due to the nature of the organizations involved, the win was not only for the organizations, but for other groups as well. Mr. Jacobs referred to the collaboration as a "win-win-win." There was a win from "the school district perspective, the Y perspective and the community perspective as well" [P. Jacobs, March 15, 2010]. Principal Arp stated that it is a "win for the kids, for the community, for the tax payers" [T. Arp, April 22, 2010].

The governing policies of each organization provided challenges for the collaboration. In this case, student safety and security were top priorities. The scheduling of facility use to meet the policies of each organization was also important. The 28E Shared-Use Agreement is one tool used to bridge the governing policies of the

two organizations. The agreement is the foundational policy that will outlive the individuals that created and implemented the initial collaboration and for this reason is of the utmost importance.

Resources

Research Question 5:
Did the availability of resources impact the collaboration?
If so, how?

The availability of resources was the motivating factor driving the collaboration. It was the need for resources that led organizational leaders to seek each other out in order to satisfy the needs of their respective organizations.

In Riverton there were two collaborations that took place, one at each high school. The two sites had an impact on the collaboration as it increased the number of resources that could be shared and the population that could be effected. The size and scope of the collaboration allowed for a greater community impact.

The interview subjects indicated that they believed the first project was a success and that success led to the second collaboration. Leaders indicated that the second project was much easier to "sell" to the community because they were able to point to the collaboration at Washington to show the community what the second venture could look like. "You look at what was accomplished at Washington," Principal Carlysle stated, "and then it was duplicated at Adams…so it can happen and I think it's just a matter of making sure that people see that everybody wins when we work together" [E. Carlysle, March 19, 2010]. When the community sees the potential in working together, any

remaining negative perception begins to change and future collaborations become possible.

While the availability of resources created many opportunities for collaboration, if done poorly it could also have had a negative impact. If the first project was looked at as a failure, or if there were problems left unresolved, leaders indicated it would have been much more difficult to move forward with the second project.

While the collaboration increased the resources available to each organization, the two still had to work together to find an efficient and equitable way to share those resources. The shared-use agreement was the document that intended to ensure that the resources were shared and made available to each organization. As previously mentioned, scheduling was a challenge that had to be overcome in order to share resources. Since each site had different needs, both facilities had to be addressed individually. For example, at Washington High School the pool was new to both organizations so scheduling, initially coordinated between the associate principal of the high school and Mr. Jacobs, was new to both entities and both were more likely satisfied with whatever access was agreed upon. It was a greater challenge at Adams High School because that site already had a swimming pool that the school district could previously use whenever it wanted. With the YMCA taking over the pool, the district had to adjust to the reality that use of the pool would have to be scheduled well in advance. The YMCA also had to adjust their schedule for pool use during the times in which students needed access. As the principal of Adams High School, Ms. Cartwright, indicated, “if there’s a pool here, we have an obligation to make sure our kids are in it” [S. Cartwright,

March 11, 2010]. She went on to say that YMCA members have been upset about the pool being unavailable when they would like to swim in the morning.

While the sharing of resources created challenges, the availability of resources was the driving need for this collaboration. The two organizations had to work together to ensure both organizations felt their needs were being met fairly.

Summary of Analysis

This chapter described the five emergent themes of this study and the relationships between those variables and Melaville and Blank's Five Variables Shaping Interagency Partnerships (1991). The analysis found that the five themes of this study were embedded, in varying degrees, within Melaville and Blank's (1991) variables.

Melaville and Blank's (1991) variable of *climate* was closely related to the theme of *community* in this study. The social and political climate had a great impact on this collaboration. The economic growth in the community leading up to the collaboration led to an attitude of enthusiasm that enabled the collaboration to move forward. At the time the prior history of collaborative projects shaped the political landscape in the case. A previously failed attempt at collaboration forced organizational leaders to move cautiously and be sure to communicate clearly and effectively with community members in order to ensure that this project did not fail as well. The previously failed project allowed for valuable planning time for the organizational leaders. Organizational leaders also had to address the climate within their organizations. Negativity among staff regarding the idea of collaboration had to be addressed and was done so through thorough communication.

The theme of *communication* that emerged from this study was related to Melaville and Blank's (1991) variable of *processes*. The interview subjects described three facets of communication: intraorganizational, interorganizational, and organization/community. Three purposes of communication were also described: marketing the project to the community, avoiding problems in the planning stages, and resolving problems in the implementation stages. The interview subjects described the steering committee as a formal communication and problem-solving process. Communication was a crucial aspect of this case and the ability to effectively communicate is tied to Melaville and Blank's (1991) third variable: people.

The variable of *people* is related to the theme of *relationships* that emerged from the data; however, there were some differences in this area. The major roles of individuals within this case were that of relationship builder and communicator. The importance of relationships permeated almost all aspects of this case. This case was founded on informal relationships between friends that developed into a professional collaboration between organizations. A weakness within this collaboration was that there was a lack of a formalized communication and relationship maintenance structure that ensured communication continued once the original collaborators moved on. A difference in this study is in the leadership model used. Melaville and Blank's (1991) recommend a neutral leader to oversee the project. This collaboration did not have one neutral leader, but was based on the vision of the respective leaders of each organization.

The variable of *policies* was addressed through the interview subjects' references to the *formal agreement*. Both the school district and the YMCA had their own

governing policies and the formal agreement was used as the bridge that connected the two. The formal agreement was also the key to ensure the longevity of the partnership. The agreement is the contractual document that ensures that despite changes in community climate, leadership, and other changes, the collaboration will continue. The formal agreement addresses the areas of school safety and security as well as providing a framework for scheduling the shared facility.

The *formal agreement* also addresses what resources would be available and how those resources would impact the collaboration. This is in response to Melaville and Blank's (1991) fifth variable: *resources*. This collaboration was driven by the need for more resources by both organizations and the lack of necessary funding to build or maintain those resources. The determination to satisfy the need for more resources led to the eventual creation of the formal agreement. The theme of *determination* is the one theme that emerged in this study that was not specifically addressed in Melaville and Blank's framework. However, determination permeated all aspects of this study. Interview subjects exhibited a determination to assess and reshape the community climate, to build and maintain relationships, to communicate, and to create and implement a formal agreement that equitably shared organizational resources. Determination was an underlying factor throughout the whole process.

The next chapter will provide a synthesis of the five themes that emerged in this study, Melaville and Blank's (1991) five variables, and the collaboration literature described in Chapter Two. This synthesis will be presented in the form of five steps practitioners can take to create an enduring school/community collaboration, specifically

as it relates to the sharing of a facility. These steps intend to assist educators and other community leaders who are considering collaboration as a strategy to meet their organizational needs.

CHAPTER V: STUDY IMPLICATIONS

Introduction

Public schools are beginning to realize that collaboration is an effective strategy to meet the needs of the students they serve. When schools share a facility with a community-based organization, the school not only saves costs in regard to facility maintenance and operations, but potentially improves services to their student population. Community agencies such as local health care providers, YMCAs, and other social service agencies provide students services that satisfy basic needs—some of these services include medical, vision, and dental care. The satisfaction of these basic needs allow students to perform better in school. Other community organizations provide before- and after-school programming, many of which include transportation that assist working parents who are concerned about the supervision of their children outside the school day.

The Harlem Children's Zone in New York City is an example of the collaborative mindset in action. The Zone, referred to in Chapter One, implements a collaboration of educational, social, and medical services. "It meshes those services into an interlocking web, and then it drops that web over an entire neighborhood...The objective is to create a safety net woven so tightly that children in the neighborhood just can't slip through" (Harlem Children's Zone, 2009). The Obama Administration has offered competitive grants to communities that utilize the model exemplified in Harlem, reinforcing the collaborative mindset and placing pressure on schools and community organizations to connect with one another.

At the same time, difficulties with funding have led those same organizations to discover that collaboration may be their only choice. While collaboration potentially allows a school and community organization to provide higher quality services, it may ultimately be necessary for organizational survival.

Leaders are in need of a framework that can take them, step by step, through the collaborative process, particularly as it relates to facility-sharing. While Melaville and Blank's (1991) framework presents five variables that shape interagency partnerships, these variables indicate only what should be present in an effective collaboration. What is absent are any actionable steps a practitioner should take in order to move into and through the collaborative process. This chapter will provide these action steps through a new framework for collaboration: The Five Steps to an Enduring School/Community Collaboration. Within the description of each of these steps, examples will be provided of how the five steps could look in practice as demonstrated by the Riverton School District and YMCA collaborative project. This analysis also provides an opportunity to demonstrate where the Riverton School District and YMCA could have done things differently in their collaboration. While this framework is primarily intended as a resource for educational administrators considering a facility-sharing partnership, the framework is also applicable to other forms of interorganizational collaborations. After the description of the framework, suggestions will be made for further research and concluding remarks will be presented.

Limitations of Findings

The framework presented is based in part from the findings of this case study. As described in the methodology of this study, there are some limitations to case study research. The greatest limitation is that the case method cannot establish generalizability of findings. Therefore, the findings of a case study cannot immediately be applied to all other cases. In part this is due to the fact that each case has confounding variables that cannot be controlled. Another reason case study findings are not generalizable is because the exposure the researcher has to the case and individuals involved inevitably biases the findings. A final limitation of this case is that organizational leaders were the focus, so people in informal leadership positions were not interviewed. Therefore, the data from the study represent only the perspective of the top tier of organizational leadership. For these reasons the framework presented in this chapter is the product of a synthesis of the data from this case, Melaville and Blank's Five Variables Shaping Interagency Partnerships (1991), and the review of relevant literature.

Regardless of the various data sources used in the creation of the following model, it is still based in part on a case study and therefore cannot be guaranteed as a viable model in a variety of contexts. Rather, this is intended to be a summary and is to be used only as a proposed guide for future practitioners interested in exploring the qualities of enduring school/community collaborations.

The Five Steps to an Enduring School/Community Collaboration

The Five Steps to an Enduring School/Community Collaboration are the result of the synthesis of the literature described in Chapter Two, Melaville and Blank's Five

Principles Shaping Interagency Partnerships (1991), and the results of this case study. The use of the term *enduring* within the title of the framework was intentionally chosen as the framework intends to provide practitioners a model that will create a facility partnership that will last over time (as defined by the collaborative agreement), rather than work for only for a short-term project. However, this is not to say that there is not applicability for short-term projects as well.

The framework provides five general steps. The use of a few general components provides a greater chance of application for organizations across sectors and in a variety of situations. This is opposed to creating a more exhaustive set of factors that could become more exclusive and contingent upon certain factors that are only applicable to a few organizations. As previously indicated, case studies are not generalizable; therefore, the steps below are to be used as a guiding tool. They are not intended to be used as an absolute guarantee to create a successful collaboration. The Five Steps to an Enduring School/Community Collaboration are depicted in Figure 7 and are the focus of the rest of this chapter.

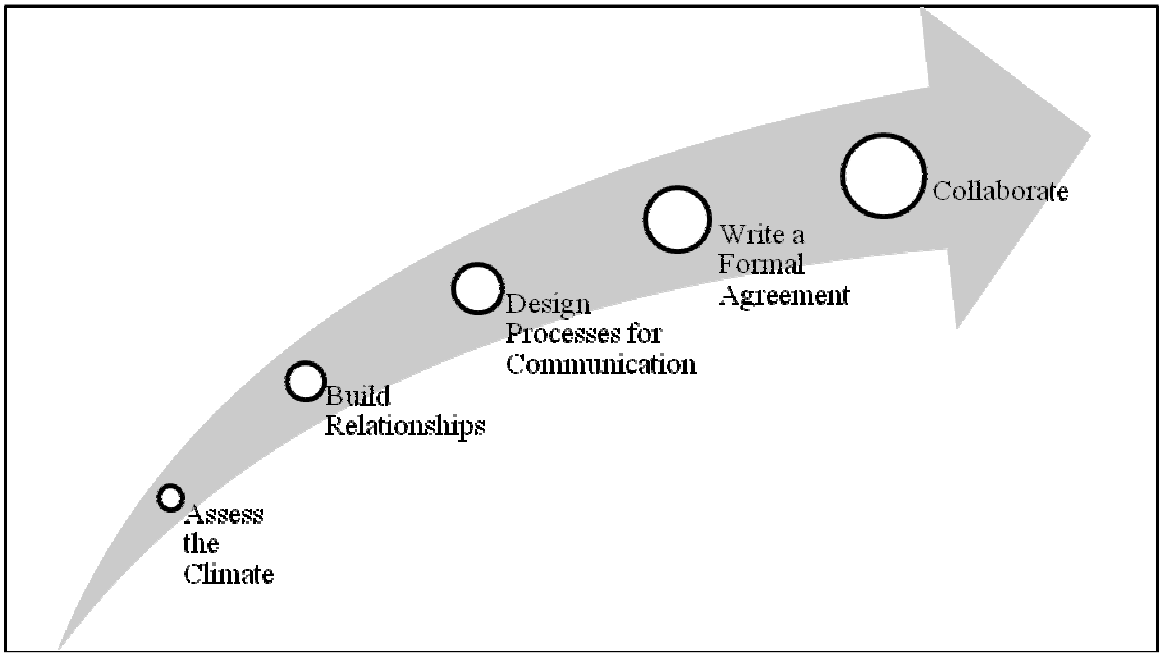

Figure 7. Five Steps to an Enduring School/Community Collaboration

Step One: Assess the Climate

The first step school districts should consider in order to create an enduring collaboration is to assess the political, economic, and social climate both within the organization and within the community. It is important to understand these three factors as they propel a collaboration into fruition (Austin, 2000). The climate assessment will help to determine if a collaboration would be beneficial, and if so, how to publicize it within the organization and community. It will also provide the foundation for how the development and implementation of the partnership proceeds.

