

1999 EDUCATION CRITERIA FOR PERFORMANCE EXCELLENCE — ITEM LISTING

1999 Categories/Items		Point Values
1	Leadership	110
1.1	Leadership System	80
1.2	Public Responsibility and Citizenship	30
2	Strategic Planning	80
2.1	Strategy Development Process	40
2.2	School Strategy	40
3	Student and Stakeholder Focus	80
3.1	Knowledge of Student Needs and Expectations	40
3.2	Student and Stakeholder Satisfaction and Relationship Enhancement	40
4	Information and Analysis	80
4.1	Selection and Use of Information and Data	25
4.2	Selection and Use of Comparative Information and Data	15
4.3	Analysis and Review of School Performance	40
5	Faculty and Staff Focus	100
5.1	Work Systems	40
5.2	Faculty and Staff Education, Training, and Development	30
5.3	Faculty and Staff Well-Being and Satisfaction	30
6	Educational and Support Process	100
6.1	Education Design and Delivery	60
6.2	Education Support Processes	40
7	School Performance Results	450
7.1	Student Performance Results	150
7.2	Student and Stakeholder Satisfaction Results	100
7.3	Faculty and Staff Results	100
7.4	School-Specific Results	100
TOTAL POINTS		1000

Note: The Scoring System used with the Criteria Items in a Baldrige assessment can be found on pages 29-30.

GLOSSARY OF KEY TERMS

This Glossary of Key Terms defines and briefly describes terms used throughout the Baldrige Criteria booklets that are important to performance management.

Action Plans

Action plans refer to principal school-level actions, derived from short- and long-term strategic planning. In simplest terms, action plans spell out those things the school must do well for its strategy to succeed. Action plan development represents the critical stage in planning when general strategies and goals are made specific so that effective school-wide understanding and deployment are possible. Deployment of action plans requires commitment of resources, creation of aligned measures for work units, and might also require specialized training for some faculty and staff or recruitment of personnel.

Alignment

Alignment refers to consistency of plans, processes, actions, information, and decisions among school units in support of key school-wide goals.

Effective alignment requires common understanding of purposes and goals and use of complementary measures and information to enable planning, tracking, analysis, and improvement at three levels: the school level; the key process level; and the work unit level.

Cycle Time

Cycle time refers to time performance — the time required to fulfill commitments or to complete tasks.

High Performance Work

High performance work refers to work approaches used to *systematically* pursue ever higher levels of overall school and human performance.

Approaches to high performance work vary in form, function, and incentive systems. Effective approaches generally include: cooperation between management and the work force, including work force bargaining units; cooperation among work units, often involving teams; self-directed responsibility (sometimes called empowerment); employee input to planning; individual and organizational skill building and learning; learning from other organizations; flexibility in job design and work assignments; an organizational structure with minimum layering (“flattened”),

where decision making is decentralized and decisions are made closest to the “front line”; and effective use of performance measures, including comparisons. Some high performance work systems use monetary and non-monetary incentives based upon factors such as organizational performance, team and/or individual contributions, and skill building. Also, high performance work approaches usually seek to align the design of organizations, work, jobs, employee development, and incentives.

Leadership System

Leadership system refers to how leadership is exercised, formally and informally, throughout the school — the basis for and the way that key decisions are made, communicated, and carried out. It includes structures and mechanisms for decision making, selection and development of leaders and managers, and reinforcing values, practices, and behaviors.

An effective leadership system creates clear values respecting the capabilities and requirements of employees and other school stakeholders and sets high expectations for performance and performance improvement. It builds loyalties and teamwork based upon the values and the pursuit of shared purposes. It encourages and supports initiative and risk taking, subordinates organization to purpose and function, and avoids chains of command that require long decision paths. An effective leadership system includes mechanisms for the leaders’ self-examination, receipt of feedback, and improvement.

Measures and Indicators

Measures and indicators refer to numerical information that quantifies (measures) input, output, and performance dimensions of processes, products, services, and the overall school (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not make a distinction between measures and indicators. However, some users of these terms prefer the term indicator: (1) when the measurement relates to performance, but is not a direct or exclusive measure of such performance (e.g., the number of complaints is an indicator of dissatisfaction, but not a direct or exclusive measure of it); and (2) when the measurement is a predictor (“leading indicator”) of some more significant performance (e.g., a gain in student satisfaction might be a leading indicator of student retention).

Performance

Performance refers to output results information obtained from processes and services that permits evaluation and comparison relative to goals, standards, past results, and other organizations. Performance might be expressed in non-financial and financial terms.

Two types of performance are addressed in this Criteria booklet: (1) operational; and (2) student- and stakeholder-related.

Operational and faculty/staff performance refers to performance relative to effectiveness and efficiency measures and indicators. Examples include cycle time, productivity, and regulatory compliance. Operational performance might be measured at the work unit level, key process level, and school level.

Student- and stakeholder-related performance refers to performance relative to measures and indicators of student and stakeholder perceptions, reactions, and behaviors. Examples include student retention, complaints, and survey results. Student- and stakeholder-related performance generally relates to the school as a whole.

Process

Process refers to linked activities with the purpose of producing a product or service for a customer (user) within or outside an organization. Generally, processes involve combinations of people, machines, tools, techniques, and materials in a systematic series of steps or actions. In some situations, processes might require adherence to a specific sequence of steps, with documentation (sometimes formal) of procedures and requirements, including well-defined measurement and control steps.

In many service situations, particularly when customers are directly involved in the service, process is used in a more

general way — to spell out what must be done, possibly including a preferred or expected sequence. If a sequence is critical, the service needs to include information to help customers understand and follow the sequence. Service processes involving customers also require guidance to the providers on handling contingencies related to customers' likely or possible actions or behaviors.

In knowledge work such as teaching, strategic planning, research, development, and analysis, process does not necessarily imply formal sequences of steps. Rather, process implies general understandings regarding competent performance such as timing, options to be included, evaluation, and reporting. Sequences might arise as part of these understandings.

Productivity

Productivity refers to measures of efficiency of the use of resources. Although the term is often applied to single factors such as staffing (labor productivity), machines, materials, energy, and capital, the productivity concept applies as well to the total resources used in producing outputs. Overall productivity — sometimes called total factor productivity — is determined by combining the productivities of the different resources used for an output. The combination usually requires taking a weighted average of the different single factor productivity measures, where the weights typically reflect costs of the resources. The use of an aggregate measure of overall productivity allows a determination of whether or not the net effect of overall changes in a process — possibly involving resource tradeoffs — is beneficial.

Effective approaches to performance management require understanding and measuring single factor and overall productivity, particularly in complex cases when there are a variety of costs and potential benefits.

What makes a difference in raising student achievement in high school?

Make high schools more consistently challenging for all students.

How?

- Eliminate low-level coursework -- define a rigorous, common academic core and require it for all students. Additionally, require a concentration of either further academic studies or a career/technical area.
- Prepare *all students* through a strong academic core for further learning in either universities, community colleges, technical training or in the workplace.
- Make academic core courses consistent through common course content and student achievement standards. Establish methods of checking for consistent delivery of coursework. Include challenging academic content in vocational-technical courses.
- Use quality end-of-course tests to measure student achievement in courses at the individual student, school, district and state levels. Provide consequences for students and schools that fail to meet achievement standards.
- Increase participation in the use of early assessment of readiness for college-level or career-oriented technical coursework through such programs as ACT's Early Planning and Assessment system, the College Boards' Preliminary SAT (PSAT) or career assessments.
- Increase ACT, SAT, AP and International Baccalaureate participation.
- Track progress by reporting trends in state and national test results by student groups using race/ethnicity and economic background and by school, district and state in order to increase focus on success in reaching higher expectations for *all students*.
- Push for *all students* to take challenging math courses in their senior year.
- Improve teacher knowledge of the subjects that they teach – *and* how to effectively teach the content matter of the subject.

warned that cuts in defense spending were pushing Russia toward a point "beyond which its missiles and nuclear systems become uncontrollable."

The Clinton administration is for the first time formally reviewing options for taking U.S. and Russian nuclear arsenals off hair-trigger alert. The possibilities include: taking warheads off missiles and storing the warheads up to hundreds of miles away from the silos; removing missiles' guidance systems (reinstalling them would take expert technicians at least a few hours); and keeping ballistic-missile submarines either in port or at patrol locations well out of range of their targets. Compliance with these measures would be possible to verify through on-site inspections or satellite images.

Deliberately increasing the time needed

Deliberately increasing the time needed to fire weapons could lower the risk of a terrible error.

to launch nuclear weapons would have an added benefit: At a time when the START approach of shrinking the overall arsenal is under increasing attack in the Russian parliament, this would introduce a new approach to arms control. Bruce Blair, a nuclear-command-and-control expert at the Brookings Institution in Washington, D.C., argues that a sensible first step for President Clinton is to immediately de-alert long-range missiles slated for retirement under the stalled START II agreement. If President Yeltsin responded in kind, the two presidents could engage in a virtual disarmament process that, over time, might eventually succeed in dismantling the nuclear balance of terror without going to the controversial extreme of completely eliminating nuclear weapons.

De-alerting missiles would not only make the world safer but could also provide President Clinton with the historic achievement he has long sought. The limited-test-ban treaty is still considered one of the great achievements of the Kennedy presidency. And in a survey conducted last September, reducing the risk of nuclear war ran second only to improving U.S. education as the most important legacy President Clinton could leave his country.

12 How to keep elite colleges diverse

An Army-style prep school for minorities

BY DEBRA DICKERSON

Eighteen-year-old Charles Woodruff says he wants a "quality education" so that he can get a "great job." It takes a cold heart not to wish him well. Woodruff grew up in a working-class African-American and Latino neighborhood in Lubbock, Texas, under the watchful eye of his divorced mother, Jackie Orams, who has worked variously as a bus driver, a nurse's aide, and a "cafeteria lady" in the Lubbock school system. Charles has never been in trouble, never gotten involved in the pockets of pathology around him. "The drugs and gangs are there, but you never really see that stuff," he says, "unless you're looking for it." His dream of getting into a top-notch college seemed within reach when he graduated last spring second in his class of 223 at Estacado High School—not to mention the

fact that he was also a power forward on the school basketball team. But then he took the math and verbal SAT and earned only a combined score of 890.

That lackluster score illustrates one of the more painful realities of race in America: African-Americans on average score 197 points lower on the SAT than whites. This gap has been shrinking in recent years; it was 22 percent wider 20 years ago. But it is still large enough that relatively few blacks would make it into the nation's top 100 colleges or universities—particularly those that rely heavily on SAT scores as admissions criteria—without the aid of race-conscious admissions policies.

