

**Inter-organizational Collaborations Working to
Change Policies that Affect Adolescents:
A Qualitative Study of
Three Youth-Serving Inter-organizational Collaborations**

By

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Dedicated, in loving memory, to my Grandma,

Ruth B. Wentlandt

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Table of Contents

Dedication.....	p. ii
Acknowledgements.....	p. iii
List of Figures.....	p. viii
List of Tables.....	p. ix
List of Appendices.....	p. x
Chapter 1: Introduction.....	p. 1
Chapter 2: Review of the literature.....	p. 8
Chapter 3: Research methods.....	p. 32
Chapter 4: Results.....	p. 60
Chapter 5: Discussion.....	p. 127
Chapter 6: Concluding remarks.....	p. 159
Appendices.....	p. 165
References.....	p. 209

List of Figures

Figure

- 1 Social determinants of racial, ethnic, and socioeconomic health inequities among youth.....p. 20
- 2 Sample memos.....p. 51
- 3 Sample diagram that resulted from constant comparison.....p. 55
- 4 Sample diagram from selective coding.....p. 58
- 5 Model of relationships for policy change to address social determinants of health inequities.....p. 130

List of Tables

Table

1	Selected cases based on sampling characteristics.....	p. 41
2	Documents received from IOC.....	p. 44
3	One-on-one interviews conducted.....	p. 47
4	Interview participant demographics.....	p. 48
5	Coding categories.....	p. 52
6	Examples of chunks, codes, intermediate themes, coding categories.....	p. 54
7	Complete list of coding categories from data analysis.....	p. 62
8	Chapter 4 outline and roadmap.....	p. 64
9	Policy advocacy activities conducted by IOCs.....	p. 76
10	Policy advocacy activities conducted by youth in youth-led and non-youth-led IOCs.....	p. 98
11	Relationships to reach intermediate objectives.....	p. 136

List of Appendices

Appendix

A	Consent, assent forms.....	p. 165
B	Observation checklist.....	p. 173
C	Recruitment materials.....	p. 195
D	Interview questions.....	p. 201

Chapter 1: Introduction

Purpose of research

Differences in health status by race, ethnicity, and socioeconomic status have been well-established in the public health and medical literature (Braveman et al., 2010; McDonough et al., 2010; Berkman, 2009; Williams et al., 2008; Adler and Newman, 2002; Williams and Collins, 1995; Heckler, 1985) and are also observed among youth (Newacheck et al., 2003; Deitz and Gortmaker, 2001; Freedman et al., 1999; Brooks-Gunn & Duncan, 1997; Montgomery et al., 1996). Inter-organizational collaborations (IOCs) are a strategy used to address numerous public health concerns, including HIV, substance abuse, and youth violence (Marcus et al., 2004; Metayer et al., 2004; Fodayemi, 2001; Berrien and Winship, 2001; Furlong et al., 1997; Fawcett et al., 1997; Gottlieb et al., 1993; Zapka et al., 1992) and they may be particularly useful in addressing health inequities: those differences in health status that are due to injustice (Whitehead, 2000). This study uses a social determinants of health framework (Schulz et al., 2004, 2002) for understanding health inequities. This framework builds upon previous models (Kaplan, 1999; Link and Phalen, 1995; McLeroy, 1988; Bronfenbrenner, 1977) for understanding differences in health by population, in that it describes specific mechanisms by which macro level factors (e.g. ideologies about race, historical conditions, political order) contribute to inequities in the distribution of wealth and educational or employment opportunities, which in turn, impact intermediate factors, such as the built environment in which one lives. These intermediate factors impact more proximal causes of health inequities, such as health-related behaviors, stressors, or social support (Schulz, 2004,