Organizational Climate

An analysis of mission and vision statements is an important aspect of the climate assessment. While these statements do not have to be identical, they should have complementary aspects. For example, as shown in Table 7, the missions of each of the organizations in this study are based on building and enhancing the abilities of an individual. The RSD uses the language "enhance…abilities" while the YMCA uses "building healthy…minds." There are also similarities in the comprehensive nature of their missions. The RSD includes the importance of a "diverse community" while the YMCA ends its statement with "for all." The vision statement of each organization is also similar, both painting a picture of "strong communities" and a "global society" in addition to statements that include students, parents, staff, families, and communities. These statements indicate a highly conducive environment for a partnership.

Table 8

Mission and Vision Statement Comparison: Riverton School District and Riverton YMCA

Organization	Mission Statement	Vision Statement
Riverton School District	Enhance each student's abilities by providing a quality education enhanced by our diverse community.	Education that challenges conventional thinking, prepares all students to compete in a global society, and inspires our students, parents, staff, and community to answer the question, "What if?"
Riverton YMCA	To put Judeo-Christian principles into practice through programs that build healthy spirit, mind, and body for all.	We build strong kids, strong families and strong communities.

If it is determined after an examination of the respective missions and visions that the two organizations are compatible for collaboration, the organizational climate must then be considered.

The leadership of an organization must have an accurate assessment of the current organizational climate before making a change that will impact the future climate. The attitude of the staff is a major component of organizational climate and the leadership of the organization must have a good understanding of how the staff might react to a potentially major change. The partnership could have an impact on the responsibilities of the staff and could involve staff members learning to work with new people in the partnering organization. This could shock an organizational culture. One way to assess the attitude and perceptions of the staff is to seek out the staff members that will be affected most and assess their thoughts and insights on how the potential collaboration would work best.

It could be discovered that the staff is hesitant about the possibility of collaboration due to a fear of having to concede power, decision-making authority, or resources to another organization or individual within another organization. A collaborative project typically involves an organization having to compromise on something for the sake gaining something of equal or greater value. In the case of a public school district and nonprofit organization, the value may not be measured only in greater profits or resources, but in the value of providing greater services to their targeted population. However, if collaboration is a new concept for an organization, staff might

only focus on having to give something up and be blind to the greater services that can be provided to the community as a whole.

Much of this was exemplified in the RSD/YMCA collaboration. In order to assess the organizational climate and publicize the project to staff the leaders of the RSD and YMCA invited teachers, especially those teachers that would be working more often in the new facility, as well as other staff members to meetings where the possibility of collaboration was discussed. Teachers were given an opportunity to look at the drafts of blueprints and provide input in regard to the layout of the facility. Community members and business leaders were also part of these discussions, which provided a chance for feedback and input from a variety of groups. It was during these meetings that staff members were able to verbalize their thoughts on the collaboration, including their fear of giving up resources they previously had access to. This was particularly prevalent in the conversations with Adams High School staff who would have to concede scheduling and control of the swimming pool that was already in existence. This was a difficult change for many, and necessitated a focus on the greater purpose of the collaboration, which was to save money for both organizations and to provide greater services to all. Taking the step of inviting a variety of stakeholders to the table empowered staff and created a more positive climate moving into the collaboration.

Proceeding with a collaboration without the support of staff could create a potentially negative climate that could lead to a decrease in the quality of services the employees provide. Once leaders have assessed the organizational climate and feel it is positive, they can move on to assess the community.

Community Climate

The first step to assessing the community climate is to learn the history of the community itself and uncover the history of any similar community projects that may have taken place. The leadership must understand the general social and political climate of the community and how the community might react to the proposed project, especially if there are community dollars involved.

In the case of the RSD and YMCA, the leaders were well aware of the history of attempted projects in the community. A key factor in the failure of the previously proposed collaborative, multiple-partner project as described on page 88 was a negative political climate. However, the initial failure of that project provided opportunities for the organizational leaders to plan and create a future partnership that worked. The convergence of these conversations and the passage of another major political, economic, and social factor, the Local Option Sales and Services Tax, created fertile ground that organizational leaders were able to take advantage of to move forward with the facility collaboration. The completion of the first project at Washington High School improved the social and political climate in the community, allowing the second project to move forward.

After a thorough assessment of the organizational and political climate, it may be discovered that collaborating is not economically necessary, nor socially or politically beneficial. Entering into a legally binding, disadvantageous collaboration could lead to long-lasting damage to an organization. The economic impact is that a school district could face a dissatisfied school community, which could lead to families leaving the

district and a decrease in the student population. A decreasing student population is linked to a decrease in school district funding. The socio-political impact within the organization may occur if the staff is unhappy with the collaboration and in turn decreases the quality of services they provide. Potentially most damaging could be if the organizations find themselves in a legal battle regarding how the partnership is implemented. This could lead to a devastating economic impact for both organizations. From the community perspective, the project could be surrounded by public negativity and disappointment, creating an impact on the organization that could have a negative effect that lasts far into the future.

Assessing the political, social, and economic climate of the organization and community is vital to the collaborative process. If the climate assessment produces an outlook that does not appear conducive to collaboration, the potential partners must choose whether or not to postpone the project or abandon plans to pursue the partnership.

Step Two: Build Relationships

The next step that should be considered in order to build an enduring collaboration is to ensure that strong relationships exist. These relationships are most important among the leaders of the partnering organizations, but as the partnership moves forward and more individuals become involved, the culture of strong relationships becomes important at all levels of the organization. Relationships must be built and maintained at the site level and among the staff within each organization.

The climate assessment does not have to be complete before relationship building begins. Ideally, when the climate is right and the possibility of collaboration becomes

apparent, relationships will already exist between organizational leaders. If this is not the case, steps of intentional relationship building should be taken. Leaders should reach out to get to know individuals in the other organization as well as that organization's values and culture. If relationships are not already in existence, meetings should be scheduled with individuals in the partnering organizations. These continual meetings could lead to a strong working relationship; however, even more advantageous is the case when strong working relationships turn into strong personal relationships. While it could be beneficial to meet in a formal meeting room, a different tone is created over coffee, during lunch, at a golf course, or, in the case the RSD/YMCA, while exercising. This creates neutral ground where individuals may be more likely to speak openly and casually and get to know the motivations and values of the individual and not just the "organizational leader." Leaders will not just come to know the culture and goals of their respective organizations, but the values and motives of the individuals leading the organization. A strong relationship begets an environment of honesty and trust. An environment of honesty and trust begets a process of communication that allows a project to move forward efficiently and effectively.

In the case of the RSD and YMCA, the idea of collaboration began when a friendship already existed between the leaders of the two organizations. This friendship was not built in order to serve as a component of the collaborative process; rather, the friendship existed regardless and ultimately allowed the initial conversations about a possible project to occur. The initial conversations regarding the potential collaboration did not take place between CEO Smith, Superintendent Roberts, and Principal Chandler.

The initial conversations took place between friends exercising on adjacent treadmills. These leaders were friends first and collaborators second.

Once the initial conversations took place and the project moved forward, other relationships were built between individuals at the YMCA and each high school. Mr. Jacobs, the COO of the YMCA, referred to many conversations he had with the associate principal of Washington High School that referred to building a relationship. That relationship created an environment of trust in their conversations as they both sensed they wanted the best for the community and students. These conversations, while initially taking place in a formal meeting room, soon turned into conversations over lunch where they shared stories about their respective organizations.

Building and maintaining relationships is an expectation of the YMCA leadership and staff. The CEO and the COO of the YMCA had a strong, trusting relationship with one another that led to an environment of trust and respect within the organization. Relationships also existed between individuals at each of the school sites. School principals made repeated references to the trust and respect they had for the YMCA site directors housed at their particular school. YMCA site directors also had positive relationships with other school staff members. In one case previously mentioned, the strong relationship between the site director and the school athletic director led to a summer basketball program. These relationships were not just important for the purpose of starting the collaboration, but they also helped to maintain the partnership and led to a higher quality of service for individuals served.

It is inevitable that in an enduring collaboration, there will be issues of staff mobility. For this reason it becomes important that intentional steps are taken to build and maintain relationships among new leaders and staff of the organizations. One step that should be taken to serve this purpose is the utilization of an individual, not employed by either organization, who plays the role of relationship builder. When an individual leaves an organization, a relationship gap is created. An individual in a new position, overwhelmed by learning the many new responsibilities of his or her job, might not realize that there was previously any relationship with individuals in the other organization. For this purpose, a bridge must be built to connect the newly hired individual to the leaders of the other organization. The neutral leader should assume the relationship-building responsibilities.

Melaville and Blank (1991) describe the concept of a neutral leader as one whose purpose is to oversee the collaboration and ensure the needs of both organizations are being met equitably. While the data indicated that both the YMCA and RSD felt they were being treated fairly, it is recommended that the collaborating agencies work together to choose an individual that will assume the role of the neutral leader to guide the collaboration to fruition. This becomes even more essential when one or both organizations have a high rate of mobility in leadership positions, as is often the case in a school district.

When one organization has a high rate of mobility, relationships dissolve, trust diminishes and problems may occur. The first potential problem is that the purpose and philosophy that originally drove the collaboration into existence could be lost or

forgotten. This could create tension between the two organizations as the partnership could be looked upon as a hindrance to the partnering organizations rather than an opportunity to better serve the community. Potentially more problematic is if new leadership were to completely disagree with the idea of collaboration, therefore creating a negative environment in both organizations that could in turn impact the community. A strong relationship could diminish the chances of complete disagreement with the collaboration. Another potential problem could be that when one organization is bringing in new leadership, an imbalance of power, real or perceived, could occur between the organizations. Individuals that are in positions of new leadership could feel the leaders that have been in positions for longer periods of time are not revealing information or are otherwise taking advantage of the new leadership. This creates an obstacle that can only be overcome by time and relationship building, as facilitated by a neutral leader.

A neutral leader would be able to bridge the gap between new leadership in either organization. This person could keep in contact with both organizations and ensure that formal or informal meetings are arranged in order to restart the relationship-building process. Initially, the neutral leader would attend these meetings in which the background and history of the collaboration are provided and reviewed for all present. In addition to this s/he would be able to ensure that both organizations are treated equitably and that leaders feel communicated with in regard to the history and purpose of the collaboration.

In the case of the RSD/YMCA collaboration, the at-large steering committee member was a position written into the formal collaborative agreement. This individual

could assume the role of neutral leader. If collaborating agencies do not have the equivalent of an at-large steering committee member to assume this role, it could also be decided, with agreement from leaders of both organizations, that another community leader could assume this role. A factor to take into account is to try to find a person that is interested in assuming this role for a long period of time, perhaps over the entire term of the agreement. It would defeat the purpose of the position if the neutral leader had a high rate of mobility.

Each of the Five Steps to An Enduring Collaboration is important, but the importance of building personal relationships among participants cannot be overstated. Regardless of if an organization is intending to partner with any other organization, relationships should be built and maintained constantly. If it is decided that a collaboration is to be pursued, the ease and efficiency of moving through the process will be determined by the relationships that exist among leaders and staff of the organizations. If relationships do not exist between potential partners, it does not mean a collaboration will fail, but it may mean that the process will be more challenging. If relationships do not previously exist, intentional steps should be taken to begin the process. Formal and informal meetings should be scheduled. Conversations should take place. Trust should be built. To ensure relationships continue over time and throughout potentially changing leadership, a neutral leader should be in place that plays the role of relationship builder to bridge the relationship gap that occurs when an individual leaves an organization and is replaced by a newcomer. Solid relationships lead naturally to the third step to building an enduring collaboration: designing processes for communication.

Step Three: Design Processes for Communication

Strong relationships are the foundation of strong communication. While informal conversations may be sufficient during the initial communication process among organizational leaders, as the process continues, becomes more complex, and more individuals become involved, it is more important for clear communication processes to be in place. Informal conversations and meetings can take place throughout the process, but formal meetings should be arranged on a continual basis to ensure all key players are informed of the development of the partnership and the expectations of the individuals involved. The number and regularity of these meetings depend upon the timeline of the collaborating agencies.