Demoralizing, illegal. Because these policies let in some black students ahead of some whites or Asians with higher SAT scores, they are, to say the least, controversial. They anger many whites and Asians who feel harmed by them directly. They



West Point "prep" students think positive thoughts—and boost their SAT scores 10 points.

demoralize many black students as well, by placing some of them in highly competitive academic environments for which they are insufficiently prepared (nationwide, the college dropout rate for blacks recently has been 22 percentage points higher than for whites). And in several recent high-profile cases, courts have deemed these policies illegal.

Court challenges are leading more and more of the nation's top state universities (and a few private ones) to abandon race-based admissions policies. The result: plummeting black admissions at some of these schools, though not all (story, Page 34). At the University of Texas-Austin—the flagship school in Woodruff's state—

institution devoted to a single crucial task: preparing the promising but under-qualified applicant of any race for admission to West Point and success when he gets there. USMAPS represents on a small scale the approach that has made the Army's leadership more racially diverse without diluting its commitment to excellence. Minority groups are given special encouragement and preparation to compete—but then all candidates fight it out on merit alone. The success of this strategy makes USMAPS a useful example for civilian colleges and universities struggling to maintain diverse student bodies in the post-affirmative-action era.

Established in 1916 to help enlisted men pass the West Point entrance exam, USMAPS now also prepares high school graduates who, like Woodruff, have no military background but possess what the Army considers to be hidden potential. Located at Fort Monmouth in Eatontown, N.J., the prep school bears little resemblance to Groton or Exeter. The architecture is not historically romantic but military realist (squat, cinder block buildings; no ivy). Classroom attire



USMAPS pushes reading, math, and sports—cheering included.

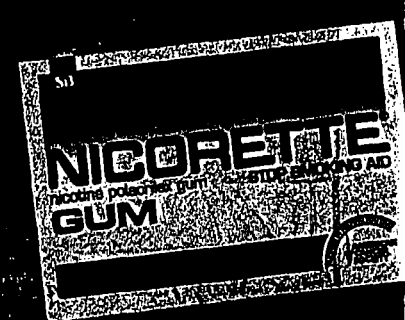
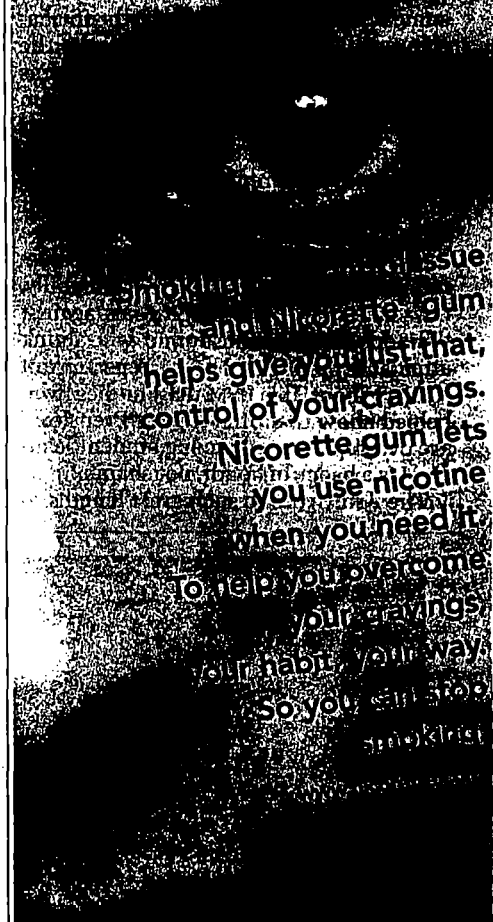
the percentage of blacks enrolled in the law school plunged from 5.8 percent in 1996 to 0.9 percent this fall. UT-Austin's undergraduate program managed to keep approximately the same percentage of blacks in its freshman class this year by deemphasizing the SAT. But deemphasizing test scores does nothing to better prepare young African-Americans for the rigors of academic life. Nor will it necessarily protect schools like UT-Austin from future court challenges.

Yet Charles Woodruff, despite the handicap of his SAT scores, has gotten a second chance, through a program that illustrates a way around some of the worst dilemmas of affirmative action. He wanted to go to West Point, the Army's elite officer training academy. Rather than admitting him to the academy, where he would likely have floundered because of his inadequate preparation, or rejecting him outright, which would have ignored the strength of character he had shown in school and sports, the Army enrolled him in the United States Military Academy Prep School, or USMAPS. This is a unique

is not chinos and loafers but fatigues and spit shined boots. Parade grounds for marching practice take the place of a tree-lined quad, and classes snap to attention when the instructor enters.

Scores up. What USMAPS lacks in atmosphere it more than makes up for in achievement. Black students who persevere (approximately 28 percent drop out, the same as the overall rate) through the tough 10-month USMAPS program wind up with SAT scores that on average are 95 points higher than when they started. (Overall, USMAPS graduates boost their SAT scores 110 points.) This gives the average black USMAPS grad a combined SAT score of 1085. That's still 125 points below the average score for all West Point freshmen, but West Point's experience shows that it is close enough to allow USMAPS graduates to succeed once they reach the academy. USMAPS grads leave West Point with somewhat lower than average GPAs (2.51 versus 2.90) but with better ratings on various of the other leadership measures that military academies prize. And 78 percent of USMAPS alumni

"PLEASE PARTICIPATE IN YOUR OWN SURVIVAL"



graduated from West Point in four years, a half-percentage point higher than average. These accomplishments, according to USMAPS officials, illustrate the perseverance and general strength of character developed by the preparatory program. Says Col. Rickey Kolb, the USMAPS commandant, "My cadet candidates will always have to give close to 100 percent if they want to make it at West Point."

Far from being stigmatized as the presumed beneficiaries of relaxed affirmative-action admissions standards, the USMAPS grads are generally regarded as the "vanguard" of their classes. They seem well aware that more, not less, is expected of them because of their leg up. In many institutions, a "prep school" background might connote coddling; at West Point it means the reverse. Prep graduates arrive knowing how to salute, how to make hospital corners, and, more fundamentally, how to achieve long-range goals against tall odds. West Point alumni who didn't attend the prep school have a repertoire of stories about the USMAPS buddies who helped show them the ropes. "Prepsters" are overrepresented among student leaders. It's a badge of honor, not shame.

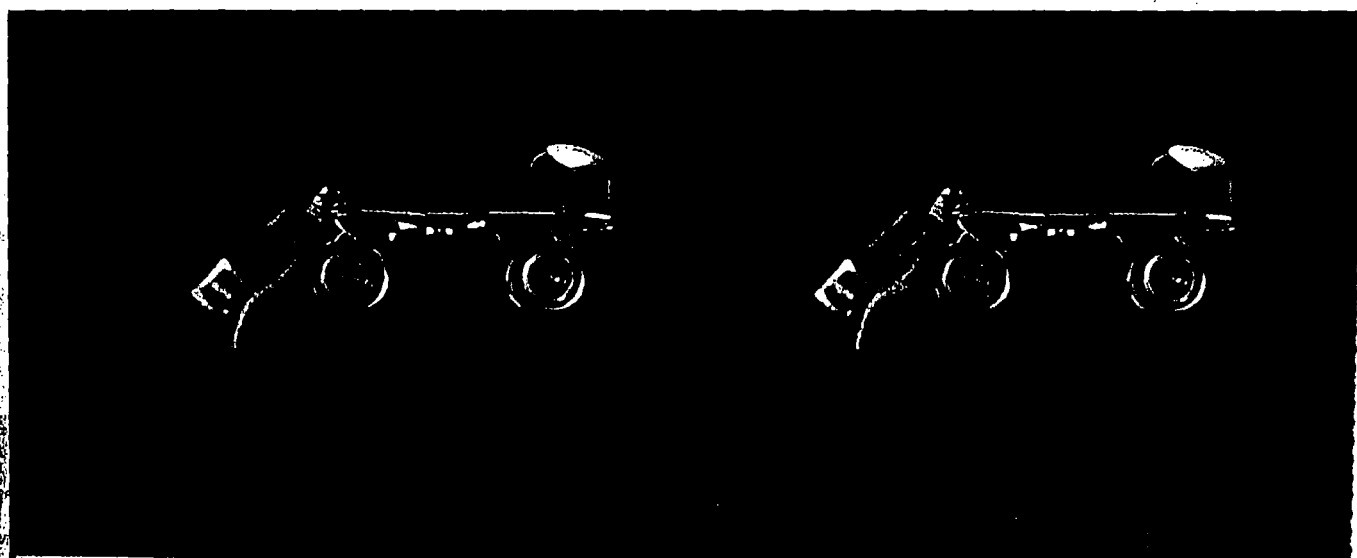
The Army goes to such great lengths to

bring black recruits into West Point because the stability and smooth functioning of the entire service depend on it. During the 1960s and 1970s, the percentage of blacks in the enlisted ranks grew much faster than the percentage of black officers. That led to low morale and racial tension. Army leaders judged that some form of affirmative action was needed. But rather than selectively lower standards to achieve racial balance, the Army chose to raise the qualifications and preparedness of new officer recruits. USMAPS became the main vehicle for bringing such recruits into West Point, and from there into the officer corps. Today, about 30 percent of the Army's soldiers are black, as are 11 percent of its officers and 7 percent of its generals—a critical mass of black leadership approached in few other American institutions. "Thank God for the prep school," says Col. Patrick Toffler, director of West Point's Office of Policy, Planning, and Analysis. "Without it, [West Point] would go from 7 to 9 percent black to only about 4 percent."

USMAPS accomplishes this feat by focus-

The Army trains these West Point candidates to compet-

ing on the basics. Except for a light dose of military studies, the prep school teaches only two academic subjects: math and English. "Those are what kept them out of West Point in the first place," says the commandant, Colonel Kolb. In addition to athletics, the only other focus at USMAPS is the "student success course."



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negative messages they've programmed themselves with (e.g., "This always happens to me") and then replace them with positive, responsible thinking techniques (e.g., "This happened because I didn't study enough," or "Am I thinking or doing the most effective thing I could be right now?"). "They scoff," says Ignoffo, "but eventually the reprogramming sets in, because we keep reinforcing it."

USMAPS is such a creature of the military that applying its logic to the civilian world may seem impossible. The price alone would seem prohibitive: The 10-month course of study at USMAPS costs the Army somewhere between \$40,000 and \$60,000 per student. Part of this expense involves the all-encompassing nature of any military school experience. USMAPS is more expensive than a more limited civilian counterpart might be. Moreover, civilian colleges and universities already incur significant (if lower) costs by requiring that their less prepared and lower-scoring freshmen take remedial education courses. Such courses do seem to work, to some extent. Elite schools with well-funded remedial programs have lower black dropout rates than other colleges and universities. Yet blacks still drop

out from these elite schools at higher rates than other students at these schools, which is not the case with black USMAPS alumni at West Point.

More dignity. The difference may be that remedial programs reek with the air of failure. Students may be humiliated to be placed in them; they start their college competition behind everyone else. By moving the preparation outside the normal curriculum, West Point and its prep school provide ambitious but unready students with a less belittling and distracting environment. In principle, there is no reason why civilian colleges and universities couldn't reap the same advantages by creating discrete prep-school-like institutions and splitting off to them the remedial functions they now provide on campus.