2002). IOCs are particularly useful in addressing social determinants (Schulz et al., 2004, 2002) of health inequities because of their focus on capacity building, empowerment of community members, and addressing issues at multiple levels, including systems change (Butterfoss et al., 1993; McLeroy et al, 1988; Roussos and Fawcett, 2000). This may include the development and implementation of individual, family or social group level programming, community and organizational level change, and policy change. Policy change is one way to bring about these changes at the macro and intermediate levels to impact health inequities (Satcher and Rust, 2006; Williams and Jackson, 2005; Williams and Rucker, 2000). This study focuses on social determinants of health that can be related to health inequities in youth or, using a life course perspective (Walsemann et al., 2008; Hertzman, 2006; Lynch et al., 1997; Power and Hertzman, 1997), contribute to health inequities in adulthood. While IOCs are frequently funded and convened to address public health issues, and policy is being increasingly called upon to address health inequities, little is known about the experience of community IOCs working to implement policy change to address social determinants of health inequities among youth, what may impact the IOC's effectiveness, and how youth, as those impacted, are engaged in the functioning of the IOC and efforts to bring about policy change. This research aims to fill this gap.

Specific aims

The specific aims of this study are presented below.

1. To increase the understanding of the experiences of IOCs working to effect policy change to address social determinants of health disparities among youth.

What factors facilitate their ability to effect policy change? What factors are challenges to effecting policy change?

2. To increase understanding of the ways in which youth are engaged in campaigns to effect policy change to address social determinants of health inequities among youth.

Research questions

The specific research questions of this study are:

1. What are the internal factors (e.g. decision making, leadership, trust) that may be challenges or facilitating factors to a youth serving network's capacity to effect policy change in order to reduce racial/ethnic health inequities among youth
 - 1.a. How do youth serving networks address these internal factors?
 - 1.b. To what extent and how do youth serving networks engage youth in order to address these internal factors?
2. What are the external factors (e.g. social-political-economic context) that may be challenges or facilitating factors to a youth serving network's capacity to effect policy change in order to reduce racial/ethnic health inequities among youth?
 - 2.a. How do youth serving networks address these external factors?
 - 2.b. How and to what extent do these external factors impact the way in which youth are engaged in these efforts?

Orientation to my research

My professional life before returning to school to pursue my PhD in Health Behavior and Health Education was in youth development work and HIV prevention. In my most recent professional position, I coordinated an IOC working to reduce HIV incidence in the Haitian immigrant community of Massachusetts. This project was funded under the REACH 2010 initiative of the Centers for Disease Control and Prevention with the purpose of developing and evaluating culturally-appropriate interventions to address health inequities. My role in this work was to coordinate nine organizations to design, implement, and evaluate an HIV prevention intervention that targeted Haitian men, women, couples, youth, newly-arrived immigrants, and Haitians living with HIV. In this work, I observed several dynamics of the IOC itself, such as issues around power, trust, and leadership, that impacted the work that we were able to do. These were all issues that were spoken of very openly in the IOC, and yet played out in complex ways that were difficult to understand or articulate. I knew I did not have the research skills necessary to study these dynamics for greater understanding, so I began my studies at University of Michigan.

While at University of Michigan, through my relationship with the Detroit Community-Academic Urban Research Center, I served on the evaluation team of the first phase of the Neighborhoods Working in Partnership (Israel et al., 2010) project which was training community members in Detroit to advocate for policy change. The impact evaluation of the first phase of this project showed that communities felt challenges in bringing groups of people together (Cheezum et al, in progress). From this evaluation arose more questions. How do you engage people in the policy change

process? How do you balance the opinions of those in the group? How do community residents go up against outsiders with resources when vying for the attention of policy makers?

For this study, I built upon these two experiences and explored the experience of IOCs working to bring about policy change to address the social determinants of health inequities among youth. Wanting to be open to the experiences of this group, I used qualitative methodology to look at three IOCs working on policy change to address youth issues. My approach was informed by grounded theory, a systematic methodology for discovering theory from data (Glaser and Strauss, 1967; Strauss and Corbin, 1998). While remaining open to what arises from the data, I have not left the lessons I have learned through my previous work experiences behind. For this reason, in my observations, I looked for certain characteristics of IOCs that I (through my work) and others (in the literature) have found important for the functioning of IOCs. This enabled me to be receptive to new ideas, while also situating my research within an existing body of literature about IOCs and groups working on policy change. Looking specifically at the way in which youth are engaged in policy change efforts of these IOCs, further affords me the opportunity to learn from groups that may have, due to the power differences between adults and youth that exist in our culture, issues of power, trust and leadership that may mirror other populations with limited power working on policy change.