These regularly scheduled meetings should first take place between the leadership of each organization. The exact leaders involved could vary depending upon the collaborative project, but should at least include the two top leaders of each organization. While these conversations are taking place, discussions should also take place between the directors at the collaborating sites. In the case of the RSD and YMCA collaboration, the CEO of the YMCA, superintendent, and principal met to clarify objectives and develop the plan. Later, the COO of the YMCA met on a regular basis with the principal and associate principal of each high school to discuss how the two partners could share a facility. These meetings were crucial to the process of scheduling the facility in a way that both organizations felt their needs were being met.

As the process continues, individuals at each site need to be aware of who they are to report to regarding questions and clarifications. Staff morale could become

negative if staff feels they are suddenly required to report to two supervisors from two different organizations with different expectations. The organizational leaders need to be clear in regard to who is responsible for what. The collaboration between the RSD and the YMCA primarily shared capital rather than human resources. Therefore, there was little confusion in regard to who supervised who. If an individual was employed by the school district, they were to report any questions or concerns to the school administration. If an individual was employed by the YMCA, they were to report issues to the YMCA site director. The school administration and YMCA site director would then communicate with one another if there were questions about facility usage.

Regularly scheduled meetings between the school administration and YMCA directors did not take place in this case. However, it is recommended that regularly scheduled meetings take place between collaborative organizations. While there may not be any pressing issues to address at each of these meetings, it would provide leaders a continued opportunity to communicate with one another about the status of the partnerships.

In the Riverton case study, issues that could not be resolved at the site level were reported to the superintendent and director of operations of the school district and the COO and CEO of the YMCA. These leaders then could choose to address the issue by way of an informal meeting or by calling a meeting of the steering committee. As previously described, the steering committee was a structure written into the formal agreement. It provided an opportunity for leaders of each organization and one neutral leader to sit down and discuss any area of concern. When necessary, the steering

committee meetings also provided a formal structure to resolve disagreements by voting on a proposed solution. The steering committee is a formal communication structure that ensured that regular, open communication took place between the leaders of each organization.

It was written into the RSD/YMCA shared-use agreement that the steering committee meet on an as-needed basis. Since there was not a regularly required meeting, the ambiguous nature of the scheduling of the meetings resulted in an under-utilization of the committee that has had a negative impact on the communication between the leadership of each organization. When new leadership joins one of the organizations, the steering committee could serve as an avenue to communicate and revisit the goals, purpose, and history of the collaboration. As stated in Chapter Four, there were some leaders who were unaware of the history and purpose of the collaboration, a fact that could impact the future of the partnership and how it is communicated to others.

Collaborating organizations should set up steering committee meetings or something similar in a structured, regularly scheduled manner. These should take place annually, in the least. For the same purpose that leaders from each site should arrange occasional meetings to keep lines of communication open, so too should organizational leaders arrange scheduled meetings to discuss the partnership.

Mr. Smith, the CEO of the YMCA, stated that “the farther away from the signing of the agreement, the more important communication becomes” [K. Smith, August 21, 2010]. Organizational leaders can ensure that communication stays strong by scheduling regular meetings, even if there are no immediate concerns to address. When leaders are

friends they may feel that regularly scheduled meetings are not as important because they satisfy the purpose of those meetings in other ways. In this case, individuals are around one another informally more often during which time they may have conversations about issues and can proactively resolve minor concerns before they become major concerns. When leadership changes, however, the relevance of such friendships to the collaboration may disappear and suddenly the ability to resolve minor issues on a regular basis disappears as well. It is for this purpose that regularly scheduled meetings should be required and written into the agreement.

Creating a formal structure for continued communication will move a partnership from a collaboration to an *enduring* collaboration. To create an enduring collaboration, organizational leaders must plan for the collaboration to outlive their involvement in the organization. If communication of the collaboration is contingent upon the personal relationship between the organizational leaders, then problems will eventually arise when one or both of those leaders are no longer involved in the organization. For this reason, it is necessary to envision a partnership that outlasts the leadership of those who created it.

Step Four: Write a Formal Agreement

The writing of a formal agreement is the next critical step that should be considered in creating an enduring collaboration. This document is essential as it will define the collaboration over time. While the political, economic, and social climate of the organization and community could fluctuate, the formal agreement ensures the agreement lasts. The individuals in positions of leadership could change, but the agreement endures. It is vital that the agreement is well-written, clear and mutually

beneficial. Melaville and Blank (1991) also agree with the importance of a formal agreement. They indicate that creating a formal document "enables participants to anticipate problems, find solutions, move toward specific goals and objectives, and minimize later misunderstandings" (p. 34).

The formal agreement should not be written until steps one through three are complete. If the climate is not thoroughly assessed, as described in step one, then partnering organizations could potentially move into a partnership that could have a negative impact on both organizations, both economically and socially. If the organizational climate is not prepared for the change, the staff morale could be negatively impacted which could in turn impact the quality of services provided. If the project moves forward in the midst of a negative community climate, organizational leaders could still be in the process of "selling" the collaboration to the community while creating the document. Because of the importance of the formal agreement, attention should not be split between garnering a positive climate and the creation of the document.

If relationships are not strong between organizational leaders, as described in step two, the chance of a formal agreement being written in a way that maximizes its potential is diminished. Organizational leaders need to trust one another, feel free to be open and honest with how they envision the collaboration, and be able to ask questions without fear of repercussion. Relationships need to be strong to ensure that expectations are clear and the document is written in a way that builds a bridge between the partnering facilities.

Finally, the agreement itself is the product of strong communication and it ensures that communication continues throughout the development and implementation of the project. Communication and problem-solving processes must be agreed upon prior to the writing of the formal agreement as the agreement becomes the unchanging, legally binding document that describes those processes. If communication is not clear, then there may be unresolved issues that will not be addressed in the agreement leading to problems in the future.

Leaders need to research whether or not there is a state document that is already available for use, as was the case in the Riverton collaboration. If not, leaders need to carefully, and with the guidance of legal professionals, craft an agreement that includes what will be shared, details of the financial agreement, the formal problem-solving process, and the consequences for early termination. The agreement should be mutually beneficial and all leaders need to feel satisfied with the result. If not, the collaboration could lead to negative, and possibly legal, consequences in the future.

A shared vision statement for the collaboration should be included in the formal agreement. This aspect was not included in the YMCA/RSD agreement. While organizational leaders from the two organizations in this case both indicated that they thought the collaboration was in the best interest of the community as well as their respective organizations, there was never a formally created vision statement or statement of purpose for the project. Melaville and Blank (1991) indicate the “partnership process must be based on a unified view of the elements of high quality service delivery and the kind of outcomes participants wish to achieve” (p. 22). The data indicated leaders had a

vision for the project, but it was never explicitly stated that both organizations had a clear, unified written statement that could be shared with stakeholders and the community.

Melaville and Blank (1991) indicate an effective shared vision has two parts: broad and practical. The broad vision expresses the need for a substantial and significant change. It can "unify, mobilize, and keep a partnership effort on course" (p. 22). It is the broad vision that is the marketing call to the community and stakeholders. The practical vision outlines the major goals and objectives the collaboration must accomplish. It requires collaborating organizations to "move beyond generalities, come to terms with the assumptions underlying their vision, and consider the accommodations that may ultimately be required" (p. 22). While the data in this study indicated the leaders of the collaboration had a vision for the outcome of the collaboration, a formally written broad and practical vision statement could provide a clarion call for community support. A shared vision statement would also provide the organizations a written reminder of the purpose behind the hard work of collaboration. The statement would serve as a tool to fight against the minutiae of planning and preparation, allowing each organization to fully realize their partnership potential. Finally, a practical vision would clarify the goals and objective to realize the broad vision.

Although the project in Riverton is far past the initial stages, the creation of a vision statement could provide an opportunity for the two organizations to meet, reassess the purpose of their partnership and evaluate where the respective organizations could improve to better serve the community.

A formal communication and problem-solving structure should also be written into the agreement. The steering committee was the structure put in place in the RSD/YMCA collaboration and it is recommended that a similar committee be written into any other agreement. The steering committee, with a requirement to meet at least on an annual basis, will allow for problems to be proactively solved and minor issues to be addressed before they become major problems. The steering committee meetings provide a chance for leadership from both organizations to meet and address new topics. The committee also allows for an at-large community member to be involved and provide a perspective to the conversation from outside of either organization. This at-large committee member could also serve as the neutral leader described in step two. When new leaders join either organization, the neutral leader could ensure that the new leader becomes educated about the partnership, the shared vision, and their role in ensuring the collaboration continues to function efficiently. The roles of the steering committee should be written into the agreement with specific instructions regarding the number and frequency of the meetings. Many of these detailed instructions were not included in the YMCA/RSD agreement, nor were they specified in the agreement as indicated by Melaville and Blank (1991). In Riverton, this led to an eventual decrease in the quantity and quality of communication between the collaborating agencies.

Another difference between Melaville and Blank's (1991) description of a formal agreement and the agreement as written in this case was that it was indicated in Melaville and Blank's (1991) framework that the agreement should be subject to change or renegotiation as necessary. This possibility for revision would allow for adjustments to

be made as needs change over time. This is in contrast to the 28E Shared-Use Agreement signed by the RSD and YMCA that is written in concrete, unchanging terms for a 25-year period of time.

It is not recommended that the formal agreement be amendable as described by Melaville and Blank (1991). The possibility of amendment presents the possibility of continued changes over time and the possible dissolution of the partnership all together. If the leaders of one of the organizations feel the partnership is no longer beneficial then they can refer to the language in the agreement regarding partnership termination. An amendable agreement leaves the partnership open to continual negotiation as desired by the organizational leader at the time. If leaders are uncomfortable with an unchanging agreement, then they can choose a shorter term of the agreement. The YMCA/RSD collaboration was written for a 25-year term, but not all organizations have to agree on this length of time.

The formal agreement is the document that will be referenced as issues arise and new individuals assume leadership roles within the organizations. The formal agreement is also the document that will be referenced if there is a legal issue and therefore must be clear and explicit in regard to the partnership and the sharing of resources. Once the formal agreement is written and signed, the partnering organizations can move to the final step, which is to collaborate.

Step Five: Collaborate

Collaborate is the final step to creating an enduring partnership. It is a step that does not signify the end of the process, but the beginning. It is not a step calling for

something new, but a call for organizational leaders to continually revisit the previous steps as the partnership moves forward. In an environment where there is a high rate of turnover, the need to collaborate and continually revisit the initial steps becomes even more important. Revising, re-evaluating, and collaborating will keep everyone informed and involved in the process as it is sustained.

Once the agreement is written and ground is broken on a new facility or on the renovation of an old facility, it is necessary to continually reassess the organizational climate as the process moves forward. Conversations should continue with staff and stakeholders to gain an understanding of their perception of the progress of the project. Questions of those who will be affected should continue to be encouraged. While the requests or suggestions of the stakeholders cannot always be accommodated, those thoughts and ideas will help organizational leaders gain an understanding of the organizational climate.

During the initial marketing of the project, presentations may have been made to community groups about the need to collaborate and the proposed project. Once the project is in development or is already implemented, leaders may choose to revisit those groups and provide an update on the status of the collaboration. This will ensure the community is kept abreast of the progress being made, in addition to the inevitable challenges that may be publicized as the project moves forward. In so doing organizational leaders can continue to assess the community climate and have an impact on reshaping the climate in a positive way.

The building of relationships should continue throughout the development and implementation of the collaboration. Personal relationships are an investment that take time and though it may be difficult to continue to find time during partnership development to maintain those relationships, it is at these times that it is most important. As challenges arise during the collaborative process it is essential for leaders to trust one another and reach out to one another in order to resolve issues in an efficient manner. Tensions may arise, but it is at this time that individuals can rely on the strength of their relationships to move through challenging situations.

During this stage, the hard work of designing processes for communication and problem solving has taken place. Now is the time to put those processes into practice. The initial construction of facilities may require regular meetings with fellow leaders—perhaps weekly if not more. Leaders should take advantage of those regularly scheduled meetings to troubleshoot problems and proactively solve any problems that could occur. The steering committee should be utilized often during the initial months and/or years of the collaboration. Local business leaders should be invited to meetings as well as the teachers and staff members who were a part of the initial conversations about scheduling and the sharing of the facility.

Communication becomes more important as time passes. As new individuals take over positions of leadership, it becomes more important to communicate with those people, sharing with them the background and purpose of the project. Relationships need to continually be built with all individuals who enter the organizations. Finally, a sense of trust should be developed so lines of communication can remain open and honest.

At this point the formal agreement has already been written, and while it should not be changed once it has been signed, it should be revisited often. Organizational leaders should review the agreement individually in order to fully understand the language and how the agreement is intended to work. Leaders should also meet together to clarify the details as the process moves forward. The steering committee meetings provide an opportunity for leaders to revisit the agreement and ask questions. "What if a person gets injured in this part of the facility? Who is responsible? What if this part of the facility is damaged? Who pays? What if there is an emergency situation in this part of the facility? How will we address it?" The majority of these questions should already have been asked during the conversations about the creation of the agreement, but new questions will arise and it is necessary to continue to revisit the agreement to discuss how problems will be solved.