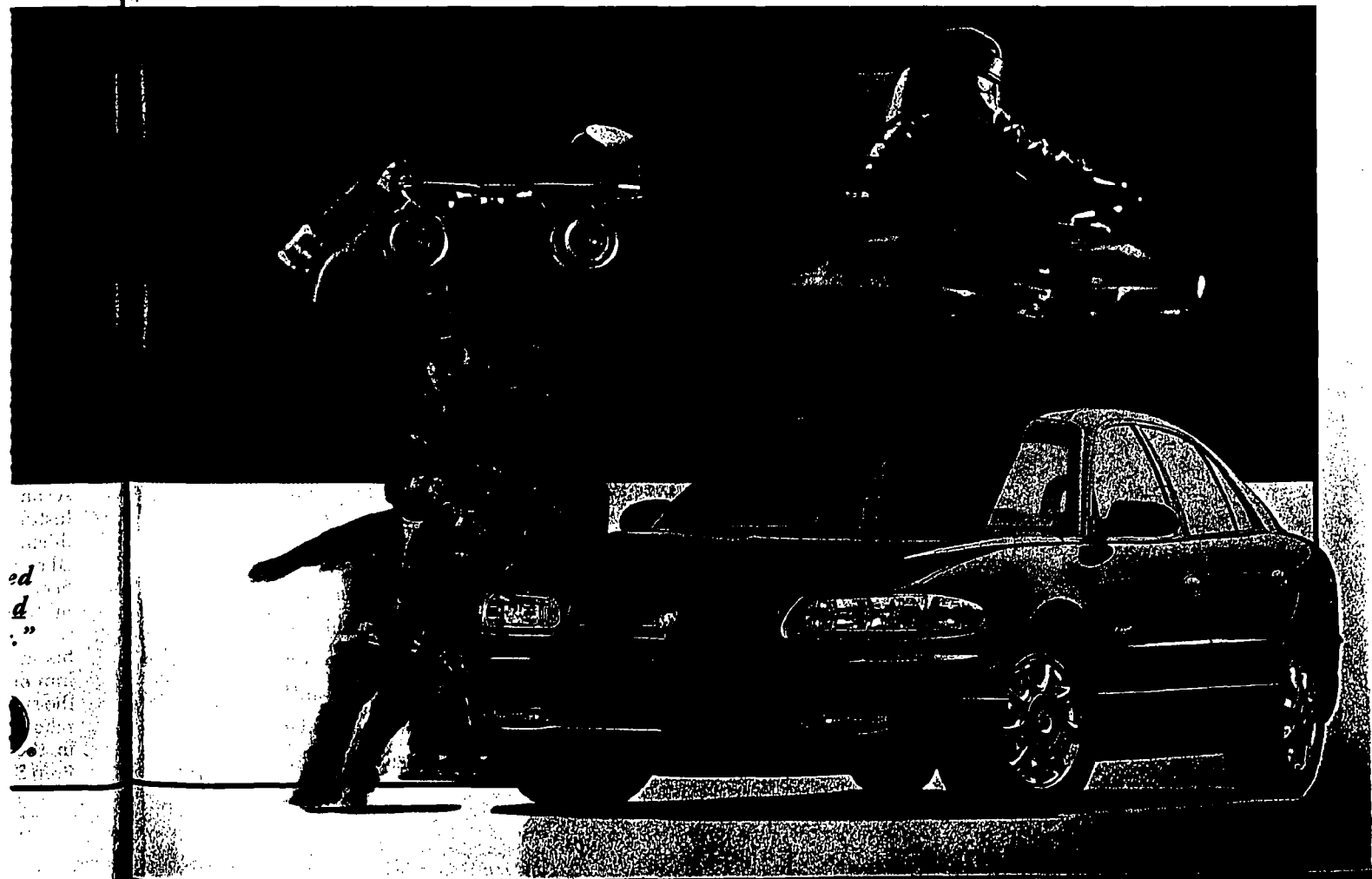
Certainly, some aspects of the USMAPS model—buzzed haircuts, 5:30 a.m. reveille—would be inappropriate in a civilian setting. Also, West Point guarantees admission to any student who successfully completes the 10-month USMAPS coursework. Doing so in a civilian equivalent might invite anti-affirmative-action lawsuits. Graduates of these civilian prep schools would probably have to join the pool of regular high school gradu-

to compete

academically. Civilian colleges could do the same.

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There, students learn how to learn—how to study, take notes, set goals, manage their time efficiently, and, perhaps most important of all, how to spot and conquer self-defeating attitudes and behaviors. For example, Matthew Ignoffo, the course instructor, focuses on "meta-cognition," forcing students to "hear" and vocalize the



ates and compete for admission.

Still, their chances of gaining admission should be excellent. Their SAT scores would presumably have risen. And while their scores still might not meet the average, they would have something regular high school graduates would not: a diploma from the prep school. Colleges and universities should be well within their legal rights to give credit to such a diploma because, like a high SAT score or a diploma from a top magnet school, it would be a valid measure of that student's chances of making it successfully through the school's course work in four years.

The idea of creating USMAPS-style civilian prep schools has its critics. One objection is that the Army uses quota-like racial preferences in order to achieve an average 18 percent black enrollment at USMAPS; to reach comparable rates of black presence, civilian schools would probably have to do

Attire at the Army's prep school is not chinos and loafers but fatigues and spit shined boots.

so, too. "Moving the affirmative action back a year won't quiet the critics," predicts Christopher Edley Jr., a Harvard Law School professor and consultant to President Clinton's race initiative. Yet if entry into the prep school departed from the USMAPS model in not guaranteeing admission into a college or university, it should be no more subject to legal challenge than other programs that disproportionately help black young people, such as summer jobs programs in urban areas or federal grants to urban high schools.

Another criticism is that helping a small number of top black high school graduates get into top colleges and universities does nothing for the vast majority of African-Americans. "It dodges the question of training kids generally, not just the elite," complains Abigail Thernstrom, coauthor of *America in Black and White* and a leading critic of affirmative action. But such a program need not take the place of other efforts to improve, say, public schools. Moreover, the value to American society of having a significant number of blacks make it through elite schools and into leadership roles in corporations, law firms, government agencies, and other institutions is not all that different from the value the Army sees in having a sizable number of black colonels and generals. The smooth functioning of the country may depend on it. ■

13 How to reduce teens' road accidents 'Graduated' licenses

BY WARREN COHEN

Obtaining a driver's license is one of the most triumphant events in a teenager's life. It's also a day most parents should dread, because teenagers are the most unsafe drivers on the road, a threat to themselves and others.

Sixteen- and 17-year-olds represent only about 2 percent of all drivers, but they

cense drivers under 18. But in America, where teens often need to drive to work and school and parents are eager to stop chauffeuring, raising the licensing age seems impractical and politically unlikely.

There is a practical alternative that is already saving lives in parts of the country: graduated licenses. This new approach (adopted in eight states) creates a three-tiered system of limited driving privileges



JONATHAN SAUNDERS FOR USMWR

In some states teenagers need to prove they can drive safely to earn full driving privileges.

are involved in nearly 11 percent of crashes. Traffic accidents are the leading cause of death for teens, costing 5,805 lives in 1996. The obvious response to such gruesome statistics is to call for more driver-education classes. But a landmark 1982 government study found that teens who take driver's ed are just as likely to be involved in crashes as those who don't.

The problem lies not with driver's ed but with teenagers, who tend to be impulsive and fearless. They are much more apt to speed, tailgate, shun seat belts, and show off. Indeed, about 44 percent of 16-year-olds' accidents are single-car crashes, such as smashing into a tree, which basically indicates foolish driving.

A direct approach to the problem would be to raise the age at which teens can get their licenses. Beginning drivers who are over age 21 have fewer crashes and other problems than do beginners in their teens. In fact, many countries don't li-

that become more generous as a teen gains behind-the-wheel experience. The first stage requires a mandatory learner's permit ranging from three months to one year. With such a permit, a teen can drive only with a licensed adult in the passenger seat. A teenager who remains incident free during this period receives an intermediate license, which requires an adult in the car during evening hours, the most likely time for dangerous joy riding. A teenager who goes through a year without accidents or violations gets a full license.

There is evidence that the three-tiered system works. Studies in California, Oregon, and Maryland have found drops in teen crashes ranging from 5 to 16 percent after those states instituted components of graduated-licensing systems. These results have impressed legislators in other states. The faster more states move to adopt graduated licenses, the more lives will be saved. ■

15 How to give working parents more time with their kids

Create public schools at work

By BARBRA MURRAY

Like millions of American fathers, Mark Politte drops off his child—4-year-old Anna—at school every morning. But unlike most other dads, he also picks his child up after school each day. He has lunch with her occasionally, too. He never misses a parent-teacher conference. He knows most of the other kids in Anna's class by their first names, and he knows most of their parents pretty well. He will even show up in her class at a moment's notice when summoned by the teacher to lend support on a disciplinary matter or to comfort Anna over a skinned knee. And no, he is not a stay-at-home father. He is the director of room operations at the Radisson Twin Towers Hotel in Orlando, Fla., a demanding 50-hour-a-week job.

Politte can accomplish this superparental feat because Anna's school is literally 100 yards from his office. Parked just behind the hotel, the school is actually a large trailer with a cute wooden facade to make it look like an old-fashioned one-room schoolhouse. The hotel built the school, which covers prekindergarten through first grade, at its own expense as a perk for its employees. It then handed the facility, packed with high-tech learning equipment, over to the local public school district, which staffs and runs the school. Politte and his fellow employees can enroll their children there and pay not a dime beyond the local taxes they already contribute.

The school is called a "satellite learning center," and others like it are popping up all over the country. The first SLC was built 10 years ago by an insurance company in Miami, the American Bankers Insurance Group. Today there are some 30 SLCs, from a K-through-third-grade facility on the corporate campus of Hewlett-Packard in Santa Rosa, Calif., to a school serving 19 smaller businesses (connected by skywalks) in downtown Des Moines, Iowa. A cottage



The Radisson Twin Towers Hotel has a public school on its grounds for the children of employees.

industry of consultants has emerged to help broker these kinds of partnerships between school districts and employers.

There are natural limits to how many such schools would ever be built and how many families would choose them for their children. The schools can pull children away from the friendships and play groups that arise naturally in many neighborhoods. They also may subject children to commutes that are as long as those their parents face and expose students to the risk of having to switch schools if their parents change or lose jobs. Still, the number of SLCs is sure to keep growing because, at their best, they

can relieve the symptoms of numerous ailments afflicting public education and people's private lives.