Significance for public health

This study is significant as it identifies some of the best practices of IOCs working on policy change to address health inequities. Through the development of a

theoretical model for changing policy to address social determinants of health inequities, the study also indicates ways in which public health practitioners, policy makers, community IOCs, youth, and the funding community can facilitate the passing and implementation of policies likely to successfully address social determinants of health. The study increases understanding of different mechanisms for engaging youth in policy change efforts, including the strengths and weaknesses of these different approaches to youth participation. Lastly, the model also locates places in the policy development process in which low income communities of color and youth of color may have less of a voice in the policy.

Organization of dissertation

Chapter two includes a review the literature related to inter-organizational collaborations, including reasons they are used to address public health concerns, challenges in evaluating IOCs, and a discussion of factors of IOCs that have been identified as contributing to their effectiveness. Chapter 2 continues with a description of different models for understanding how social factors contribute to health inequities. The chapter continues with discussing the use of policy to address these social determinants, a description of policy advocacy activities and the ways in which community members and youth can be engaged in this process. Chapter 3 is a description of the research methods of this study, including the selection of the three cases included in this study and a description of my data collection and data analysis methods. Chapter 4 presents the results of the study. Chapter 5 presents the story of the results as a synthesized, theoretical model that grounded in the data. The ways in which this model is connected to existing literature is described, and the strengths and limitations of the study are also

listed. The chapter concludes with a discussion of implications and recommendations for public health practitioners, community IOCs, policy makers, and the funding community, as well as the identification of areas for further research.

Chapter 2: Review of the Literature

In this chapter, I review the literature that has informed this research. I start by discussing inter-organizational collaborations (IOCs), including the reasons for their use as a public health strategy, challenges in evaluating IOCs, and a description of some IOC characteristics that have been associated with IOC effectiveness. Next I review different frameworks for understanding health inequities using a social determinants of health framework and how policy change is used to address social determinants of health, including a brief review of the policy advocacy process. As this research specifically addresses the use of policy change to address social determinants of health inequities among youth, I discuss the “school to prison pipeline” as an example that helps inform our understanding of social determinants of health inequities in youth and how these social determinants have been shaped by policy change.

Inter-organizational collaborations as a public health strategy

An inter-organizational collaboration (IOC) was defined by Abramson and Rosenthal (1995, p. 1479) as “a group of independent organizations who are committed to working together for specific purposes and tangible outcomes while maintaining their own autonomy.” Community groups and researchers refer to such groups of organizations by many different terms, including IOCs, coalitions, partnerships, networks, coordinating councils, and collaboratives, but they all share the qualities of bringing multiple organizations and community members together to work toward a common purpose. For the purpose of this study, I will use the term IOC as an umbrella

term for this type of entity as this term captures this shared characteristic of uniting multiple organizations and individuals for a common purpose. (One exception is that the term “network” was used by the IOCs included in this study and the foundation that funded the IOCs. Documents presented to the IOCs and the foundation use the term “network.” These documents include the research questions, consent forms, recruitment materials, and interview questions.) In this section, I will describe why IOCs are used as a public health strategy and describe the literature related to IOC effectiveness.

Inter-organizational collaborations as a public health strategy

IOCs have been increasingly used as a strategy for addressing public health issues such as substance use (Furlong et al., 1997; Fawcett et al., 1997; Gottlieb et al., 1993), human immunodeficiency virus (Metayer et al., 2004; Marcus et al., 2004; Zapka et al., 1992), cardiovascular disease (Schulz et al., 2005; Goodman et al., 1995; Goodman et al., 1993), and violence prevention (Donnelly and Kimble, 1997; Chavis, 1995). IOCs have also been used to specifically address health issues among youth including substance use (Fawcett et al., 1997), youth violence (Folayemi, 2001; Berrien and Winship, 2001) and adolescent pregnancy (Chervin, 2005; Kegler et al., 2005). IOCs have been seen as an appropriate public health strategy for several reasons. First, individuals and organizations at the local level have coalesced to address a variety of community concerns (e.g. infant mortality, substance use) (Butterfoss, 1993). Secondly, IOCs have been used in response to federal policies in the 1980s and 1990s that shifted the responsibility for addressing public health concerns from the federal level to the state and local levels (Schneider and Netting, 1999). Third, as resources to address health issues declined, IOCs are seen as a cost-effective strategy for addressing public health concerns.