Collaborate is a call to move forward. It is a call to action, regardless of the obstacles that stand in the way. Work has been done to assess and possibly reshape the organizational and community climate. Relationships have been built and maintained over time. Communication processes have been established and implemented and the formal written agreement clearly and thoroughly written. The final step is to move forward and begin the challenging but satisfying work of collaboration, all the while continually repeating initial steps along the journey.

Conclusion: The Five Steps to an Enduring Collaboration

The Five Steps to an Enduring School/Community Collaboration is the framework that will take a school district through the process of collaboration from

creation, to development, to implementation. It also provides a framework that can continually be referenced throughout the life of a partnership. At no point does the framework need to be filed away. The framework does not become obsolete over the time of a partnership. District and organizational leaders can continually refer back to the framework for the purpose of revisiting its steps and re-evaluating the status of their partnership.

The framework provides practitioners with a step-by-step guide through the collaborative process. *Assess the climate* is the first essential step and will help district and organizational leaders build their understanding of the thoughts and perceptions of a possible collaboration. The climate assessment is not a formal survey, but a philosophy of asking questions, listening to stakeholders, and presenting the idea to staff members and community groups. The climate assessment also includes an examination of the mission and vision statements of each organization so as to ensure the two organizations have a potentially beneficial partnership. The assessment influences both future decisions and how the remaining steps of the framework are carried out. If the school staff is excited about the possibility of the collaboration and community groups are positive about the possibility, the climate is conducive to a partnership.

The second step in the process, *build relationships*, is a component of the framework that ideally is already ingrained into the culture of the school district and collaborating organization. Relationships are the foundation of education as well as the foundation of educational collaboration. School district leaders must build and maintain relationships for collaboration to reach its potential. Intentional steps must be taken

between organizational leaders to connect with one another. When individuals leave and new leaders take their place, the necessity of building relationships becomes even more urgent. Strong relationships will help to ensure clear communication.

Strong communication is vital to make certain collaborative processes continue as the partnership continues. It is not enough for communication to occur informally, at the whim of the organizational leaders. A lack of communication structures leave open the possibility that as the partnership moves through time and new leaders are in place, the informal communication styles will falter. Structured, formal communication processes, such as arranged meetings between site directors and annual meetings among organizational leaders should be in place. The steering committee structure, as described in the formal agreement, provides an opportunity for these meetings to take place.

The formal agreement moves the agreement from a subjective, informal structure to an objective, formal, legally binding partnership. While a collaboration could initially be built on the trust of a few individuals, if the collaboration is to last over time, it must become a contractual agreement. The trust that exists between a few individuals will disappear when one or both of those leaders move on. While trust can be rebuilt with new leaders (and strong relationships and communication should ensure that it does), the agreement ensures that during the time of rebuilding relationships, there are no major issues that will negatively impact the partnership.

The final step of the process, *collaborate*, is the call to continue to revisit earlier steps and evaluate the partnership by closely examining those steps. The call to collaborate is the call to continue to reassess the climate of the school and community. It

is the call to continue to build relationships and to reach out and connect with others in the organization and community. It is a call to be intentional about relationship building. The call to collaborate is a reminder that the continued success of the partnership is based on the leaders' abilities to communicate with one another. It is a call to ask questions of one another and inform new leaders of the purpose and importance of the collaboration. Finally, it is a call to revisit the formal agreement to develop a deeper understanding of how the agreement is to function. As new, previously unforeseen situations occur, leaders should revisit the agreement to discuss how the situation should be addressed. The agreement should not be forgotten. The call to collaborate is a call to action. It is a call to work relentlessly to pursue the partnership objectives and realize the shared vision and potential of the collaboration.

The Five Steps to an Enduring School/Community Partnership is a framework that provides school and organizational leaders a tool to address their social and financial needs. It provides five general steps that will allow educational leaders to create a more effective school as measured by both cost-savings and the quality of services provided.

Suggestions for Further Research

While a variety of collaborative frameworks exist within the various sectors (Tuckman, 1965; Kanter, 1994; Berliner, 1997; Bailey & Koney, 2000; Melaville & Blank, 1991), only the research of Melaville and Blank (1991) and their framework, The Five Variable Shaping Interagency Partnerships, provides examples of a framework in practice. Therefore, more research should be done exploring the various theories in practice. Further case studies should be conducted on school/community partnerships

through the lens of The Five Steps to an Enduring School/Community Collaboration. In addition to the study of collaboration through this particular framework, so, too, should collaborations be studied through the lens of the other frameworks that exist in the literature. A line of contextualized research will provide examples of which frameworks are most applicable to a variety of school districts and within a variety of social and economic settings. The research will then provide practitioners with a framework that will most likely allow them to create an effective partnership and assist them in meeting the goals of their district. Because this study examined a collaboration in one particular population, future research should include studies that explore a similar model in areas of higher and lower population centers. This would allow researchers to explore how the frameworks differ depending upon the particular population of the surrounding community.

In addition, future research should be conducted using a quantitative methodology, exploring the specific cost savings a school district incurs through facility collaboration. This research could be conducted by examining the building, maintenance, and operations budget of the district over a period of time prior to the collaboration and comparing that budget to the same areas of the district budget over a period of time after the facility collaboration is complete. This comparison will provide examples of the potential financial savings of collaboration. The same research could also provide information in regard to how any money that was saved was used in other areas of the budget and the impact that the reallocation of funding had on the district. The major piece of data to be examined in such a study would be the district budgets. In addition to

the budget, however, the impact of collaboration on a school district would also necessitate an analysis of academic achievement of students as well as the community climate. Future research in this area could potentially identify the impact of facility collaboration on student achievement.

Concluding Remarks

In an education system facing consistent social and financial challenges, collaboration is becoming a solution educational leaders have begun to utilize. Facility partnership provides an opportunity for district leaders to satisfy financial needs in addition to offering higher quality services to its students and community. Collaborations between school districts and community organizations are advantageous not only to school districts, but to community organizations and the community at large.

The federal government, through programs like the Promise Neighborhoods Program, a program intended to spread the Harlem Children's Zone model of community services throughout the U.S., has begun encouraging state and local agencies to think creatively and collaboratively in order to meet the social and educational needs of the students they serve. Due to the necessity to collaborate and the federal push to do so, educators need a framework that can guide them through the often difficult and unchartered collaborative process.

The case study of the collaboration between the Riverton School District and YMCA provided five emergent themes that were indicated by the organizational leaders interviewed. These themes were embedded within Melaville and Blank's (1991) five variables to varying degrees. A synthesis of these variables and themes, as well as a

review of the various frameworks and theories presented in Chapter Two, led to the creation of The Five Steps to an Enduring School/Community Collaboration. This framework differs from Melaville and Blank's (1991) framework as it provides actionable steps that organizational leaders can use in order to move through the collaborative process.

Just as classroom teachers have realized that building relationships has a great effect on student success, so, too, have educators begun to realize that building relationships and working together can help a school district as a whole. Just as classroom teachers are able to provide higher quality learning experiences for their students by reaching out to their colleagues and collaborating with them, there is also potential for district leaders to encourage higher quality, cost-effective services for students and the community by partnering with community organizations. School districts and community organizations are reaching out and connecting with one another. They are beginning to work together to realize their respective missions. Many school district and organizational leaders have decided they want to collaborate. They now look to answer the question, "What works?" This research is a response to that question.

APPENDIX A

Revenues for Public Elementary and Secondary Schools, by Source and State or Jurisdiction

Table A1

Revenues for Public Elementary and Secondary Schools, by Source and State or Jurisdiction

State or jurisdiction	Total (in thousands)	Federal			State		Local	
		Amount (in thousands)	Per student	Percent of total	Amount (in thousands)	Percent of total	Amount (in thousands)	Percent of total
United States	**$487,761,164**	**$44,809,532**	**$918**	**9.2**	**$228,562,195**	**46.9**	**$203,342,393**	**41.7**
Alabama	5,861,380	701,287	960	12.0	3,253,486	55.5	1,619,362	27.6
Alaska	1,679,646	303,626	2,283	18.1	957,820	57.0	379,757	22.6
Arizona	8,151,688	952,009	912	11.7	3,898,118	47.8	3,093,276	37.9
Arkansas	4,034,796	449,442	970	11.1	2,349,685	58.2	1,086,930	26.9
California	59,481,350	6,657,894	1,034	11.2	35,234,574	59.2	17,007,135	28.6
Colorado	6,911,807	481,395	628	7.0	2,954,905	42.8	3,192,500	46.2
Connecticut	8,015,309	425,653	737	5.3	3,062,150	38.2	4,404,119	54.9
Delaware	1,376,724	130,091	1,092	9.4	851,355	61.8	377,357	27.4
District of Columbia	1,285,489	159,467	2,079	12.4	†	†	1,116,821	86.9
Florida	22,633,476	2,379,726	902	10.5	9,533,209	42.1	9,943,670	43.9
Georgia	14,726,455	1,412,133	909	9.6	6,466,311	43.9	6,384,779	43.4
Hawaii	2,274,165	236,974	1,294	10.4	1,986,614	87.4	23,455	1.0
Idaho	1,816,509	195,816	765	10.8	1,043,927	57.5	545,954	30.1
Illinois	21,281,907	1,839,581	877	8.6	6,758,417	31.8	12,236,951	57.5
Indiana	11,278,665	738,593	723	6.5	5,326,048	47.2	4,927,437	43.7
Iowa	4,481,531	374,422	783	8.4	2,051,947	45.8	1,931,836	43.1
Kansas	4,468,190	454,091	968	10.2	2,431,195	54.4	1,471,766	32.9
Kentucky	5,379,257	658,612	976	12.2	3,049,129	56.7	1,562,117	29.0
Louisiana	6,057,201	841,364	1,162	13.9	2,878,017	47.5	2,277,234	37.6
Maine	2,308,518	227,117	1,142	9.8	946,282	41.0	1,093,729	47.4
Maryland	9,886,032	660,276	763	6.7	3,729,271	37.7	5,214,729	52.7
Massachusetts	12,735,802	768,309	788	6.0	5,442,172	42.7	6,353,090	49.9
Michigan	18,365,247	1,545,106	882	8.4	11,043,486	60.1	5,441,696	29.6
Minnesota	8,687,246	567,845	677	6.5	6,050,153	69.6	1,785,980	20.6
Mississippi	3,642,050	577,162	1,165	15.8	1,965,158	54.0	994,460	27.3
Missouri	8,373,954	745,815	824	8.9	2,859,179	34.1	4,447,068	53.1
Montana	1,293,161	194,794	1,328	15.1	584,289	45.2	462,144	35.7

Table A1. Continued

Nebraska	2,800,202	289,540	1,013	10.3	877,246	31.3	1,495,402	53.4
Nevada	3,393,152	256,921	642	7.6	920,244	27.1	2,102,903	62.0
New Hampshire	2,242,384	126,743	613	5.7	879,428	39.2	1,188,299	53.0
New Jersey	21,738,449	956,048	686	4.4	9,450,496	43.5	10,859,897	50.0
New Mexico	3,049,760	502,763	1,542	16.5	2,133,707	70.0	361,283	11.8
New York	43,649,605	3,198,727	1,128	7.3	18,768,008	43.0	21,341,592	48.9
North Carolina	10,446,941	1,133,112	818	10.8	6,552,886	62.7	2,508,292	24.0
North Dakota	920,566	148,495	1,477	16.1	340,259	37.0	388,285	42.2
Ohio	19,912,038	1,526,501	830	7.7	8,752,118	44.0	8,962,880	45.0
Oklahoma	4,621,537	634,278	1,008	13.7	2,466,399	53.4	1,302,954	28.2
Oregon	4,999,669	507,585	919	10.2	2,439,989	48.8	1,913,721	38.3
Pennsylvania	21,439,695	1,784,412	976	8.3	7,717,500	36.0	11,550,684	53.9
Rhode Island	1,878,044	149,862	958	8.0	725,609	38.6	977,939	52.1
South Carolina	6,267,520	661,614	940	10.6	2,837,312	45.3	2,544,947	40.6
South Dakota	1,061,844	179,863	1,465	16.9	355,969	33.5	494,426	46.6
Tennessee	6,942,997	791,171	841	11.4	2,998,090	43.2	2,710,586	39.0
Texas	36,798,422	4,117,534	935	11.2	13,214,827	35.9	18,646,457	50.7
Utah	3,227,340	325,946	647	10.1	1,775,126	55.0	1,056,361	32.7
Vermont	1,283,411	95,050	966	7.4	1,090,538	85.0	77,898	6.1
Virginia	11,990,159	826,809	686	6.9	4,871,156	40.6	6,044,600	50.4
Washington	9,266,940	875,999	859	9.5	5,629,205	60.7	2,464,831	26.6
West Virginia	2,779,795	329,154	1,175	11.8	1,684,324	60.6	738,290	26.6
Wisconsin	9,432,162	606,013	701	6.4	4,789,269	50.8	3,811,303	40.4
Wyoming	1,130,977	106,791	1,260	9.4	585,593	51.8	423,215	37.4

Source: *Digest of education statistics: 2007e. (2008).* Retrieved November 10, 2009 from http://nces.ed.gov/programs/digest/d07/tables/dt07_163.asp

APPENDIX B

Code Map for Interviews

Table B1

Code Map for Interviews

Iteration	Codes
First iteration: Representative sample of the 89 initial codes used during interviews.	Administrative experience; bigger picture; board; board of education; challenges; changes; change over time; community support; coordinating schedules; creativity; culture; current status of collaboration; decision making; disincentives; dividing factors; economic growth; environmental change; facility issues; facility needs; fighting negativity; goal setting; good idea; hard work; history; honesty; job mobility; leadership; learning from others; legal issues; listening; looking out for yourself; losst; making profit; marketing; mutually beneficial; new perspectives; nonprofit vs. public school differences; not following agreement; other collaborative issues; past problems; personalities; personal relationships; planning; policies; roles and responsibilities; security; scheduling; site differences; social climate; staff buy-in; staffing changes; staff issues; stakeholder involvement; steering committee; synergy; traditional school philosophy; trust; valuing other ideas; vested interest; vision; winners; working relationships; Y expansion; 28E
Second iteration: 14 dominant themes that encompassed all codes from the first iteration	Facility issues; core values; clear agreement; past, present, and future; financial issues; communication; community; personal relationships; legal issues; big picture; challenges; mutually beneficial; changes; culture
Third iteration: Five emerging themes	Communication; community; determination; formal agreement; relationships

APPENDIX C

Shared-Use Agreement:
Washington High School/Riverton YMCA

Note: Pseudonyms have been added and other identifying information has been removed.