Easing the time bind. The most obvious relief comes to working parents stuck in what sociologist Arlie Russell Hochschild calls "the time bind." In her much discussed recent book of the same name, Hochschild lamented the way modern parents, particularly those in dual-earner households, don't take advantage of programs offered by family-friendly employers—such as job sharing, telecommuting, and part-time work—that could allow them more time with their children. Instead, many working parents choose to

put in long hours on the job, in part because offices have taken the place of neighborhoods and churches as the primary social institutions in many people's lives. In a survey of employees at *Fortune* 500 companies, 47 percent of respondents said work was the place where they had the most friends; 16 percent singled out their neighborhood; and 6 percent mentioned their church or temple.

Many of these same parents, of course, are also angst ridden about not spending enough time with their children. Hochschild concludes that parents should fight the temptation to devote so much time to work and invest more in their homes and neighborhoods. But if workplaces are becoming the modern equivalent of neighborhoods, it may be more practical to go with the flow and bring the ultimate neighborhood institution, the public school, into the workplace. Young Johnathan Shine, a second grader at an SLC at Orlando Regional Healthcare System, can't suppress a grin when he speaks of visiting his mom at work. He can even spot her office window when he climbs atop the purple and green jungle gym behind his school. Anna Politte, who attends both prekindergarten class and extended day care at the Twin Towers school, enjoys drawing pictures for her father's coworkers, with whom she has made friends. Hotel management also notes the interest guests take in the young students, especially when the brigade makes its daily lunchtime trek to miniature dining tables in the hotel restaurant. As for overzealous parents constantly dropping in on the morning lesson, neither teachers nor company administrators cite instances of parents' abusing the privilege.

Students at the Hewlett-Packard school test higher on reading than do other public-school students.

Locating public schools at the workplace also reduces a host of other problems that plague American education. For instance, public schools tend to reflect the demographic makeup of their surrounding neighborhoods, which often are racially homogeneous and segregated by class. Thus students often have little personal experience with American children who are different from themselves. SLCs, on the other hand, tend to reflect the relatively diverse demographics of the workplace. Mark Politte, a white manag-

er, sends his daughter to the same school that Alfreda Huntington, a black general cashier in the accounting department, sends her grandson. The boy's parents are in the military and stationed in Puerto Rico. Huntington says she is "thrilled" about being able to build closer relationships not only with her grandson but with some of the hotel's high-level executives, whom she now encounters amid

SLCs offer financial benefits to school districts. When a corporation agrees to build and furnish a small school, it relieves some of the fiscal pressure on school districts, many of which are scrambling to add classrooms to cope with increasing enrollments and demands that class sizes be reduced. Corporations can reap financial rewards, too. ABIG, the Miami insurance company, estimates that its work-



Parents can easily stop by the Radisson hotel public school to see their kids during recess.

the children's building blocks on the classroom floor.

No comprehensive surveys have been done to see how well kids at SLCs perform compared with other public school students. But a few small studies suggest that SLC kids are more than able to hold their own. The reading scores of students at the Hewlett-Packard school, for instance, were 43 percent higher than those

place school has saved the firm \$475,000 this year in part because of lower employee turnover and absenteeism.

Naturally, putting a public school in the workplace can cause new tensions. Companies and school districts have battled over who is responsible for such small but crucial tasks as paying for and changing light bulbs. While an on-site school can make it easier for employers to hire, it also may make it more wrenching for them to fire troublesome or underperforming employees, because it means pulling their children out of the school. (Many SLCs try to lessen the impact by allowing students whose parents no longer work on site to finish out the semester.) And while SLCs may strengthen the bonds of community in the workplace, they doubtlessly weaken them in neighborhoods.

Still, many of those with children in SLCs have no doubt that the tensions and tradeoffs are worth it. Mark Politte even enjoys his morning commute now that he gets to spend it with Anna. "I love it," he says. "We have our own morning routine together."



Andy Rotherham
11/16/99 10:37:38 AM

Record Type: Record

To: Anna Richter/OPD/EOP@EOP
cc: Kendra L. Brooks/OPD/EOP@EOP, Bethany Little/OPD/EOP@EOP
Subject: Re: White House Wins Deadline 

Here are the bullets that need to be changed in terms of verbiage w/ changes incorporated. Please have OMB scrub the numbers before this goes out. There are inconsistencies in many places, one sheet has one number for a program and another sheet has a different number. Also, on class size, we are NOT using the 3,200 teachers number. We asked for money for 6,000 teachers and so we're sure not going to run around saying that we got funding for only half-of-that. Our line is that we, "are on track to the President's goal of 100,000 high quality teachers to reduce class size in the early grades."

Thanks.

Andy

✓ **More High-Quality Teachers With Smaller Class Sizes:** Despite resistance from Congressional Republicans, the budget agreement includes a second installment of \$1.3 billion to help reduce class size in the early grades. This year's investment is enough to support the 29,000 teachers hired last year and stay on track to the President's goal of 100,000 high quality teachers.

✓ **Funds to Help States Turn Around the Lowest Performing Schools:** The final bill provides \$_____ million to help states and school districts fix low-performing schools. In addition, the bill provides \$7,807 million for the base program, Title I Grants to school districts, an increase of \$75 million over last year, to continue efforts to help disadvantaged students succeed academically.

✓ **More Than Twice as Much Federal Support for After School Programs.** The final budget more than doubles the federal investment in these programs to \$450 million, to provide educational support to nearly 675,000 students – 375,000 more students than last year. Extended learning time is key strategy to help all students reach challenging academic standards.

✓ **Early Intervention to Help Disadvantaged Students Prepare for College:** The final budget increases funding for the President's GEAR UP college preparation initiative from \$120 million in 1999 to \$200 million to support State projects and partnerships of colleges, high-poverty schools, and community organizations, to help 482,000 students aspire to and prepare for college starting in the 7th grade.

✓ **More Education Technology for Students.** The final budget triples funding for community-based technology centers to reach at least 120 low-income communities, provides \$75 million to train new teachers in the use of technology, and provides \$425 million to states and school districts to purchase computer hardware and educational software. Total investment in educational technology is increased to \$768 million, up from \$698 million in 1999.

✓ **Head Start:** A \$607 million increase to fund President's request of up to an additional 44,000 slots for children and keeping on track towards one million children served by 2002. Head Start helps disadvantaged students start school prepared to learn and achieve academically.

✓ **Charter Schools:** A 45 percent increase in funding for public Charter Schools to keep on track toward 3,000 high quality charter schools early in next century.

✓ **Hispanic Education Agenda:** Increase of \$597 million for HEAP programs to enhance educational opportunities for our fastest growing student population.

✓ **Largest Maximum Pell Grant Award Ever.** The final budget provides \$7.7 billion for Pell Grants, increasing the maximum Pell Grant award from \$3,125 to \$3,300. The maximum award has increased 43 percent since President Clinton and Vice President Gore took office in 1993.

And on the second sheet:

✓ **More High-Quality Teachers With Smaller Class Sizes.** President Clinton's Budget included the second installment of his plan to help reduce class size in the early grades by hiring 100,000 new teachers. Congressional Republicans initially reneged on last year's bipartisan agreement by not specifically providing funds for Class Size Reduction. The Republican proposal did not guarantee funding for the 29,000 teachers hired last year, and would have allowed Class Size dollars to be used for almost any activity, including vouchers, rather than hiring qualified teachers. The final budget enhances last year's teacher quality and flexibility provision and provides \$1.3 billion for Class Size Reduction, enough to support the 29,000 teachers hired last year, and stay on track to hiring 100,000 new high quality teachers.

✓ **Funds to Help States Turn Around the Lowest Performing Schools.** In his State of the Union address, President Clinton insisted that "all states and school districts must turn around their worst-performing schools – or shut them down," and his Budget included a set-aside in the Title I program to help states and school districts fix failing schools. Congressional Republicans failed to provide funds for this important initiative. The final bill provides \$_____ million to help states and school districts use proven strategies to overhaul low-performing school and hold schools accountable for results. In addition, the bill provides \$7,807 million for the base program, Title I Grants to LEAs, an increase of \$75 million over last year, to continue efforts to help disadvantaged students reach high academic standards.

✓ **More Than Twice as Much Federal Support for After School Programs.** In his State of the Union address, President Clinton said that “all schools must end social promotion the right way by providing students with the tools to meet challenging academic standards. The President pointed out that we fail our children in the long run when we allow them to pass from grade to grade without mastering the material.” The President called for a large investment in after school and summer school programs to extend learning time for students. The final budget more than doubles the federal investment in these programs to \$450 million, to provide educational support to nearly 675,000 students – 375,000 more students than last year.

✓ **Early Intervention to Help Disadvantaged Students Prepare for College.** House Republicans proposed to terminate the President’s GEAR UP college preparation initiative for low-income students. The final budget increases funding for GEAR UP from \$120 million in 1999 to \$200 million to support State projects and partnerships of colleges, high-poverty schools, and community organizations, to help 482,000 students aspire to and prepare for college starting in the 7th grade. The final budget will allow schools to expand services to the next class of students and will provide awards to new grantees.

✓ **More Education Technology for Students.** The President’s Budget included funding for programs that would help prepare students and teachers for the 21st Century through the use of education technology. House Republicans proposed reducing or denying funding for programs that provide technology to low-income communities, training for teachers, and computers to school districts. The final budget triples funding for community technology centers to reach at least 120 low-income communities, provides \$75 million to train new and experienced teachers in the use of technology, and provides \$425 million to states and school districts to purchase computer hardware and educational software. Total investment in educational technology has increased to \$768 million, up from \$698 million in 1999.

✓ **Investments To Help Improve the Educational Outcomes of Hispanic Americans.** President Clinton’s budget included an ambitious agenda to address the disproportionately low educational achievement and high dropout rates of Latino students. The final budget includes \$_____ million in increases for a number of education programs that help to improve the educational outcomes of Latinos and limited English proficient students, including Title I Grants to LEAs, Adult Education, Bilingual Education, and TRIO. The increase to Adult Education targets \$25.5 million for the President’s ESL/Civics Initiative, which would provide instruction in both English literacy and critical life skills necessary for effective citizenship and civic participation.

✓ **Indian Education** – The President’s FY 2000 Budget included \$77 million for Indian Education programs which included \$10 million for the Native American Teacher Corps initiative to train and develop 1000 new American Indian and Alaskan Native teachers. The final budget provides the President’s full request for Indian Education to address high teacher turnover rates in Indian schools and to improve elementary and secondary public education programs for all Indian students.

✓ **Making Schools Safe, Disciplined, and Drug-Free.** The budget agreement provides \$605 million for school-based drug and violence prevention programs, including the President's \$50 million request for the Coordinator Initiative, that would provide coordinators to plan, implement, and evaluate successful prevention programs in middle schools across the Nation. House and Senate Republicans initially failed to provide any funding for Project SERV, a new initiative to provide emergency assistance, such as crisis counseling and increased security, to school districts that experience a violent and traumatic crisis. The President, however, successfully fought to secure funding for the program.