Groups of organizations can mobilize more power, influence, and resources than any one organization (Roberts-Degennaro, 1997). At the same time, government and foundation funding entities have increasingly required collaboration in order to qualify for funding streams [e.g. COMMIT(Thompson et al., 2000) and ASSIST (Kegler et al., 1998) programs for tobacco control, PATCH to address chronic disease (Brownson et al., 2007), and REACH US to address racial and ethnic health disparities (Giles et al., 2004)]. Additionally, IOCs take a social-ecological approach (McLeroy et al, 1988, Roussos and Fawcett, 2000) to address public health by intervening at the individual, family, and/or community levels through programmatic interventions and through systems level change (Butterfoss et al., 1993). This multi-level approach to intervention is aligned with the social determinants of health framework of health inequities, which demonstrates how factors at macro, community, and interpersonal levels impact individual level factors (Schulz et al., 2004, 2002). Lastly, IOCs appeal to democratic ideals and provide opportunities for community empowerment and capacity building (McLeroy, 1994).

Challenges in identifying factors related to effectiveness

Previous research looking at the effectiveness of IOCs have examined the extent to which IOCs have achieved their goals and objectives by looking at outcomes such as development and implementation of an intervention or action plan, behavioral change among community members, systems change (e.g. such as the integration of services) and population-level change in health. There has been some evidence of behavioral change as a result of the efforts of IOCs, though the extent of these changes may not be as strong as expected (Roussos & Fawcett, 2000). Systems change has also been demonstrated through the evaluation of IOCs, but such studies do not tend to use

experimental or quasi-experimental designs, so it is not possible to rule out other contributing factors to these systems changes (Roussos & Fawcet, 2000). The evaluation of long term, public health outcomes (e.g. decrease in rate of teenage pregnancy or deaths due to violence) occur generally beyond the time scope of an IOC's funding, so it may not be included in an evaluation (Roussos & Fawcet, 2000). Because of these challenges, measures of IOC functioning have frequently been used as proxies to measure IOC effectiveness (Zacoks and Edwards, 2006).

Inter-organizational collaboration characteristics related to effectiveness

While challenges in evaluating IOC effectiveness have been described in the literature, several factors have been identified within IOCs that are important to their functioning (Florin et al., 2000; Hays et al. 2000; Butterfoss et al., 1996). Research findings connecting IOC characteristics with effectiveness are complex and often contradictory, showing that characteristics may be associated with improved effectiveness for some outcomes, but not others. For example, Hays and colleagues (2000) found in their study of 28 community-based substance abuse prevention IOCs in Illinois that diversity of membership was associated with successful policy change, but was not associated with its ability to form a comprehensive, research-based substance abuse prevention plan.

Despite the complexity of the results, several characteristics have been identified as positively associated with IOC effectiveness. For example, in one review of IOCs (Mizrahi and Rosenthal, 2001), effectiveness was defined as achieving the goal, gaining recognition from a social change target, gaining community support, increasing consciousness of issues, creating lasting networks, attaining longevity, and acquiring new

skills. In this study, Mizrahi and Rosenthal classified elements of IOCs that contribute to their success as internal factor or external factors. Internal factors are those whereby an IOC maintains participation, effort, and structure. These are factors that are largely under the control of the IOC leadership and membership. External factors are those beyond the direct control of the IOC leadership (Mizrahi and Rosenthal, 2001). Internal factors are described below. While additional literature describing external factors was not located, Mizrahi and Rosenthal (2001) identify external factors that may impact an IOC's effectiveness as working on a critical issue, identifying an appropriate target, the climate of the community, having a responsive target, and not having an organization or coalition opposing the IOC's work.