THIS AGREEMENT made and entered into the 15th day of September 2000, by and between [Riverton School District] (hereinafter referred to as "[RSD]"), and [Riverton YMCA] (hereinafter referred to as YMCA):

WHEREAS [RSD] is a school corporation organized and existing under the laws of the State of ---- and is a public agency as defined in ---- Code Chapter 28E;

WHEREAS YMCA is a ----- non-profit corporation organized and existing under the laws of the State of ---- and is a private agency as defined in ---- Code Chapter 28E;

WHEREAS, a public agency may enter into an agreement with a private agency for joint and cooperative action pursuant to ---- Code Chapter 28E; and

WHEREAS, RSD and YMCA find that joint and cooperative action will be to their mutual advantage and will promote more efficient and expanded use of school buildings and equipment as contemplated by ---- Code 276.2;

WHEREAS RSD owns land and improvements thereon and will continue to own land and improvements thereon subject to the terms of this Agreement; and

WHEREAS, RSD is willing to share certain portions of the land and improvements for YMCA programs;

WHEREAS, YMCA is willing to accept such a shared use agreement to use RSD facilities; and

WHEREAS, RSD and YMCA believe that an agreement pursuant to Chapter 28E of the ---- Code should be entered into with regard to the development and use of such land and improvements, which agreement will be to their mutual advantage.

NOW, THEREFORE RSD and YMCA agree as follows

1. Recitals Substantive.
The above and foregoing recitals are substantive provisions of this agreement.

2. Grant.
RSD shall permit YMCA to share use of the following described real property and improvements thereon for YMCA programs:

Recreational facilities to be built as an addition to the [Washington] High School, -------, and the parking area as shown on attached Exhibit A. provided that such use shall be strictly in accordance with the terms of the Agreement.

3. Terms of Agreement and Option to Renew.
The initial term of this agreement shall be twenty-five (25) years commencing with the date of filing of this agreement with the ---- Secretary of State and the ---- County Recorders, in accordance with ---- Code 28E.8. At the end of the initial term of this agreement, this agreement may be extended for an additional term of twenty-five (25) years at option of YMCA and upon reasonable terms and conditions taking into account all relative changes relating to the facility and the economy and the geographical surroundings. Notice of the exercise of the option to renew shall be given by the YMCA to RSD at least 18 months prior to the end of the term. If no notice has been received by RSD before the beginning of the 15th month prior to the end of the term RSD shall request the YMCA to notify it of its intentions relative to the prospective renewal of the term. The YMCA shall at that time and prior to the beginning of the 25th year of the term either exercise its option to renew or notify RSD of its intent to terminate.

Upon exercise of its option to renew the parties shall commence to negotiate in good faith as to the terms of renewal. If such terms are not mutually agreed upon within 60 days of the exercise of the option, this agreement shall terminate.

4. Parking.
The YMCA shall also have the exclusive right to use 75 parking spaces hereafter constructed upon the Washington High School campus, for the parking of vehicles of its employees, members and invitees.

5. Planning of the Project
The parties shall jointly plan a project comprising a recreational facility, consistent with the approved project budget set forth below. The plan shall:

A. Be consistent with the ability of the YMCA to operate the facility as a traditional YMCA, and shall include all furniture, furnishings, and equipment necessary for the YMCA to do so.

B. Be consistent with RSD site plan needs. It shall be approved by the State Fire Marshall, the State Department of Education, and any other agency required by law for approval. RSD shall obtain such needed approval and will be responsible for obtaining all necessary building permits and municipal approvals in order to construct the Facility and pay all costs in connection therewith.

6. Architect.
RSD shall select and retain an architect to plan the recreational facility. Both parties shall have the right to participate with the architect or other planner in the development of the plan and to approve the final plan or any revisions to it.

7. Approved Project Budget and Project Completion.

A. The parties shall jointly contribute to the project according to an "approved project budget" (APB") which shall be reduced to writing, be signed by both parties, attached hereto, and become a part of this agreement as if fully set forth herein.

B. The APB as used in the Agreement shall mean the project budget figure established jointly by the parties and based on the approved project cost estimate. The "APB" includes construction costs, non-affixed equipment, furniture or other items such as architect fees, engineer fees, and the cost of surveys, soil investigations, and fees.

The "APB" shall also include a jointly approved schedule of all equipment, furniture or other items (both fixed to, and not fixed to the premises).

C. The APB shall set forth the amount of financial contribution each party will make to the project. It is anticipated that each party will make a significant financial contribution. The YMCA's contribution shall be not less than Five Hundred Thousand and 00/100 ($500,000.00) Dollars.

D. RSD shall be the named "Owner" in any contract or contracts to build and furnish the project subject to the following:

1) Both parties shall approve any contracts to build or furnish the project before RSD enters into such contracts.
2) Both parties shall approve any change orders under the contracts. All such changes shall be in writing and signed by both parties hereto.
3) Both parties shall approve the acceptance of the completed project from the contractor or vendor in writing.

8. Rent

YMCA shall pay to RSD on an annual rental of the amount of One Dollar ($1.00) per year for twenty-five (25) years for its use of the facility.

9. Operating Relationship

A. In the operation of the facilities; the YMCA shall be responsible for obtaining all necessary permits and licenses for the operation of the facility and shall pay all costs associated therewith.

B. The following guidelines shall apply and govern the relationship of the parties:

1. YMCA Standards. YMCA shall operate the facilities as a traditional YMCA and as a member in good standing of the YMCA of the USA in accordance with its mission; its core

values of honesty, caring, respect and responsibility; and in compliance with its standing as an IRC § 501 (c) (3) charitable institution. The YMCA shall provide public and membership activities that are traditionally considered YMCA programs.

2. Joint Efforts in Scheduling. YMCA and Washington High School shall jointly establish the scheduling, supervision, recording, and reporting for program activities in the new facility, subject to the maintenance and janitorial duties stated in section 11

   The YMCA and Washington High School shall schedule the facilities so as to establish and maintain balance between the need of the YMCA to operate the facilities as a YMCA membership based facility which is self-sustaining financially and Washington High School's need to schedule the facility based on the educational and extracurricular needs of its annual school year program.

3. Adjustments in Scheduling. Adjustments or changes to the schedule may be made from time to time by mutual agreement by both the YMCA staff and the Washington High School staff. Schedules for other facilities may be made by mutual agreement between YMCA and Washington High School staff in accordance with District policies, procedures and Facility Use Guidelines.

   If and in the event a dispute arises with respect to any scheduling of the pool or other shared facilities then any such dispute shall be finally determined by the steering committee created by this Agreement. In arriving at its decisions, the steering committee shall consider the following factors:

   a) The YMCA must have the ability to operate the facility as a YMCA membership based facility which is self-sustaining financially so as to meet the programming needs which best allow it to market

its YMCA programs with the ability to produce sufficient revenue to enable it to meet its financial obligation under this agreement. This factor takes priority over (b) below.

b) Washington High School requires scheduling blocks during the typical school year. A flexible and revolving regular school day during the annual school year program needs to be adapted to meet the best interest of Washington High School educational/extra-curricular needs in the new facility.

4. Notice Required and Best Efforts to Response for Washington High Organized Scheduled Events. YMCA shall make the facilities available at reasonable times to Washington High School for organized student activities such as, but not limited to, competitive sporting events and physical education classes. YMCA will make its best efforts to accommodate scheduling of other North High School activities, but such scheduling shall be made available after YMCA programming needs have been met.

Swim meet and physical education class schedules of Washington High School shall receive preference if the YMCA is given notice of them on or before August 15 (in each year during the term) in advance of the event. In those instances where no notice is given the YMCA will cooperate in the scheduling of these events. In the event the parties cannot reach agreement, the matter shall be referred to the steering committee for decision.

C. General Provisions Relative to Operation of Facility.

1. RSD shall make its other facilities available to YMCA consistent with RSD's policies, procedures and Facility Use Guidelines.

2. YMCA agrees to comply with all state, federal, local laws and regulations, non-discriminatory guidelines, applicable RSD policies, rules, guidelines and procedures (collectively "Policies").

Consistent with the above, YMCA may establish from time to time rules of conduct and behavior for persons within the facility, which shall be in effect for all persons within the shared facilities for YMCA activities, Washington High School activities or any other activities. YMCA staff shall have authority to enforce those rules and RSD shall enforce those rules during Washington High School activities. The YMCA will operate the facility and programs in a non-discriminatory manner.

3. YMCA shall provide supervisors, staff, and instructors for all of its programs. Washington High School shall provide supervisors, staff, and instructors for its programs. Upon reasonable request from Washington High School the YMCA shall assist with student supervision and needed support services. Upon reasonable request from YMCA, Washington High School shall assist with student supervision and discipline.

4. The YMCA shall have the right to use appropriate signs bearing YMCA identification and logos on the grounds, the exterior of the facilities and within the facilities as approved by the RSD.

5. The YMCA shall have the right to negotiate for the procurement of any supplies such as, but not limited to items used, sold or consumed in the facility. No current or future agreements entered into by Washington High School or the RSD for said items shall in any way, bind the YMCA.

6. YMCA will be responsible for compliance with all Federal, State and Local environmental laws and regulations. The use of hazardous substances necessary for the operation of the facility will be in strict compliance with all Federal, State and Local laws.

10. Use Charges – Budget

A. Use Charge and Membership Fees

The YMCA may set use fees, program fees and membership fees for the use of the facilities herein contemplated by members of the YMCA. These fees may be set at a level sufficient to permit the YMCA to generate a reasonable amount of excess revenue over

expenses from the operation of the facilities, and shall be consistent with fees charged at other YMCA branches across the -- -- County Area. YMCA membership fees, program fees, or user fees shall be required of all persons using the facilities except as follows:

1) Participants in Washington High School staffed and scheduled school activities which have been agreed upon between the parties.

2) Persons engaged in Washington High School organized sports activities or in organized practices for such sports activities as opposed to an individual basis.

3) Persons paying a specified YMCA user fee for a specific activity.

4) Persons attending public events or meets, such as spectators or paid attendance.

B. Budget.

1) YMCA shall prepare an operating budget for each fiscal year (which shall commence on January 1, or such other date that the YMCA may establish at the beginning of its fiscal year).

2) The Riverton YMCA Board of Directors shall have final approval of the operating budget which shall be consistent with the overall planning of the Riverton YMCA. YMCA shall file a final copy of its operating budget for the facility with RSD within thirty (30) days after it has been adopted.

3) The YMCA shall be responsible for all operating costs of the facility and all operating costs shall be included in the operating budget. The operating budget shall include:

a) Maintenance in good working order all plumbing, toilet facilities, and other fixtures and equipment installed for

the general supply of hot and cold running water, heat, air conditioning, and electricity consistent with the provisions of paragraph 11 below.

b) Janitorial and custodial service for the recreational facility.

c) All utilities including but not limited to gas, sewer, water, electricity, heat, air conditioning, telephone, television, telecommunications, and replacement of light bulbs.

d) All insurance premiums for fire or casualty insurance specified in this agreement.

e) Repair, replace and maintain in good working order all furniture, furnishings and equipment used in the facilities, including the pool (as per paragraph 11 below).