✓ **Increasing Public School Choice Through Charter Schools.** The budget agreement provides \$145 million for Public Charter Schools, an increase of \$45 million over the FY 1999 enacted level. This will strengthen and expand public school choice by providing startup funding to as many as 2,400 charter schools next year, about 650 more schools than this year. The President has pledged to help start 3,000 charter schools across the country by early next century. When the President was first elected in 1992 there was only one charter school operating in the country, this year more than 1,700 will serve a diverse student body in more than 30 states. This remarkable growth is in large part due to the President's leadership and support for these innovative high quality schools.

✓ **Investing in Education Research and Development.** The President's Budget requested \$109 million for education research, an increase of \$45 million over the FY 1999 enacted level. Congressional Republicans initially neglected to provide sufficient funding for these critical investments for the future and eliminated funding for large-scale, joint research with the National Science Foundation and the National Institutes of Health on early learning in reading and mathematics, teacher preparation, and technology applications. The final budget agreement provides \$85 million for research, an increase of over \$20 million that will enable interagency research with NSF and NIH and expanded research on comprehensive school reform.

✓ **Support for One Million Students To Work Their Way through College.** The President's Budget requested \$934 million for Federal Work-Study to fulfill his commitment to expand work-study to one million students in FY 2000. House Republicans initially provided only \$880 million. The final budget provides the President's Request and will give one million students the opportunity to earn money for college through part-time work.

✓ **Largest Maximum Pell Grant Award Ever.** The final budget provides \$7.7 billion for Pell Grants, increasing the maximum Pell Grant award from \$3,125 to \$3,300. The maximum award has increased 43 percent since President Clinton took office in 1993. This year, approximately 4 million students will receive Pell Grants.

✓ **Expanded Head Start.** President Clinton proposed a \$607 million increase for head Start to add up to 44,000 new slots for children, continuing on the path to serve one million children by 2002. The House Republican budget did not provide the President's increase and would have denied over 40,000 children Head Start slots if enacted. The final budget includes the President's full increase for Head Start, which is funded at \$5.3 billion. Head Start helps

disadvantaged students prepare early for success in school and is a key strategy to ensure that all students begin school ready to learn and succeed academically.

DRAFT - November 16, 1999

CHILDREN AND VIOLENCE: A RESEARCH INITIATIVE

Department of Education (DOE)

(List of agencies)

Department of Justice

National Institute of Justice (NIJ)

Office of Juvenile Justice and Delinquency Prevention, (OJJDP)

Department of Health and Human Services

Centers for Disease Control and Prevention (CDC)

National Institute of Mental Health (NIMH)

National Institute of Child Health and Human Development (NICHD)

Office of the Assistant Secretary for Planning and Evaluation, (ASPE)

Substance Abuse and Mental Health Services Administration (SAMHSA)

National Science Foundation (NSF)

Directorate for Social, Behavioral, and Economic Sciences

(Other Directorates?)

I. INTRODUCTION

The following proposal has been developed with the full recognition that agencies have proposed core budgets for 2001 that are the primary building blocks for research in the area of children, youth, mental health, and violence prevention and intervention. This proposal builds on these research agendas and should be funded only after the Federal agency budgets for 2001 have been met.

In the past four years, the country has seen a significant decline in youth violence rates. From 1993 to 1997, violence by juveniles decreased by 33%. Juvenile arrests for serious and violent crimes fell nearly 11% from 1997 to 1998. However, while this is cause for optimism, the recent tragedies of school-based violence remind us that we cannot become complacent in our attempts to understand and prevent violence and to promote children's personal and social competence. Furthermore, overall rates of violence are still unacceptably high. Homicide is the second leading cause of death for persons 15-24 years of age, and is the leading cause of death for African-American youths in this age-group. On average, 14 young people are the victims of homicide each day in the United States.

More than a generation of research has shown that violent outcomes for children, families and communities are often the result of complex risk processes. Antisocial behaviors of children and adolescents at highest risk arise from the interaction of multiple environmental and individual antecedents that may begin early in the child's life. Included in these antecedents are (1) stressful family environments, (2) lack of parenting skills, (3) alienation between family and

school and other community institutions, and (4) individual characteristics of the child, and (5) community characteristics (e.g. neighborhood disorganization, lack of resources, dangerous physical environments).

The interaction of these, among other, factors may result in the onset of aggressive behaviors, behavior problems at home, and the continuation and escalation of problems with peers and teachers when the child reaches school age. Unless interrupted (or prevented), antisocial behavior can persist throughout the school career and on into adulthood. Risk may intensify in middle school and through adolescence, as the physical, cognitive, social and emotional changes of puberty and school transitions occur. Risk may be exacerbated by exposure to negative peer pressure and environments in which few protective factors are available. Children and youth exposed to these risks are more likely to engage in interpersonal violence and other antisocial behavior, substance use and abuse, risky sexual behaviors leading to increased risk for HIV and other sexually transmitted diseases and teen pregnancy, to be depressed and/or anxious, to exhibit suicidal behaviors, and to fail academically.

Although research has provided an important body of knowledge on risk and protective factors and some of the processes that lead to prosocial or antisocial behaviors, many important questions have not been answered. With the attention that has been galvanized by the recent tragedies of school-based violence, this is a critical juncture to undertake new research which complements and builds on the unique expertise and historical leadership of each of the agencies. It is also a critical time to undertake coordinated activities which will enhance the research infrastructure and promote collaboration.

II. RESEARCH OPPORTUNITIES

Building on existing and planned research, this proposal identifies significant interagency opportunities for new work to:

- create community science partnerships which build on the Safe Schools/Healthy Student interagency initiative;
- to better monitor the nature and extent of youth violence; and
- to expand basic and applied research to conduct multi-level studies using multi-disciplinary approaches and to increase the capacity for research, dissemination, and utilization.

Building on Safe Schools/Healthy Students to Create Community Science Partnerships

Launched in FY 1999, Safe Schools/Healthy Students (SS/HS) is a significant new partnership on the part of the U.S. Departments of Education (DOE), Justice (DOJ) and Health and Human Services (DHHS). Safe Schools/Healthy Students is based on current research evidence which suggests that a comprehensive, integrated strategy can be highly effective in providing a safe school and community environment in which children, youth, and their families can develop the skills, social relationships, and emotional resilience for positive health and mental health, and

prevent violent behavior and alcohol and other drug abuse. Over the course of numerous planning sessions for SS/HS, representatives from several agencies within the three Departments presented various perspectives on how best to address the issue of improving school safety and promoting healthy child and youth development in the family and school context. A six-pronged strategy for the SS/HS program was developed to address the following elements through grants to communities:

- a safe school environment;
- alcohol and other drug and violence prevention and early intervention programs;
- school and community mental health preventive and treatment intervention services;
- early childhood social and emotional development programs;
- school reform; and
- safe school policies.

In September 1999, the President announced the award of \$100 million dollars worth of grants to 54 communities. In addition to the program dollars, participating agencies set aside a modest sum in support of a national evaluation. As currently funded, the evaluation will provided limited information on the effects and cost-benefits of SS/HS strategies in reducing violent outcomes and maintaining safe and healthy environments for high risk children, youth, and families. From the outset, those connected to SS/HS saw the potential for an even broader set of evaluation and research activities. In April of 1999, the partnership convened a meeting of prominent researchers to discuss related research questions for future exploration. The research partners have been able to address these related research questions in their individual agency FY2001 research agendas to a limited degree, but did not collaborate to create a common research strategy across the federal government.

Opportunities to Create Community Science Partnerships

With additional support provided directly to research partnerships within selected SS/HS communities, funded SS/HS communities can become carefully-defined “population laboratories.” Research conducted in carefully defined communities, as demonstrated by the landmark Framingham Heart Study and similar achievements, can benefit all Americans. A singular advantage is the representativeness of the populations collaborating in the research effort, and, consequently, the generalizability of the scientific findings that emerge from such research. The SS/HS program infrastructure can provide a rare opportunity for SS/HS communities, in partnership with researchers at local universities, to address research issues in a highly rigorous manner that cannot now be addressed with the current resources for local SS/HS evaluation. In turn, investigators can address a variety of basic behavioral and applied research questions in the context of community collaboration. The scope of these research efforts by communities will depend both on resources available and on available research capacity such as a local university or other research partner.

The creation of community science partnerships would allow the agencies to:

- Capitalize on the infrastructure to be established by the SS/HS National Evaluation to create or enhance carefully-defined data and research resources at each site.
- Provide support for investigator-initiated and/or community-initiated research that addresses scientific questions arising within the SS/HS initiative (e.g., in-depth data collection on risk and protective processes in high risk groups, economic analyses, controlled comparisons of preventive interventions, etc.).
- Build service and research capacity to allow for intensive evaluations of specific program components and combinations of components which have not been tested previously.
- Provide support for communities to independently sustain research capacity.

Examples of research issues that could be addressed by the community science partnerships include:

School/Community Nexus

- Schools as an agent of change in communities—examining the process of how prevention strategies implemented by schools influence the community to adopt violence prevention as an overarching goal.
- Community readiness for collaboration; mechanisms of community organization and collaboration as they pertain to violence.
- Mechanisms of interaction between neighborhood/community level risk and protective processes and individual characteristics.
- Impact of integrated, comprehensive strategies on community capacity and infrastructure.
- Short and long-term economic impact of integrated services; cost effectiveness of comprehensive strategies.
- Modeling of decision making processes by schools to address school violence.
- Examination of what strategies or mix of strategies are most effective in reducing school violence; which programs are best blended to form a coherent and effective strategy; what patterns of staffing and interdisciplinary training are needed to achieve outcomes.
- Examination of the range of alternative education strategies to determine what is effective; impact of school reform measures on school violence; effect of zero tolerance policies on school violence; role and impact of school resource officers on school and community violence.

Outcomes and Interventions

- Design enhancements to permit the assessment of planned variations in preventive or therapeutic interventions or more rigorous evaluation (e.g., sentinel sites).
- Examination of multiple outcomes from specific risk processes and from clusters of risk factors.
- Development and testing of innovative preventive and therapeutic interventions within a defined, representative population.
- Tests of effectiveness of intensive interventions embedded in universal programs.
- Mechanisms of fidelity of implementation of evidence-based, preventive and therapeutic interventions in diverse service delivery settings.
- Examinations of differential impact of integrated services on individuals by gender, race/ethnicity, age, and variation in family characteristics including multiple family risks.
- Detailed examination of impact of integrated services on highest risk families.

Improved Monitoring of the Nature and Extent of Youth Violence

In the past, the nation's ability to describe and monitor violence among youth has been extremely limited because of gaps in State and local information on violence; the lack of resources to monitor violence; and the competing demands on school administrators. There are gaps in knowledge and collaboration has been limited across agencies because of a number of issues including perceived data confidentiality issues to improve systems. As a result, few states, local education agencies or schools monitor violence-related behaviors.