There are several internal factors related to effectiveness, each of which will be described below. These factors are: having a clear mission and goal, a formalized structure, and specific characteristics of leadership and membership. Having a clear mission and goal is an important characteristic that has been associated with IOC effectiveness because it helps in gathering support for the issue, reduces opposition, and reduces distractions from relevant activities (Zakocs and Edwards, 2006; Foster-Fishman et al., 2001; Roussos and Fawcett, 2000). The mission and goal of the IOC are often part of an overall action plan for change, which may also include specific objectives and activities that will lead to the achievement of this overarching goal (Roussos and Fawcett, 2000). Having formalized procedures including clear definition of leadership and membership roles, rules of operation, established systems of communication, a detailed committee structure are also important. These may be formalized through documents such as by-laws, memoranda of understanding, or a constitution (Foster-Fishman et al.,

2001; Butterfoss et al, 1993). Having democratic and inclusive decision making practices that engage all members of the IOC can also enhance its effectiveness. Lastly, while some grassroots IOCs exist without funding, funding to support staff, coordination, and the exchange of information can facilitate an IOC's success (Wolff, 2001).

Leadership is another important element of an IOC that has been associated with IOC effectiveness. In formal, funded initiatives, leadership often refers to paid staff that coordinate the activities of the IOC. For grassroots, informal IOCs, it may be an individual who organizes and mobilizes community members and organizations to address a community concern. Competencies associated with leadership that may enhance an IOC's effectiveness are ability to communicate the vision and mission of the IOC, strong communication, cultural competence, conflict resolution capabilities, organization skills, the ability to engage and to develop relationships with other members, and having personal resources such as knowledge about the topic area and connections to relevant stakeholders (Zakocs and Edwards, 2006; Roussos and Fawcett, 2000; Butterfoss et al., 1993).

Characteristics of membership are also important to IOC effectiveness. These member characteristics include having skills in conflict resolution and communication, understanding of the problem, ability to develop effective programs, and positive attitudes towards collaboration and other stakeholders around the IOC table (Foster-Fishman et al., 2001; Butterfoss, 1993). Having diverse membership where members bring different, complementary resources to the table, such as funding, transportation, skills and expertise is also an important characteristic of membership (Foster-Fishman et al., 2001; Butterfoss, 1993).

Social determinants of health inequities

With a focus on capacity building, empowerment of community members, and addressing issues at multiple levels, including systems change, IOCs may be particularly well-poised for addressing social determinants of health inequities, including those among youth. Differences in health status by race, ethnicity, and socioeconomic status have been well-established in the public health and medical literature (Braveman et al., 2010; McDonough et al., 2010; Berkman, 2009; Williams et al., 2008; Adler and Newman, 2002; Williams and Collins, 1995; Heckler, 1985). These associations between racial, ethnic, and socioeconomic differences and health status are also observed in youth (Newacheck et al., 2003; Deitz and Gortmaker, 2001; Freedman et al., 1999; Brooks-Gunn & Duncan, 1997; Montgomery et al., 1996), such as in asthma prevalence and outcomes (Akinbami, 2009), prevalence of diabetes (Kumanyika, 2008), incidence of HIV and AIDS (Rangel et al., 2006), and deaths due to intentional injury (www.cdc.gov/nchs/nvss/mortality_tables.htm). Using a lifecourse perspective on health, differences in health status observed later in life may be associated with the experiences of individuals during their childhood and young adult years (Walsemann et al., 2008; Hertzman, 2006; Lynch et al., 1997; Power and Hertzman, 1997).

Multiple terms, including “inequality,” “inequity,” and “disparity,” are used to describe differences in health status between populations. In the United States, the term “health disparities” has been widely used to refer to a measured difference in health status, but this term does not indicate the reasons for these differences (Michigan Department of Community Health, 2010). “Inequalities” describe differences in health status between groups, but also includes differences that are not due to injustice, such as a

greater rate of prostate cancer in men than in women or the fact that elderly adults experience poorer health than young adults (Braveman and Gruskin, 2003). “Inequity,” however, implies an ethical judgment of inequality that is also unjust. This takes into account that some inequalities are not unjust (i.e. a higher rate of death before reaching one year of age among male infants than female infants) (Carter-Pokras and Baquet, 2002), but that health inequities are “caused by the unequal distribution of power, goods, and services, globally and nationally, the consequence of unfairness in the immediate, visible circumstances of people’s lives...and the chances of leading a flourishing life” (Marmot et al., 2008, p. 1661). For the purpose of this study, I will use the term “health inequities” to describe these differences in health status between groups. The definition for “health inequities” that I will be using for this research is: disparities in health that are systematically associated with social advantage and disadvantage (Braveman & Gruskin, 2003).