11. Repair, Replacement and Maintenance.

A. "Maintenance" and/or "maintain" as those terms are used in this paragraph 11 refer to and mean normal operational day-to-day maintenance.

RSD shall, at its own expense, be responsible for the repair, replacement, and maintenance of the roof and exterior of the facility. In addition RSD shall, at its own expense, be responsible for the repair or replacement (but not maintenance) of HVAC, controls for HVAC, plumbing, sewer, and electrical systems. The YMCA shall maintain the HVAC, controls for HVAC, plumbing, sewer, and electrical systems to RSD and/or Manufacturer's standards. RSD shall, at its own expense, provide and maintain utility service to the demarcation point of the facilities in such a manner that YMCA shall have access to, and continue to receive those utility services. Utility services include, but are not limited to, water, sewer, electricity, natural gas, telephone services and cable services.

B. The general supervision of YMCA shall extend to the care and prevention of abuse of the physical plant and any other RSD properties or facilities under its jurisdiction. YMCA shall be responsible for the repair, replacement and maintenance of the interior of the facilities, including janitorial and custodial services, and for paying all charges for utilities. "Utilities" includes gas, water, sewer, electricity, heat, telephone, television, telecommunications services and similar services for the facility. YMCA shall keep the interior of the facility in good and clean condition and repair, including replacements, so as to maintain the facility in the same quality, completeness and condition, as at the time of opening of the Facility for business, excepting only reasonable wear and tear and damage by casualty or other causes beyond control of the YMCA. Upon expiration or termination of this lease, YMCA shall surrender the premises to RSD in a clean, neat and functioning condition ordinary wear and tear excepted.

C. YMCA shall be responsible for maintenance, repair, and replacement of all furniture, furnishings, and equipment used in the facilities.

12. Restrictions on Use

The parties shall not use, or permit the use of, the facilities for any purpose which would adversely affect the value or character of the facilities.

Neither party shall, at any time or times during the agreement, conduct or permit any activities, program, or practices on the premises which shall violate any federal or state constitutional, regulatory or statutory provisions, or which would change, jeopardize, or result from the loss of YMCA's status as a charitable institution under ---- law or as an IRC § 501(c)(3) non-profit institution.

13. Taxes and Indemnification.

YMCA is regarded as exempt from real estate or income taxes under the laws of ---- and under Federal law as a qualified IRC § 501 © (3) tax exempt charitable institution. The parties hereto intend to and shall take all action necessary to assure the continuation of the tax exempt status. However, in the event that such exemption is wholly or partially lost, or in

the event of public charges or charges in lieu of taxes, YMCA shall pay, in addition to other amounts provided in this Agreement as they accrue in any fiscal year, all taxes, assessments and other public charges or charges in lieu of taxes levied upon or assessed against RSD or the recreational facility or the property on which it is located, arising by reason of the YMCA's occupancy, use, or possession of the recreational facility, or the business carried on therein, which are hereinafter collectively referred to as "taxes". RSD shall have no obligation for payment of any obligation arising out of the loss of the tax exempt status.

Further, YMCA agrees to defend, indemnify and hold harmless RSD from any and all claims, damages, injuries demands, settlements, suits, causes of action, and other claimed damages, including reasonable attorney fees, suit fees and other costs associated herewith, arising out of YMCA's occupancy, use or possession of the recreational facility, or other business carried on therein, and which do not arise out of RSD activities in the facility.

RSD agrees to defend, indemnify and hold the YMCA harmless from any and all claims, damages, injuries, demands, settlements, cause of action and other claimed damages, including reasonable attorney's fees, suit fees and costs associated herewith arising out of RSD's use, occupancy or possession of the recreational facility or other business which it may carry on therein and which does not arise out of YMCA activities in the Facility.

YMCA shall exercise its best efforts to prevent activity which would cause any Bonds, Notes, or other evidence of indebtedness issued by RSD to construct, repair, extend, improve, furnish, or equip the recreational facility to (i) not be "qualified tax-exempt obligations" within the meaning of 265(b)(3) of the Internal Revenue Code of 1986, as amended: or (ii) cause the interest payable on the Notes to be includable in the gross income of the holder for federal income tax purposes. The YMCA does not, however, assume any obligation under this Agreement to hold RSD harmless from the possible obligation arising under subparagraph (I) and (ii) immediately above.

14. <u>Surrender Upon Expiration or Termination</u>

At the expiration of the agreement, or upon termination of the agreement, YMCA shall surrender the property in as good condition as it was in at the

beginning of the term; reasonable use and wear, and damages by the elements and causes beyond the control of YMCA excepted. Any additions or improvements affixed to the property stay with the property. Equipment, furnishings, or furniture that came with the Facility or have been replaced by shall remain with the Facility. YMCA shall own and retain equipment, furniture, or furnishings, which at its own expense it added, but did not replace.

15. Right to Alter and Improve

YMCA shall have the right to make changes or alterations to the interior of the recreation facility, subject to the following conditions:

A. No change or alteration which might impair the structural soundness or diminish the value of the building shall be made.

B. No change or alteration shall be made without the prior written consent of RSD.

C. Any improvement to the building or to any part thereof and any replacement of fixtures shall become the absolute property of RSD upon termination of this agreement without payment of any kind.

D. The cost of any approved alteration or improvement shall be at YMCA's expense unless otherwise agreed by the parties.

16. Fire or Other Casualty Loss

If all or any part of the recreational facility is damaged or destroyed by fire or other casualty, RSD shall repair and rebuild the structure with reasonable diligence. All insurance proceeds received by RSD pursuant to the provisions of this agreement shall be payable to RSD and shall be held in trust and applied by RSD to the payment of such restoration, as such restoration progresses.

If there is a substantial interference with the YMCA operation, from fire or casualty damage, requiring the YMCA to temporarily close operations, the term of this agreement shall be tolled for the duration of the restoration. If the interference is not such as to cause YMCA to cease operations entirely within the building, the term of the agreement shall be tolled for an equitably apportioned period related to the duration of the

restoration work and the extent to which there is interference with YMCA operations.

17. Fire or Casualty Insurance

RSD shall insure the facilities and YMCA shall pay the insurance premiums attributable to the facilities contemplated by this agreement as part of the operational expenses of the facilities as follows:

A. For loss or damage by fire and such other risks as may be included in the broadest form of extended coverage insurance from time to time available in amounts sufficient to prevent RSD or the YMCA from becoming a co-insurer within the terms of the applicable policies, and in any event, in an amount not less than 80% of the full insurable value.

B. For loss or damage from leakage of sprinkler systems in the facility in an amount not less than 10 percent of the then full insurable value.

C. For loss or damage by explosion of steam boilers, pressure vessels, or similar apparatus in the facilities in such limits with respect to any one accident as may be reasonably desired by RSD from time to time.

The term “full insurable value” shall mean the actual replacement cost, excluding foundation and excavation costs. All such insurance shall be obtained from issuers of recognized responsibility licensed to do business in the State of ----. All policies shall name RSD and YMCA as the insured, as their respective interests may appear. Each party shall be furnished with a copy of each policy specified under this agreement. To the extent obtainable, all policies shall contain an agreement by the insurer that such policies shall not be canceled except upon thirty (30) days prior written notice to each party.

18. Liability Insurance

Both YMCA and RSD shall carry liability insurance for protection of, $1,000,000 for property damage and $1,000,000 excess liability umbrella.

Such policies shall cover the premises, shall be issued by insurance companies and in forms satisfactory to the insured, shall provide for the least thirty (30) days notice to the steering committee before cancellation. The steering committee may adjust limits of the policies in accordance with the insurance standards in the community for similar facilities.

YMCA and RSD shall carry coverage from any liability arising out of any accident or other occurrence causing any injury and/or damage to person or property upon the premises due directly or indirectly to the use or occupancy thereof by the insured, or any person claiming through or under the insured. Liability policies shall have limits of not less than $1,000,000 bodily injury per person, $1,000,000 for each occurrence.

19. Waiver of Subrogation Rights

Each of the parties hereby releases the other from any claim for recovery for any loss or damage to any of its property or for any liability which is insured under valid and collectible insurance policies to the extent of any recovery collectible under such insurance. It is further agreed that this waiver applies only when permitted by the applicable policy of insurance.

20. Non-Assignment of Interest Under this Agreement

YMCA shall not assign its interests under this agreement without the prior written consent of RSD in each instance.

21. Steering Committee Composition

A steering committee shall be established which includes seven members, each with one vote. The committee shall be comprised of:

A. Three members as determined by the Superintendent of Schools of the RSD, which may include members of the Board of Directors of RSD and/or the Superintendent.

B. Three members as determined by the President of the YMCA, which may include members of the Board of Directors of the YMCA and/or the President.

C. One person at large selected to serve for a term of one year and who shall be selected by a majority of the remaining six members of the committee.

22. Steering Committee Powers

The steering committee shall be empowered to do the following:

A. Resolve disputes arising under this agreement with a majority vote that must include equal representation of RSD appointed members and YMCA appointed members plus the at large member. Decision of the steering committee shall be binding and there shall be no appeal nor shall there be any resort to court action.

B. Make decisions specifically delegated to the steering committee under this agreement with representation as described in 22 A. above.

C. Meet regularly to facilitate communication and cooperation between RSD and YMCA in the performance of the parties under this agreement.

D. Meet regularly during planning, construction, and furnishing of the project to facilitate communication and cooperation between RSD and YMCA.

E. Exercise such powers as may be necessary or required to provide for the administration of the joint undertaking contemplated by this agreement.

23. Non-Liability of Members of the Steering Committee.

No member of the steering committee shall be personally liable for a claim based upon an act or omission of the person performed in the discharge of the person's duties, except for acts or omissions which involve intentional misconduct or knowing violation of the law, or in a transaction from which the person draws an improper personal benefit. Provided, however, that nothing in this Agreement shall be construed as constituting the waiver of any immunity from liability available to the parties, the steering committee members, or their officer, employees, agents, members, or volunteers pursuant to any applicable provision of law.

24. Indemnification.

RSD and YMCA shall defend, indemnify, and hold harmless representatives on the steering committee from any and all claims,

demands, causes of action, suits, settlements, and any other claimed damages, to include reasonable attorneys fees, investigative costs, suit fees and other costs associated therewith, arising out of implementation of this agreement except those resulting directly from intentional misconduct or knowing violation of the law or a transaction for which the steering committee member derives an improper personal benefit.

25. Several Obligation.
The obligations of RSD and YMCA under this Agreement are several obligations, and are not joint obligations.

This agreement relates only to the joint undertaking herein described. It does NOT contemplate nor does it create any form of separate legal entity.

26. Termination Prior to Expiration of Term.
This Agreement may be terminated prior to the expiration of its term, as follows:

A. By mutual agreement of the parties;

B. By either party for a material breach of any of the terms of this agreement. Termination shall be accomplished by giving written notice to the breaching party specifying the breach and stating that the agreement will be terminated if the breach is not cured within thirty (30) days; provided, however, that for so long as a good faith effort is being made to cure any such material breach the thirty (30) day time period in which to cure shall be extended. Failure to cure the breach within such time period shall result in automatic termination of this agreement as described in 26F and 26G.

C. Either party may terminate this agreement for any reason by giving one and one-half (1 ½) year's notice in writing, notice to be delivered on or before January 1 and termination to be effective on June 30 one and one-half (1 ½) years later described in 26F and 26G.

D. In the event of termination, both parties shall be relieved of all further obligations or duties beyond the date of termination, but

neither party shall be relieved of its duties and obligations under this agreement through the date of termination.

E. As of the date of termination, sole possession of the premises shall be returned to RSD and YMCA shall vacate the premises.

F. If RSD terminates or breaches this agreement before the end of its first 25-year term, before the termination shall become effective, RSD shall pay YMCA all capital contributions YMCA made to the project whereupon YMCA shall be fully and finally released from any and all further obligation hereunder. If RSD terminates this agreement during any later term of this agreement, RSD shall, before termination is effective, return all capital contributions YMCA made to the project during the particular term in which the termination occurs. As used in this paragraph, the term "capital contribution" shall mean any contributions which the YMCA makes pursuant to the approved project budget, and all contributions in a single sum of $10,000 or more that the YMCA makes for addition, repair or replacement to the facilities.

G. If YMCA terminates or materially breaches this agreement before the end of its first 25-year term, before the termination shall become effective, YMCA shall pay an amount equal to the actual operating expenses, as described in 10B(3), for the previous 18 months. The penalties herein provided shall have no application in the event the termination is attributable to a material breach by RSD.

27. Binding Effect.
The terms and conditions of this Agreement shall extend to and be binding upon the successors in interest of the respective parties hereto.

28. Entire Agreement – Amendment.
This agreement contains the entire understanding between the parties and cannot be changed or terminated orally but only by an agreement in writing signed by both parties.

29. Severability.
If any provision of this agreement shall be declared invalid or unenforceable, the remainder of the agreement shall continue in full force and effect.