Improved monitoring will lead to fully comprehensive and effective prevention programs. The Centers for Disease Control (CDC) have traditionally led the nations surveillance and monitoring of health concerns. CDC has suggested that activities in support of improved monitoring could include:

- development of tools to help individual SS/HS sites, and eventually all education agencies and schools, collect information on determinants, circumstances and events associated with violence-related behaviors and violence in their schools;
- a standardized national system for collecting information on the circumstances surrounding, and the number of violent deaths occurring at school;

- developing indicators of positive conditions and competencies for children and youth that characterize a safe learning environment;
- a system for coordinating data collection systems maintained by different agencies;
- information on law enforcement, public health or social service system contacts for child homicide and suicide victims; and
- a state level child fatality review system that collects information on the decedent, perpetrator, circumstances and related events associated with unnatural deaths among children under 18 years of age.

Expanding Applied and Basic Research

Review of existing and proposed budgets highlighted how much important work is already being done or planned in this area. In the first section below, the agencies have described research areas that are within their current scope of activities and where they would expect to assume lead responsibility for any additional efforts. Based on these reviews, there is general agreement among the research agencies that there are gaps in the research that might be well-served by interagency efforts. The second section below describes several possible areas for agencies to collaborate through joint funding activities and investment in cross-cutting areas of research and evaluation.

A. Ongoing Work ----- Note: This is a new section. Descriptions have been pulled from various materials which have been submitted. Not all agencies were covered in the materials. Descriptions need to be reviewed and supplemented.

HHS - The National Institute of Mental Health (NIMH)

The NIMH expects to continue as a lead agency supporting investigator-initiated research and training to enhance the scientific understanding of and effective interventions for a range of problems that may be associated with violence towards others and self. These include problems of early aggression, antisocial behavior, and other problems of externalizing behavior including conduct disorder. Also included are internalizing problems such as depression and suicide. Institute-sponsored research includes a specific focus on risk and protective factors and processes involved in the development of child aggression and anti-social behavior, youth delinquency and violence. Research also examines the escalation, continuation, and cessation of such behavior into adolescence and adulthood. Similarly, the NIMH supports the development and testing of intervention strategies to reduce risk and intervene with youth who have problem behavior.

Recent years have witnessed strong growth in our understanding of the risk factors and processes that contribute to conduct disorder and related behavioral problems. Yet gaps remain in our

scientific understanding of how child, family, school/community, and peer factors interact, and which are the most appropriate targets for prevention and early intervention in different settings. In other words, we are learning a good deal about risk in these important areas of a child's life, but need a better understanding of which combinations of risk factors should be of the greatest concern, and when, how intensely, and how long to intervene to produce lasting change.

Many developmental studies of antisocial behavior have yielded important findings for the identification, treatment, and prevention of antisocial, aggressive, and violent behavior as well as conduct disorder and associated child psychopathology. This body of work highlights the potential for preventing behavior problems from the very early stages of life. Identifying and targeting possible precursors to later behavior problems may aid in preventing a range of negative child, adolescent and adult outcomes. Intervention research is essential, particularly studies that address levels and patterns of risk to systematically address the range of negative outcomes associated with early aggression, antisocial, and other serious behavior problems.

HHS - National Institute of Child Health and Human Development (NICHD)

The NICHD would like to continue as a lead agency supporting investigator-initiated research and research training in the following areas:

- Research on the development of aggressive and violent behavior in childhood and adolescence including individual, family, and socio-cultural influences and developmental pathways.
- Research on the causes and consequences of family (domestic and child abuse) and community violence, including studies to identify the effects of violence on individual progress during infancy, childhood, and adolescence.
- Research on risk-taking behaviors including sexual behaviors, peer pressure, gang participation, and drug and alcohol use, and their relation to violence in childhood and adolescence.
- Research on factors within family, social, cultural, and school contexts which prevent violence and mitigate the consequences of violence on the physical, cognitive, social, and emotional development of children.
- Theory-based violence prevention and intervention research designed to reduce the risk for violence and/or ameliorate the consequences of violence on individual development.

The National Science Foundation (NSF)

The NSF has long supported research in the areas of biological, psychological, economic, social and cultural causes of violence involving children. Historically, they have responded to investigator-initiated proposals that usually were narrowly-focused and required only modest investments. NSF envisions a more concerted effort, centered in the Directorate for Social, Behavioral, and Economic Sciences (SBE) in partnership with the Directorate for Biological

Sciences (BIO) and the Directorate for Computer and Information Science and Engineering (CISE).

DOJ - National Institutes of Justice (NIJ)

NIJ has been involved with a longitudinal study with a focus on neighborhood and community and influences on the development of anti-social behavior. This year they will conduct a \$750,000 national evaluation of the COPS School Resource Officer program.

NIJ also plans to use \$1,000,000 of FY99 money from the COPS office to fund additional research around police officers and school safety issues. NIJ will be issuing a solicitation concerning some of these issues, particularly as they directly concern police officers. NIJ also plans to conduct additional work that will consider broader school safety issues that involve police officers as well as mental health, education, community, and family issues.

DOJ - Office of Juvenile Justice and Delinquency Prevention (OJJDP)

OJJDP is particularly interested in expanding the work they have done in the following areas.

- Relationship between depression and truancy; causes of truancy.
- Examination of programs and services to juveniles transitioning back into schools and communities from juvenile correctional facilities.
- Examination of weapon carrying behavior in schools; motivational factors for carrying weapons.
- Examination of after school programs to determine effectiveness.
- Identification of victims and risk factors associated with victims.
- Examination of juvenile victim support services.

Where possible, OJJDP would be interested in looking at these issues in the context of the Safe Schools Health Students Initiative.

B. Opportunities for New Interagency Efforts

Given the work described above, the research agencies proposed several ideas for interagency research collaboration which focus on **studies of multi-level processes** and require multi-disciplinary approaches. The research agencies also proposed ideas for **strengthening the capacity for multi-disciplinary research, dissemination, and utilization**. Further development of these ideas efforts would be coordinated by an interagency working group (see section V - Initiative Management) with the research itself carried out under the leadership of the appropriate agencies. The ideas proposed so far would be sharpened and focused through discussions of the interagency working group.

1. Studies of Multi-Level Processes

Integrated studies: NICHD suggests that in the past few decades, American society has witnessed profound growth in the rate of serious violence and antisocial behavior among its youth, particularly among disadvantaged youth (e.g., Blumstein, in press). At the same time, there has been a significant increase in research focusing on the development of antisocial individuals as well as a range of genetic, biological, social, environmental and contextual factors relating to aggression and other antisocial behavior. Despite this increase in the research on risk factors for and individual differences in aggressive and violent behavior, little is known about the specific mechanisms that underlie violent behavior in childhood and adolescence. Specifically, although there is a substantial knowledge base regarding specific risk factors for violence, little research has addressed the multilevel processes involved in understanding pathways to violent behavior. Moreover, although in recent years several promising interventions have been suggested, more research is needed to establish the effectiveness of different prevention and intervention efforts.

As a result, NICHD proposes developing a research initiative to facilitate more basic research specifically designed to add to scientific understanding of violent behavior and events among children, with an emphasis on *integrated* studies of the social, psychological, neurobiologic, and situational causes of violence and research which contributes to our understanding of *mechanisms/processes* at the individual, group, and community levels. A particular focus of this initiative will be on mechanisms and processes of change with respect to the development of aggressive and violent behavior over time and how risk and protective factors change with development and how neighborhood/community risk and protective processes interact with individual characteristics in predicting aggressive and violent behavior at different stages of the life span. Particular areas of research that will be expanded include the following:

- research on the role of early emotional development (e.g., the development of shame, empathy, and strategies of emotion/affect regulation) and language development in the development of aggressive and prosocial behavior, and research on the interactions between social, emotional, and cognitive developmental processes in increasing or decreasing the risk for aggressive and violent behavior
- research on changes in parenting as a function of age of the child and related psychosocial tasks the child is confronting, including research on the developmental course of parent-child interactions and on the way that deviations in parenting interact with the changing needs of the child in predicting child behavior problems and aggression
- research on proximal processes leading to aggression, including research which focuses on day to day or weekly interactions in school/family settings which promote both antisocial and prosocial behavior

- research on *mechanisms/processes* of change with respect to prevention and intervention efforts, including research on how interventions might change socio-emotional as well as cognitive responses to violence and/or stress
- research on definition and measurement issues with respect to aggression and violence including the development of new measures that are appropriate for children of different ages

These research activities will build upon current intramural (e.g., cooperative perinatal studies and interventions, preventing problem behaviors among middle school students) and extramural (e.g., Adolescent Health Study) activities by developing workshops and/or new initiatives that are specifically focused in these areas.

Community Trials: NIMH proposes convening a senior multi-disciplinary advisory panel on prevention of comorbid behavioral problems to guide the design of a multi-level community trial to reduce violence in children and adolescents. This group will be charged with reviewing relevant scientific findings regarding potential interventions and identifying compelling hypotheses and approaches to be tested in a community intervention.

This inter-agency initiative will develop and conduct a multi-year community and individual-level intervention trial involving a number of medium-sized communities. In a lagged baseline study, one group of communities initially will be randomized to receive a comprehensive combination of individual and community-level interventions and the others will serve as controls. After 2 years of data collection, the intervention will be implemented in the five control cities. At baseline, multiple indicators of interpersonal violence and antisocial behavior will be collected from diverse sources (e.g., school reports, police reports, hospital data, social welfare reports of family neglect and abuse, and surveys of people's perception of safety). It may be possible to involve communities that were identified through the SS/HS initiative that are poised to participate in such a study.

The core aim of the intervention trial will be to impact community norms and to coalesce and mobilize supports to enhance community efficacy in preventing violence, utilizing both targeted individual interventions and broad public health oriented strategies.

This interagency activity will require efforts on behalf of various partner agencies in order to encourage participation of and gain access to communities, establish and maintain adequate surveillance for baseline and outcome assessments, evaluate program implementation, and explore a range of research questions, not unlike those to be explored in prevention programs being implemented primarily in school settings under the SS/HS projects.

CDC also points to the need for additional scientific evaluations of promising violence prevention programs. A number of violence prevention programs have been developed and are currently

being delivered with only anecdotal evidence of their effectiveness for preventing violent behavior. Rigorous evaluations using experimental or quasi-experimental research designs are needed to determine if these interventions should be replicated and disseminated.

Formation of Violent Behavior Patterns: NSF suggests we have not considered the question: Why do some children become prone to violent behavior or victimization, while others apparently do not? Key issues are the cognitive and social processes related to the emergence of violent behavior beginning in early childhood up through adolescence, including how brain development contributes to when and how violent tendencies grow and how children gain the ability to think morally and negotiate disputes rather than resort to violence. Mammals have the potential for complex aggressive behavior, and biological research on animals can identify fundamental principles in the neurobiology of fear and aggression, and the influence of hormones on aggressive behavior. However, a large gap exists in research linking biological processes with human aggressive and violent behavior. Psychological and anthropological research can contribute to our understanding of how children's behavior is shaped by peer relations, family interactions, social identities, and community characteristics in a complex, dynamic system of factors.

Social Inhibition and Stimulation of Violence: NSF also posed the question why do some communities, institutions, families, and friendship networks show a much greater propensity for violence than others? The answer must lie in their differing social, cultural and economic conditions, but past research provides hardly more than suggestions. Research is needed on the socio-economic factors that contribute to prevalence of violence within schools, and examining how norms arise and control behavior in the dynamic networks of relationships between students. Geographical effects must be studied, such as the relationship of family moves and lack of residential stability in development of violence. Reliable knowledge is needed about how decision processes affect risky behaviors, about the variations in the kinds and amount of child-related violence in different communities, and about the dynamic process through which institutions find a balance between security and liberty. Dramatic changes are occurring in the American juvenile justice system, which seems to be moving away from a social welfare approach, and they need to be studied to determine whether they are in fact reducing or aggravating the problems. Scientific progress in all these areas can be accelerated by international comparisons of cultural, ethical, legal and organizational factors, facilitated by collaborations between US and foreign researchers.

2. Strengthening Capacity for Research, Dissemination, and Utilization

Agencies would work to identify opportunities to strengthen research capacity by expanding on existing or planned studies, such as the Early Childhood Longitudinal Birth Cohort Study. Potential mechanisms include adding additional waves of data collection to large-scale longitudinal studies and evaluations to obtain data on longer-term processes and outcomes. Other possibilities include embedding studies or adding levels of analysis to larger representative studies

(e.g., intervention components and cost effectiveness data, richer individual assessments and observations, or data on biological or community level processes). Beyond these possibilities, agencies identified a critical need to improve the capacity to support multi-disciplinary research and training.

Capacity Building Mechanisms for Multi-Disciplinary Research - Centers, Consortia, Networks

Rapid progress in understanding youth violence requires multi-disciplinary teams and networks of scientists who contribute distinctive methodological expertise and analytical skills to research collaborations. Currently, the majority of research focused on children and violence is conducted through small projects involving one or two investigators. In order to accelerate the process by which we learn more about the causes and prevention of violence, some larger projects must be funded within a distributed portfolio of activities. These should include multi-disciplinary and longitudinal research efforts. Bridging the gaps between disciplines requires bringing together top scientists in several fields to work closely on major projects, so a vital part of the investment will be centers integrating scientific research with education to produce the next generation of scientists.

Agencies have experience with a range of capacity building mechanisms including a variety of models for centers, consortia, and networks. For example, the NSF-funded National Consortium on Violence Research is one model that future centers can emulate. Other such centers might focus on family social dynamics including the effects of family violence, on assembling a national database on the functioning of juvenile courts, and on field observations of behavior in schools and communities. NIMH and NICHD also have models of networks and centers, including preventive research centers, which have been productive in bringing multi-disciplinary expertise to bear on public health issues.

Translation and Dissemination of Research Findings and Best Practice Information

Several agencies proposed the need for a translation and dissemination of research and best practice information.

NIMH proposes a translation process bridging NIMH risk-factor research on conduct disorder depression and other child psychopathology and the design and development of effective interventions to prevent violent and antisocial behavior.

NIMH would coordinate with various cooperating agencies to disseminate research findings so that approaches to the provision of services, including preventive interventions, are informed by scientific inquiry in this area. This process may involve a combination of activities to equip services providers with the most current information on the delivery of cost-effective interventions. These activities will include jointly sponsored conferences and workshops for professionals.

This work will build on an on-going assessment activity known as "Taking Stock," in which NIMH staff have collaborated with invited research specialists to examine the current state of research knowledge about how diverse risk factors affect the onset, course, maintenance, and developmental pathways into and out of conduct disorder, aggressive, and antisocial behavior. The results of that inquiry have provided a blueprint for identifying potent and potentially malleable points for preventive intervention. This information, in combination with the results of the upcoming October NIMH/NIH meeting on the status of intervention research to prevent and reduce youth violence, should help identify where effective interventions targeting established risk factors exist but have not been employed and evaluated in diverse communities and populations

The proposed interagency activity is intended to take such interventions at all levels into more diverse "real world" settings and examine critical issues such as how well they work, what components are critical, and how cost effective they are.

CDC proposed research on effective translation of scientific findings into practical violence prevention programs. State-of-the-art scientific findings produced in highly controlled, expensive research studies need to be converted into programs that can be implemented inexpensively in real world settings.

NSF suggested an Internet-based system for broad dissemination of research results would be extremely valuable for development, integration, publication and dissemination of accurate data and indicators, for example of child well-being, of safety and security, and of trends.

III. READINESS OF THE SCIENTIFIC COMMUNITY

The agencies cooperating in this effort have conducted detailed reviews of their research portfolios to verify readiness for rapid progress. Each agency supports some science in more than one area of research on children and violence. In addition, each supports considerable research in adjacent scientific areas, such as other behavioral problems of youth, the effect of stress in general on child development, and violent behavior among adults. Thus, the agencies possess the necessary theoretical and methodological partnerships and tools, as well as the trained personnel, to effectively apply increased funding to reducing problems concerning children and violence and promoting social competence and mental health.

IV. ADDED VALUE OF THE INTERAGENCY INITIATIVE

Fundamental research, surveillance, and program evaluation have historically been concentrated in different agencies. Therefore, the results of each have often failed to inform -work in the others. For example, fundamental research should provide innovative concepts and techniques that can be the basis of new and improved intervention programs. In return, program evaluation studies can discover previously unknown "real world" facts and generate fresh ideas that stimulate new lines of fundamental research. At the same time, the gulfs between scientific disciplines will be

bridged through multi-disciplinary research projects. By sharing information and cooperatively funding major projects, the agencies will achieve a better integration of effort while continuing to fulfill their distinctive missions. Information would be shared not only through the interagency working group, but also through interdisciplinary conferences of researchers and a web-based distributed digital library of research findings, scientific data, and intervention program designs.

V. INITIATIVE MANAGEMENT

The proposed research initiative would be coordinated by an interagency team or teams including representatives of the Children's Initiative agencies, as well as the Safe Schools/Healthy Students partnership. Participating Federal agencies would take the lead in their own areas of expertise and would be provided resources through this initiative to support personnel to carry out individual and interagency responsibilities.

This Initiative team would work closely with the new Youth Violence Council. The President is establishing the Youth Violence Council to more effectively coordinate Federal youth violence strategy. The Council, comprised primarily of representatives from the White House, the Secretaries of Health and Human Services, Education, and Labor and the Attorney General, will work closely with different elements of State and local governments, tribes, schools, community groups, and families, to provide policy coordination, to provide flexible and timely responses to the challenge of youth violence, and to ensure that the Nation's citizens are able to benefit from the Federal Government's many anti-violence initiatives.

VI. CONCLUSION

The ideas presented in this research initiative are the result of groundwork on school violence prevention that has been developed by the Departments of Education, Health and Human Services, and Justice and the National Science Foundation. This research initiative expands, in a logical way, the work done to date in violence prevention including the development and implementation of the Safe Schools/Healthy Students Initiative, the Strategic Planning Meeting on School Safety, as well as the extensive work each department has done in developing research agendas for their FY2000 and FY2001 budgets. This proposal builds on these agendas. It draws on existing knowledge about the complexities of the causes of violent behavior by young people and about potential solutions through health promotion, prevention, and intervention. In particular, the proposal seeks to support the type of work that single departments have not done well on their own. In so doing, it hopes to make a contribution to the content of the federal research agenda and also to its efficacy.

VII. BUDGET

Decisions about allocations across areas have not been discussed. Areas need to be more sharply focused in order to make appropriate budget determinations. OSTP has indicated that budgets (covering both the violence and health subgroup areas?) should be provided at two levels: a total of \$50 million and a total of \$25 million.

CHILDREN'S HEALTH BEHAVIOR RESEARCH INITIATIVE

CHILDREN'S INITIATIVE INTERAGENCY WORKING GROUP

I. INTRODUCTION AND BACKGROUND

(General paragraphs about the Children's Initiative - TBA by Lisa Towne)

During the twentieth century, there has been a marked decline in infectious diseases as causes of death and disability in childhood and adulthood. These diseases have largely been replaced by chronic conditions (heart disease, cancer, diabetes, stroke, chronic lung disease, osteoporosis), injuries, and violence. In contrast to death and disability arising from nature and the environment, today's killers and disablers most often arise as consequences of behaviors such as smoking, alcohol and drug abuse, poor diets, inadequate physical activity, violence, and injuries. Most of these health behaviors have their origins in childhood. To have maximum impact on reducing the burden of illness in adults and prolonging healthy life, emphasis must be placed on development of healthy behaviors and avoidance of unhealthy behaviors during childhood.

All of these and other health behaviors are deserving of attention. Appropriately, cigarette smoking is already the focus of extensive research activity. Other behaviors receive only slight attention, especially in relation to their importance. Among these, the Children's Health Behavior Research Initiative has chosen to focus initially on inappropriate nutrition and lack of exercise, as contributors to obesity and calcium-deficiency osteoporosis, and on childhood violence, as a pervasive social concern. These are the most prevalent and serious health behavior problems in need of increased research attention. The proposed initiatives cut across multiple agencies and will be conducted as jointly planned and funded activities. They build on a small base of existing programs and represent surveillance, basic and applied research with controlled intervention studies, and an emphasis on interdisciplinary approaches. Together they represent a significant investment in learning how to shape health behaviors effectively to reduce the likelihood of developing debilitating diseases and premature death, with substantial savings in costs of health care and disability payments.

II. PREVENTION OF OBESITY AND CALCIUM-DEFICIENCY OSTEOPOROSIS

A. RESEARCH

Among the health problems that result from childhood risk behaviors, some of the most prevalent are obesity and osteoporosis, the results of excessive caloric intake in relation to energy expenditure, and of deficient calcium intake in childhood, respectively. Obesity has steadily increased in children in the last 30 years, reaching epidemic proportions. It has increased to about 14 percent of children and 22 percent of adolescents, almost doubling in the past two decades. Obese children are likely to become obese adults, with increased risk for diabetes and cardiovascular disease. Studies show a direct relationship between body weight and the future development of Type 2 diabetes in adulthood. Recently, among children ages 10 to 19, there are signs of an increase in Type 2 diabetes; nearly all of these documented cases have occurred in

obese children.

Calcium deficiency is the largest and most serious deficiency in the American diet, and is worst among adolescents. Six in ten teen boys and eight in ten teen girls are deficient in calcium intake, a deficiency that cannot be made up later in life because essentially all the calcium that will ever be in bones is present by age 20. Thus, childhood intake is essential to prevent later development of osteoporosis, which affects over 25 million Americans.