30. Notices.
Any and all notices hereunder shall be in writing and shall be directed to the persons and the addresses set forth below:

To Riverton School District:

Superintendent of Schools
[District Address]

To Riverton YMCA:

President
[YMCA Address]

Notices may be personally delivered or delivered by facsimile or other commonly used electronic means of communication. Notice may also be given by mailing certified U.S. mail, return receipt requested, with postage thereon prepaid. If notice is delivered personally or electronically, delivery is date of receipt, if by mailing three (3) days after the date of posting

IN WITNESS WHEREOF, the parties have caused this instrument to be executed by their respective officers, pursuant to full authority granted and given as of the day and year first above written.

Riverton School District **Riverton YMCA**

By_____ **By**_____

Name_____ Name_____

President Chair of the Board

Date _____ **Date** _____

By_____ **By**_____

Name_____ Name_____

Board Secretary President

Date _____ **Date** _____

APPENDIX D

Shared-Use Agreement:
Adams High School/Riverton YMCA

NOTE: Pseudonyms have been added and other identifying information has been removed.

THIS AGREEMENT made and entered into the day of 8th Day of April 2002, by and between Riverton School District (hereinafter referred to as "RSD"), and Riverton YMCA (hereinafter referred to as YMCA):

WHEREAS RSD is a school corporation organized and existing under the laws of the State of Iowa and is a public agency as defined in Iowa Code Chapter 28E;

WHEREAS YMCA is an ---- non-profit corporation organized and existing under the laws of the State of ---- and is a private agency as defined in ---- Code Chapter 28E;

WHEREAS, a public agency may enter into an agreement with a private agency for joint and cooperative action pursuant to ---- Code Chapter 28E; and

WHEREAS, RSD and YMCA find that joint and cooperative action will be to their mutual advantage and will promote more efficient and expanded use of school buildings and equipment as contemplated by ---- Code 276.2;

WHEREAS RSD owns land and improvements thereon and will continue to own land and improvements thereon subject to the terms of this Agreement; and

WHEREAS, RSD is willing to share certain portions of the land and improvements for YMCA programs;

WHEREAS, YMCA is willing to accept such a shared use agreement to use RSD facilities; and

WHEREAS, RSD and YMCA believe that an agreement pursuant to Chapter 28E of the ---- Code should be entered into with regard to the development and use of such land and improvements, which agreement will be to their mutual advantage.

NOW, THEREFORE RSD and YMCA agree as follows

1. Recitals Substantive.
The above and foregoing recitals are substantive provisions of this agreement.

2. Grant.
RSD shall permit YMCA to share use of the following described real property and improvements thereon for YMCA programs:

Recreational facilities to be built as an addition to the West High School, -----, ----, and the parking area as shown on attached Exhibit A. provided that such use shall be strictly in accordance with the terms of the Agreement.

2. Terms of Agreement and Option to Renew.
The initial term of this agreement shall be twenty-five (25) years commencing with the date of filing of this agreement with the ---- Secretary of State and the ---- County Recorders, in accordance with ---- Code 28E.8. At the end of the initial term of this agreement, this agreement may be extended for an additional term of twenty-five (25) years at option of YMCA and upon reasonable terms and conditions taking into account all relative changes relating to the facility and the economy and the geographical surroundings. Notice of the exercise of the option to renew shall be given by the YMCA to RSD at least 18 months prior to the end of the term. If no notice has been received by RSD before the beginning of the 15th month prior to the end of the term RSD shall request the YMCA to notify it of its intentions relative to the prospective renewal of the term. The YMCA shall at that time and prior to the beginning of the 25th year of the term either exercise its option to renew or notify RSD of its intent to terminate.

Upon exercise of its option to renew the parties shall commence to negotiate in good faith as to the terms of renewal. If such terms are not mutually agreed upon within 60 days of the exercise of the option, this agreement shall terminate.

3. Parking.
The YMCA shall also have the exclusive right to use 75 parking spaces hereafter constructed upon the West High School campus, for the parking of vehicles of its employees, members and invitees.

4. Planning of the Project.
The parties shall jointly plan a project comprising a recreational facility, consistent with the approved project budget set forth below. The plan shall:

C. Be consistent with the ability of the YMCA to operate the facility as a traditional YMCA, and shall include all furniture, furnishings, and equipment necessary for the YMCA to do so.

D. Be consistent with RSD site plan needs. It shall be approved by the State Fire Marshall, the State Department of Education, and any other agency required by law for approval. RSD shall obtain such needed approval and will be responsible for obtaining all necessary building permits and municipal approvals in order to construct the Facility and pay all costs in connection therewith.

6. Architect.
RSD shall select and retain an architect to plan the recreational facility. Both parties shall have the right to participate with the architect or other planner in the development of the plan and to approve the final plan or any revisions to it.

7. Approved Project Budget and Project Completion.

A. The parties shall jointly contribute to the project according to an "approved project budget" (APB") which shall be reduced to writing, be signed by both parties, attached hereto, and become a part of this agreement as if fully set forth herein.

B. The APB as used in the Agreement shall mean the project budget figure established jointly by the parties and based on the approved project cost estimate. The "APB" includes construction costs, non-

affixed equipment, furniture or other items such as architect fees, engineer fees, and the cost of surveys, soil investigations, and fees. The "APB" shall also include a jointly approved schedule of all equipment, furniture or other items (both fixed to, and not fixed to the premises).

C. The APB shall set forth the amount of financial contribution each party will make to the project. It is anticipated that each party will make a significant financial contribution. The YMCA's contribution shall be not less than Five Hundred Thousand and 00/100 ($500,000.00) Dollars.

D. RSD shall be the named "Owner" in any contract or contracts to build and furnish the project subject to the following:

4) Both parties shall approve any contracts to build or furnish the project before RSD enters into such contracts.
5) Both parties shall approve any change orders under the contracts. All such changes shall be in writing and signed by both parties hereto.
6) Both parties shall approve the acceptance of the completed project from the contractor or vendor in writing.

8. Rent

YMCA shall pay to RSD on an annual rental of the amount of One Dollar ($1.00) per year for twenty-five (25) years for its use of the facility.

9. Operating Relationship

C. In the operation of the facilities; the YMCA shall be responsible for obtaining all necessary permits and licenses for the operation of the facility and shall pay all costs associated therewith.

D. The following guidelines shall apply and govern the relationship of the parties:

5. YMCA Standards. YMCA shall operate the facilities as a

traditional YMCA and as a member in good standing of the YMCA of the USA in accordance with its mission; its core values of honesty, caring, respect and responsibility; and in compliance with its standing as an IRC § 501 (c) (3) charitable institution. The YMCA shall provide public and membership activities that are traditionally considered YMCA programs.

6. Joint Efforts in Scheduling. YMCA and West High School shall jointly establish the scheduling, supervision, recording, and reporting for program activities in the new facility, subject to the maintenance and janitorial duties stated in section 11

The YMCA and West High School shall schedule the facilities so as to establish and maintain balance between the need of the YMCA to operate the facilities as a YMCA membership based facility which is self-sustaining financially and West High School's need to schedule the facility based on the educational and extracurricular needs of its annual school year program.

7. Adjustments in Scheduling. Adjustments or changes to the schedule may be made from time to time by mutual agreement by both the YMCA staff and the West High School staff. Schedules for other facilities may be made by mutual agreement between YMCA and West High School staff in accordance with District policies, procedures and Facility Use Guidelines.

If and in the event a dispute arises with respect to any scheduling of the pool or other shared facilities then any such dispute shall be finally determined by the steering committee created by this Agreement. In arriving at its decisions, the steering committee shall consider the following factors:

c) The YMCA must have the ability to operate the facility as a YMCA membership based facility

which is self-sustaining financially so as to meet the programming needs which best allow it to market its YMCA programs with the ability to produce sufficient revenue to enable it to meet its financial obligation under this agreement. This factor takes priority over (b) below.

d) West High School requires scheduling blocks during the typical school year. A flexible and revolving regular school day during the annual school year program needs to be adapted to meet the best interest of West High School educational/extra-curricular needs in the new facility.

8. Notice Required and Best Efforts to Response for West High Organized Scheduled Events. YMCA shall make the facilities available at reasonable times to West High School for organized student activities such as, but not limited to, competitive sporting events and physical education classes. YMCA will make its best efforts to accommodate scheduling of other West High School activities, but such scheduling shall be made available after YMCA programming needs have been met.

Swim meet and physical education class schedules of West High School shall receive preference if the YMCA is given notice of them on or before August 15 (in each year during the term) in advance of the event. In those instances where no notice is given the YMCA will cooperate in the scheduling of these events. In the event the parties cannot reach agreement, the matter shall be referred to the steering committee for decision.

C. General Provisions Relative to Operation of Facility.

7. RSD shall make its other facilities available to YMCA consistent with RSD's policies, procedures and Facility Use Guidelines.

8. YMCA agrees to comply with all state, federal, local laws and

regulations, non-discriminatory guidelines, applicable RSD policies, rules, guidelines and procedures (collectively "Policies"). Consistent with the above, YMCA may establish from time to time rules of conduct and behavior for persons within the facility, which shall be in effect for all persons within the shared facilities for YMCA activities, West High School activities or any other activities. YMCA staff shall have authority to enforce those rules and RSD shall enforce those rules during West High School activities. The YMCA will operate the facility and programs in a non-discriminatory manner.

9. YMCA shall provide supervisors, staff, and instructors for all of its programs. West High School shall provide supervisors, staff, and instructors for its programs. Upon reasonable request from West High School the YMCA shall assist with student supervision and needed support services. Upon reasonable request from YMCA, West High School shall assist with student supervision and discipline.

10. The YMCA shall have the right to use appropriate signs bearing YMCA identification and logos on the grounds, the exterior of the facilities and within the facilities as approved by the RSD.

11. The YMCA shall have the right to negotiate for the procurement of any supplies such as, but not limited to items used, sold or consumed in the facility. No current or future agreements entered into by West High School or the RSD for said items shall in any way, bind the YMCA.

12. YMCA will be responsible for compliance with all Federal, State and Local environmental laws and regulations. The use of hazardous substances necessary for the operation of the facility will be in strict compliance with all Federal, State and Local laws.

10. <u>Use Charges – Budget</u>

C. <u>Use Charge and Membership Fees</u>
The YMCA may set use fees, program fees and membership fees for the use of the facilities herein contemplated by members of the

YMCA. These fees may be set at a level sufficient to permit the YMCA to generate a reasonable amount of excess revenue over expenses from the operation of the facilities, and shall be consistent with fees charged at other YMCA branches across the ---- County Area. YMCA membership fees, program fees, or user fees shall be required of all persons using the facilities except as follows:

5) Participants in West High School staffed and scheduled school activities which have been agreed upon between the parties.

6) Persons engaged in West High School organized sports activities or in organized practices for such sports activities as opposed to an individual basis.

7) Persons paying a specified YMCA user fee for a specific activity.

8) Persons attending public events or meets, such as spectators or paid attendance.

D. Budget.

1) YMCA shall prepare an operating budget for each fiscal year (which shall commence on January 1, or such other date that the YMCA may establish at the beginning of its fiscal year).

2) The ---- County Family Y Board of Directors shall have final approval of the operating budget which shall be consistent with the overall planning of the Riverton YMCA. YMCA shall file a final copy of its operating budget for the facility with RSD within thirty (30) days after it has been adopted.

3) The YMCA shall be responsible for all operating costs of the facility and all operating costs shall be included in the operating budget. The operating budget shall include:

f) Maintenance in good working order all plumbing, toilet facilities, and other fixtures and equipment installed for the general supply of hot and cold running water, heat, air conditioning, and electricity consistent with the provisions of paragraph 11 below.

g) Janitorial and custodial service for the recreational facility.

h) All utilities including but not limited to gas, sewer, water, electricity, heat, air conditioning, telephone, television, telecommunications, and replacement of light bulbs.

i) All insurance premiums for fire or casualty insurance specified in this agreement.

j) Repair, replace and maintain in good working order all furniture, furnishings and equipment used in the facilities, including the pool (as per paragraph 11 below).

11. Repair, Replacement and Maintenance.

D. "Maintenance" and/or "maintain" as those terms are used in this paragraph 11 refer to and mean normal operational day-to-day maintenance.

RSD shall, at its own expense, be responsible for the repair, replacement, and maintenance of the roof and exterior of the facility. In addition RSD shall, at its own expense, be responsible for the repair or replacement (but not maintenance) of HVAC, controls for HVAC, plumbing, sewer, and electrical systems. The YMCA shall maintain the HVAC, controls for HVAC, plumbing, sewer, and electrical systems to RSD and/or Manufacturer's standards. RSD shall, at its own expense, provide and maintain utility service to the demarcation point of the facilities in such a manner that YMCA shall have access to, and continue to receive

those utility services. Utility services include, but are not limited to, water, sewer, electricity, natural gas, telephone services and cable services.

E. The general supervision of YMCA shall extend to the care and prevention of abuse of the physical plant and any other RSD properties or facilities under its jurisdiction. YMCA shall be responsible for the repair, replacement and maintenance of the interior of the facilities, including janitorial and custodial services, and for paying all charges for utilities. "Utilities" includes gas, water, sewer, electricity, heat, telephone, television, telecommunications services and similar services for the facility. YMCA shall keep the interior of the facility in good and clean condition and repair, including replacements, so as to maintain the facility in the same quality, completeness and condition, as at the time of opening of the Facility for business, excepting only reasonable wear and tear and damage by casualty or other causes beyond control of the YMCA. Upon expiration or termination of this lease, YMCA shall surrender the premises to RSD in a clean, neat and functioning condition ordinary wear and tear excepted.

F. YMCA shall be responsible for maintenance, repair, and replacement of all furniture, furnishings, and equipment used in the facilities.

12. Restrictions on Use.

The parties shall not use, or permit the use of, the facilities for any purpose which would adversely affect the value or character of the facilities.

Neither party shall, at any time or times during the agreement, conduct or permit any activities, program, or practices on the premises which shall violate any federal or state constitutional, regulatory or statutory provisions, or which would change, jeopardize, or result from the loss of YMCA's status as a charitable institution under ---- law or as an IRC § 501(c)(3) non-profit institution.

13. Taxes and Indemnification.

YMCA is regarded as exempt from real estate or income taxes under the laws of ---- and under Federal law as a qualified IRC § 501 © (3) tax

exempt charitable institution. The parties hereto intend to and shall take all action necessary to assure the continuation of the tax exempt status. However, in the event that such exemption is wholly or partially lost, or in the event of public charges or charges in lieu of taxes, YMCA shall pay, in addition to other amounts provided in this Agreement as they accrue in any fiscal year, all taxes, assessments and other public charges or charges in lieu of taxes levied upon or assessed against RSD or the recreational facility or the property on which it is located, arising by reason of the YMCA's occupancy, use, or possession of the recreational facility, or the business carried on therein, which are hereinafter collectively referred to as "taxes". RSD shall have no obligation for payment of any obligation arising out of the loss of the tax exempt status.

Further, YMCA agrees to defend, indemnify and hold harmless RSD from any and all claims, damages, injuries demands, settlements, suits, causes of action, and other claimed damages, including reasonable attorney fees, suit fees and other costs associated herewith, arising out of YMCA's occupancy, use or possession of the recreational facility, or other business carried on therein, and which do not arise out of RSD activities in the facility.

RSD agrees to defend, indemnify and hold the YMCA harmless from any and all claims, damages, injuries, demands, settlements, cause of action and other claimed damages, including reasonable attorney's fees, suit fees and costs associated herewith arising out of RSD's use, occupancy or possession of the recreational facility or other business which it may carry on therein and which does not arise out of YMCA activities in the Facility.

YMCA shall exercise its best efforts to prevent activity which would cause any Bonds, Notes, or other evidence of indebtedness issued by DSCD to construct, repair, extend, improve, furnish, or equip the recreational facility to (i) not be "qualified tax-exempt obligations" within the meaning of 265(b)(3) of the Internal Revenue Code of 1986, as amended: or (ii) cause the interest payable on the Notes to be includable in the gross income of the holder for federal income tax purposes. The YMCA does not, however, assume any obligation under this Agreement to hold RSD harmless from the possible obligation arising under subparagraph (I) and (ii) immediately above.

14. Surrender Upon Expiration or Termination.
At the expiration of the agreement, or upon termination of the agreement, YMCA shall surrender the property in as good condition as it was in at the beginning of the term; reasonable use and wear, and damages by the elements and causes beyond the control of YMCA excepted. Any additions or improvements affixed to the property stay with the property. Equipment, furnishings, or furniture that came with the Facility or have been replaced by shall remain with the Facility. YMCA shall own and retain equipment, furniture, or furnishings, which at its own expense it added, but did not replace.

15. Right to Alter and Improve.
YMCA shall have the right to make changes or alterations to the interior of the recreation facility, subject to the following conditions:

E. No change or alteration which might impair the structural soundness or diminish the value of the building shall be made.

F. No change or alteration shall be made without the prior written consent of RSD.

G. Any improvement to the building or to any part thereof and any replacement of fixtures shall become the absolute property of RSD upon termination of this agreement without payment of any kind.

H. The cost of any approved alteration or improvement shall be at YMCA's expense unless otherwise agreed by the parties.

16. Fire or Other Casualty Loss.
If all or any part of the recreational facility is damaged or destroyed by fire or other casualty, RSD shall repair and rebuild the structure with reasonable diligence. All insurance proceeds received by RSD pursuant to the provisions of this agreement shall be payable to RSD and shall be held in trust and applied by RSD to the payment of such restoration, as such restoration progresses.

If there is a substantial interference with the YMCA operation, from fire or casualty damage, requiring the YMCA to temporarily close operations, the term of this agreement shall be tolled for the duration of the

restoration. If the interference is not such as to cause YMCA to cease operations entirely within the building, the term of the agreement shall be tolled for an equitably apportioned period related to the duration of the restoration work and the extent to which there is interference with YMCA operations.

17. Fire or Casualty Insurance.
RSD shall insure the facilities and YMCA shall pay the insurance premiums attributable to the facilities contemplated by this agreement as part of the operational expenses of the facilities as follows:

D. For loss or damage by fire and such other risks as may be included in the broadest form of extended coverage insurance from time to time available in amounts sufficient to prevent RSD or the YMCA from becoming a co-insurer within the terms of the applicable policies, and in any event, in an amount not less than 80% of the full insurable value.

E. For loss or damage from leakage of sprinkler systems in the facility in an amount not less than 10 percent of the then full insurable value.

F. For loss or damage by explosion of steam boilers, pressure vessels, or similar apparatus in the facilities in such limits with respect to any one accident as may be reasonably desired by RSD from time to time.

The term “full insurable value” shall mean the actual replacement cost, excluding foundation and excavation costs. All such insurance shall be obtained from issuers of recognized responsibility licensed to do business in the State of ----. All policies shall name RSD and YMCA as the insured, as their respective interests may appear. Each party shall be furnished with a copy of each policy specified under this agreement. To the extent obtainable, all policies shall contain an agreement by the insurer that such policies shall not be canceled except upon thirty (30) days prior written notice to each party.

18. Liability Insurance.
Both YMCA and RSD shall carry liability insurance for protection of, $1,000,000 for property damage and $1,000,000 excess liability umbrella. Such policies shall cover the premises, shall be issued by insurance companies and in forms satisfactory to the insured, shall provide for the least thirty (30) days notice to the steering committee before cancellation. The steering committee may adjust limits of the policies in accordance with the insurance standards in the community for similar facilities.

YMCA and RSD shall carry coverage from any liability arising out of any accident or other occurrence causing any injury and/or damage to person or property upon the premises due directly or indirectly to the use or occupancy thereof by the insured, or any person claiming through or under the insured. Liability policies shall have limits of not less than $1,000,000 bodily injury per person, $1,000,000 for each occurrence.

19. Waiver of Subrogation Rights.
Each of the parties hereby releases the other from any claim for recovery for any loss or damage to any of its property or for any liability which is insured under valid and collectible insurance policies to the extent of any recovery collectible under such insurance. It is further agreed that this waiver applies only when permitted by the applicable policy of insurance.

20. Non-Assignment of Interest Under this Agreement.
YMCA shall not assign its interests under this agreement without the prior written consent of RSD in each instance.

21. Steering Committee Composition.
A steering committee shall be established which includes seven members, each with one vote. The committee shall be comprised of:

D. Three members as determined by the Superintendent of Schools of the RSD, which may include members of the Board of Directors of RSD and/or the Superintendent.

E. Three members as determined by the President of the YMCA, which may include members of the Board of Directors of the YMCA and/or the President.

F. One person at large selected to serve for a term of one year and who shall be selected by a majority of the remaining six members of the committee.

22. Steering Committee Powers.
The steering committee shall be empowered to do the following:

F. Resolve disputes arising under this agreement with a majority vote that must include equal representation of DSCD appointed members and YMCA appointed members plus the at large member. Decision of the steering committee shall be binding and there shall be no appeal nor shall there be any resort to court action.

G. Make decisions specifically delegated to the steering committee under this agreement with representation as described in 22 A. above.

H. Meet regularly to facilitate communication and cooperation between RSD and YMCA in the performance of the parties under this agreement.

I. Meet regularly during planning, construction, and furnishing of the project to facilitate communication and cooperation between RSD and YMCA.

J. Exercise such powers as may be necessary or required to provide for the administration of the joint undertaking contemplated by this agreement.

23. Non-Liability of Members of the Steering Committee.
No member of the steering committee shall be personally liable for a claim based upon an act or omission of the person performed in the discharge of the person's duties, except for acts or omissions which involve intentional misconduct or knowing violation of the law, or in a transaction from which the person draws an improper personal benefit. Provided, however, that nothing in this Agreement shall be construed as constituting the waiver of any immunity from liability available to the parties, the steering

committee members, or their officer, employees, agents, members, or volunteers pursuant to any applicable provision of law.

24. Indemnification.
RSD and YMCA shall defend, indemnify, and hold harmless representatives on the steering committee from any and all claims, demands, causes of action, suits, settlements, and any other claimed damages, to include reasonable attorneys fees, investigative costs, suit fees and other costs associated therewith, arising out of implementation of this agreement except those resulting directly from intentional misconduct or knowing violation of the law or a transaction for which the steering committee member derives an improper personal benefit.

25. Several Obligation.
The obligations of RSD and YMCA under this Agreement are several obligations, and are not joint obligations.

This agreement relates only to the joint undertaking herein described. It does NOT contemplate nor does it create any form of separate legal entity.

26. Termination Prior to Expiration of Term.
This Agreement may be terminated prior to the expiration of its term, as follows:

H. By mutual agreement of the parties;

I. By either party for a material breach of any of the terms of this agreement. Termination shall be accomplished by giving written notice to the breaching party specifying the breach and stating that the agreement will be terminated if the breach is not cured within thirty (30) days; provided, however, that for so long as a good faith effort is being made to cure any such material breach the thirty (30) day time period in which to cure shall be extended. Failure to cure the breach within such time period shall result in automatic termination of this agreement as described in 26F and 26G.

J. Either party may terminate this agreement for any reason by giving one and one-half (1 ½) year's notice in writing, notice to be

delivered on or before January 1 and termination to be effective on June 30 one and one-half (1 ½) years later described in 26F and 26G.

K. In the event of termination, both parties shall be relieved of all further obligations or duties beyond the date of termination, but neither party shall be relieved of its duties and obligations under this agreement through the date of termination.

L. As of the date of termination, sole possession of the premises shall be returned to RSD and YMCA shall vacate the premises.

M. If RSD terminates or breaches this agreement before the end of its first 25-year term, before the termination shall become effective, RSD shall pay YMCA all capital contributions YMCA made to the project whereupon YMCA shall be fully and finally released from any and all further obligation hereunder. If RSD terminates this agreement during any later term of this agreement, RSD shall, before termination is effective, return all capital contributions YMCA made to the project during the particular term in which the termination occurs. As used in this paragraph, the term "capital contribution" shall mean any contributions which the YMCA makes pursuant to the approved project budget, and all contributions in a single sum of $10,000 or more that the YMCA makes for addition, repair or replacement to the facilities.

N. If YMCA terminates or materially breaches this agreement before the end of its first 25-year term, before the termination shall become effective, YMCA shall pay an amount equal to the actual operating expenses, as described in 10B(3), for the previous 18 months. The penalties herein provided shall have no application in the event the termination is attributable to a material breach by RSD.

27. <u>Binding Effect.</u>
The terms and conditions of this Agreement shall extend to and be binding upon the successors in interest of the respective parties hereto.

28. Entire Agreement – Amendment.
This agreement contains the entire understanding between the parties and cannot be changed or terminated orally but only by an agreement in writing signed by both parties.

29. Severability.
If any provision of this agreement shall be declared invalid or unenforceable, the remainder of the agreement shall continue in full force and effect.

30. Notices.
Any and all notices hereunder shall be in writing and shall be directed to the persons and the addresses set forth below:

To Riverton School District:

Superintendent of Schools
[District Address]

To Riverton YMCA:

President
[District Address]

Notices may be personally delivered or delivered by facsimile or other commonly used electronic means of communication. Notice may also be given by mailing certified U.S. mail, return receipt requested, with postage thereon prepaid. If notice is delivered personally or electronically, delivery is date of receipt, if by mailing three (3) days after the date of posting

IN WITNESS WHEREOF, the parties have caused this instrument to be executed by their respective officers, pursuant to full authority granted and given as of the day and year first above written.

Riverton School District **Riverton YMCA**

By_____ **By**_____

Name_____ Name_____

President Chair of the Board

Date _____ **Date** _____

By_____ **By**_____

Name_____ Name_____

Board Secretary President

Date _____ **Date** _____

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