The origins of these problems are many-faceted and will be complex to solve, but their seriousness and extent demand that efforts be initiated to focus on the onset of risk behaviors during early childhood. These efforts need to be integrated and must address both children and families. Each generation of Americans attends school for 13 of the most formative years of their lives. Accordingly, the initiative proposed focuses on elementary school children and the transition to middle school (a time when positive behaviors of diet and exercise are often lost), and will examine integrating classroom education in health and nutrition, physical education, the school lunch program, and efforts of school parent-teacher associations, in a cooperative research and demonstration effort led by health and behavioral scientists and educators based in academic institutions.

Research efforts conducted in these settings will be designed to develop and test model programs for dissemination by 16 state education agencies and more than 30 national non-governmental organizations already supported by CDC to implement coordinated school health programs. The current proposal by the Children's Initiative Interagency Working Group will directly contribute to these efforts by providing scientifically tested, model interventions for wide dissemination through the coordinated school health program supported by CDC.

To initiate this effort, a joint solicitation for research grant applications will be generated by a consortium of Federal agencies, requesting multi-disciplinary grant applications from academic institutions and nutrition research programs for the purpose of improving and maintaining nutrition and physical activity in elementary and middle school students. The Request for Grant Applications (RFA) will be developed jointly by an interagency working group with representatives from DHHS (NIH/NICHD, CDC), USDA, and DoED. Applicants will be required to have expertise in school health education, exercise science, nutrition, psychology/behavioral science, evaluation research, and epidemiology at a minimum. Land grant institutions, with their higher likelihood of having this expertise and a tradition of applied intervention research, will be especially encouraged to apply.

Research proposals will be required to include: 1) development, testing, and controlled evaluation of a component of an age-appropriate school health education curriculum focused on nutrition with emphasis on healthy dietary selections to achieve adequate calcium intake, appropriate fat intake, and caloric intake proportionate to energy expenditures; 2) integration of this curriculum with the school lunch, and, when available, breakfast program of the cafeteria, using it to demonstrate and reinforce classroom activities; 3) integration of this curriculum with

the physical education program of the school, emphasizing age-appropriate exercise of many types; 4) integration of the curriculum with parents, through the parent-teacher association or otherwise, engaging them in preparation and presentation of the curriculum in the classroom, involving them in the school lunch program, and extending both to families to incorporate nutrition concepts into lunches brought from home as well as other meals provided at home, along with the physical exercise component; 5) extension or reinforcement of the basic concepts of this program during the transition to middle school; and 6) an experimental evaluation of the impact and outcome of the intervention, including pre-intervention baseline data on the target schools and populations, as well as control schools. In addition to this basic program, interested applicants would be encouraged to submit a broader proposal, covering not just nutrition and exercise, but a full health education curriculum tied in to math, science, and social studies classes and including social skills training in addition to the traditional health components. Applicants could also include non-curricular approaches to achieving the same objectives. Efforts will be made to include both urban and rural settings, and diverse populations. The grants will be awarded for five years, with one renewal possible. They will be awarded as cooperative agreements, to facilitate interaction with each other through annual progress meetings, and with government staff. Five to ten awards would be made for \$2 to \$5 million annually for each.

This research will be conducted as much as possible in naturally occurring environments so that the results can be appropriately and rapidly applied by schools across the nation to replicate those interventions found to be effective. Thus researchers will conduct and evaluate school-based intervention projects to determine the effectiveness of various interventions; conduct cost-effectiveness studies of physical activity and nutrition interventions using econometric methods, and quickly disseminate best practices to education and health policy makers.

Current research activity level in these areas is as follows.

NIH: The NIH currently funds approximately \$144.8 million in research on obesity and \$139.1 million on osteoporosis, small portions of which are directed to children. Much of this research is on basic mechanisms of pathogenesis, with a few small intervention studies. Intervention research on the scale proposed here is a major need.

CDC: With approximately \$9.6 million, CDC currently provides funds to states to develop coordinated school health programs that target tobacco use, poor nutrition, and physical inactivity. In addition to supporting programs in 16 states, CDC monitors tobacco use, physical activity, dietary habits and other risk behaviors among high school students; monitors school health policies and programs across the nation; compiles research on adolescent and school health; develops and disseminates guidelines for effective programs; and conducts rigorous analysis to ensure that interventions are science-based and are proven to be effective in reducing risk behaviors. An additional \$15 million has already been requested in the FY 2001 Budget Justification from DHHS to OMB and includes funds for an additional 22 state education agencies, 5 local education agencies in the nation's largest cities, and 6 national non-governmental

organizations to prevent heart disease, cancer, and diabetes by improving physical activity, nutrition, obesity prevention, and tobacco use prevention programs in schools in 38 states and to enhance monitoring and applied research around youth risk behaviors leading to chronic disease in adulthood.

DoED: Most of the Department of Education's research activities in this area are encompassed by surveys done by the National Center for Education Statistics. The Early Childhood Longitudinal Surveys (Kindergarten and Birth Cohorts) gather information on height, weight, motor skills, and nutrition. The School and Staffing Survey gathers information on numbers of health education and physical education teachers and the numbers of classes. Funding in this area is _____.

USDA: The major child nutrition research at USDA is conducted by three nutrition research centers: Arkansas Children's Hospital Research Institute, Baylor Children's Nutrition Research Center, and Delta Nutrition Intervention Research Initiative. Funding for this activity is \$17.6 million.

Proposed new funding in FY 2001 to implement the proposed research:

Low: \$15 million (5 grants)
Medium: \$20 million (7 grants)
High: \$25 million (10 grants)

B. SURVEILLANCE

Public health surveillance by the CDC is a cornerstone of public health decision making and practice. Surveillance provides information crucial to monitoring the health of the public, identifying public health problems and priorities, taking public health action to prevent further illness, and evaluating the effectiveness of disease prevention efforts at the national, state, and local levels. Improvements in surveillance of childhood obesity and calcium-deficiency would entail two strategies: a national fitness survey of children and youth, and an expansion of the Youth Risk Behavior Surveillance System (YRBSS). These surveys are augmented in the nutrition area by the USDA's Continuing Surveys of Food Intake by Individuals (CSFII), which provide the basic knowledge on child nutrition and dietary content of children. The next survey will be done in FY 2001 in conjunction with the CDC/NCHS NHANES survey.

The primary surveillance component of this initiative on obesity and calcium-deficiency osteoporosis will be The National Children and Youth Fitness Study III. More than 12 years have elapsed since the last National Children and Youth Fitness Study (NCYFS) was conducted. As a result, we have no current data on the physical activity and fitness levels of youth nationwide. With the striking decline in school physical education programs and the increasing levels of overweight, fitness levels among youth may be deteriorating without our knowledge. Such deterioration would have significant implications for the long term health of Americans.

NCYFS I (1985) and II (1987) provide a baseline for fitness and activity levels for youth ages 10-18 and ages 6-10 respectively. Over a decade later, NCYFS III will enable us to assess the fitness, physical activity patterns, skills, and related knowledge of youth ages 5-18 with special attention to issues of gender, racial, and ethnic disparities. Further, NCYFS III will examine the determinants of physical fitness and physical activity to help guide the development of policies and programs to increase physical fitness among all youth. The active collaboration of agencies involved in the Interagency Working Group on the Children's Initiative will ensure that NCYFS III findings are fully applied to enhancing the fitness and well-being of our nation's youth, and provide a national baseline for comparison for the intervention research studies proposed above.

The second surveillance component of this initiative is the Youth Risk Behavior Surveillance System (YRBSS). This survey will be expanded to obtain new data about youth patterns of dietary behaviors and physical activity that provide valuable insight to guide state or local programs. Increased funding will be made available to support additional states that choose to conduct the state-based Youth Risk Behavior Survey (YRBS). The YRBS was developed by CDC in collaboration with Federal, state, and private-sector partners. It is a voluntary, school-based survey which includes a national sample and surveys collected by state and local education agencies. The CDC conducts national surveys every two years to produce data representative of students in grades 9-12 in both public and private schools.

Current surveillance activity level in this area:

CDC: CDC currently supports several national and state-based surveillance systems that include some measures of physical activity and dietary habits and policies to promote them. While data are collected about the numbers of deaths, the rate of obesity, and the food products chosen, current surveillance is limited to measuring the behaviors or motivations that underlie morbidity and mortality especially among young people.

Proposed new funding in FY 2001 to implement the proposed surveillance:

Low: \$10 million
Medium: \$15 million
High: \$25 million

III. PREVENTION OF CHILDHOOD VIOLENCE

(Enter Dr. Bertenthal's and ASPE group document here)

DOREEN S. YOCHUM

Doreen S. (Dory) Yochum is Chief Operating Officer and Vice President, Technology Management and Industry Relations for AT&T Labs. In that role, she directs the day to day operations of AT&T Labs including oversight of the human resources planning function, financial planning, real estate management, university relations and recruitment. She is responsible for directing a corporate wide effort to identify opportunities for the research community to contribute to the innovation of new service concepts and technologies. Her organization is responsible to lead the technology transfer process, ensuring that R & D moves technology into the market place through the AT&T business units or through new business development and agreements with OEMs. Dory is also responsible for managing the annual process by which AT&T determines its corporate R&D budget, ensuring that these resources are aligned with AT&T's business and technology strategy. Her office is responsible for technology program management in support of the CTO, as well.

Prior to AT&T's trivestiture, which spun off NCR and Lucent Technologies, Ms. Yochum held multiple roles in the Chief Information Officer organization where she was simultaneously Vice President of Human Resources and Service Planning Vice President. In the latter role, she managed 1,200 individuals responsible for gathering requirements, designing solutions and managing the cost reduction of internal voice and data support for AT&T's internal customers.

From 1990 to 1994, she was Chief Operating Officer of the Interconnection Technologies business within AT&T's Microelectronics Business Unit, where she ran a \$300M business in worldwide sales of printed circuit boards, backplanes and connectors, managing three manufacturing operations and 1,800 employees in the United States and Spain.

Ms. Yochum began her career with AT&T in 1970, holding positions in the Treasury, Engineering, and Marketing departments. She has had additional profit and loss responsibility serving as Marketing Vice President and General Manager for the Consumer Electronics and the Cellular Terminal Products businesses.

She is a graduate of Wilson College with a BA in History. She has also attended Executive Education programs at Stanford University and the Harvard Business School. In 1996, the Newfield Group of California certified her as an Ontological Coach. She presently serves on the board of WEPAN, the Women in Engineering Program and Advocates Network and is a Member of the Human Resource Planning Society. She has served in the past as Trustee of the AT&T Foundation, Chair of AT&T's Family Care Development Fund, Chair of the Board of the Tree House Child Caring Center in Basking Ridge, NJ, and Advisor to the Consortium for Graduate Study in Management.

Ms. Yochum lives in Basking Ridge, NJ with her two children.