Whitehead’s pathways for health inequities

Whitehead (2000) provides a conceptual model that identifies seven causal pathways for health differences. This model is helpful in identifying pathways to health inequalities and determining if they are inevitable or unacceptable as they are due to injustice (health inequities). The pathways are:

(1) natural, biological variation; (2) health-damaging behavior if freely chosen, such as participation in certain sports and pastimes; (3) the transient health advantage of one group over another when that group is first to adopt a health-promoting behavior (as long as other groups have the means to catch up fairly soon); (4) health-damaging behavior where the degree of choice of lifestyles is severely restricted; (5) exposure to unhealthy, stressful living and working conditions; (6) inadequate access to essential health and other public services; (7) natural selection or health-related social mobility involving the tendency for sick people to move down the social scale. (Whitehead, 2000)

The first three pathways are not generally classified as inequities (unjust). Numbers four through six are often considered to be both avoidable and unjust. In the last category, where those who experience illness may become more disenfranchised and drift to a lower socioeconomic status, the initial illness causing the downward drift may not have been avoidable, but the socioeconomic repercussions of this illness are unjust (Whitehead, 2000). This study focuses on health inequities; that is those that are a result of pathways four through six.

Social determinants of health framework

A social determinants of health framework (Schulz et al., 2004, 2002) is utilized in this study to better understand the systematic distribution of resources that contribute to health inequities. The social determinants of health framework builds upon previous models for understanding differences in health by population, including Link and Phelan's (1995) fundamental causes theory, Bronfenbrenner's ecological model of human development (1977), the social-ecological framework of McLeroy (1988), Kaplan's model (1999) for understanding the role of social environment in health inequalities, and Whitehead's (2000) model for understanding the pathways of health inequalities. Each of these models will be briefly reviewed.

In order to explain the persistence of health inequities despite advances in addressing conditions that are associated with disease, Link and Phelan (Link and Phelan, 1995; Link, Phelan and Tehranifar, 2010) developed the theory of fundamental causes. Fundamental causes are those that cannot be eliminated by simply addressing the mechanisms that are believed to connect them to the health outcome. Instead, addressing one mechanism results in a new mechanism being established as a connection between

the fundamental cause and health outcome. For example, socioeconomic status (SES) has been associated with poorer health (as described above). While developments in ecological conditions, such as improvements in sanitation or enhanced access to clean water has reduced morbidity due to infectious disease, disproportionate morbidity among those of a lower SES continues to exist, though now this inequitable morbidity is primarily through the mechanism of chronic diseases such as cardiovascular disease or diabetes. These inequities persist, despite addressing the proximal mechanisms because fundamental causes of inequities refer to different levels of access to resources such as knowledge, money, power, prestige, and interpersonal resources that one can utilize to avoid risks or enhance protective factors.

Bronfenbrenner's ecological model (1977) distinguishes the different levels of an individual's ecology that affect his or her development. The first level is the *microsystem* or the immediate system of relations between an individual and his or her environment in a particular setting, such as, in the case of a young person, the home or school. The next level, *mesosystem* includes the interrelations among major settings (family, school, peer group) of the individual. Next, the *exosystem* encompasses formal and informal social structures that do not necessarily contain the individual but still impact what happens in his or her immediate surroundings. Examples of structures in the exosystem are the world of work, mass media, or governmental institutions. The final system that Bronfenbrenner proposes is the *macrosystem*, which is the overarching institutional patterns, such as culture and social, economic, political systems.

Building upon the work of Bronfenbrenner and others (Belsky, 1980), McLeroy and colleagues (1988) developed an ecological framework for health in order to provide

the specificity necessary to inform intervention design. The ecological framework includes the levels of intrapersonal factors (knowledge, attitudes, behavior); interpersonal processes (formal and informal networks and support systems such as families, peers, work colleagues); institutional factors (social institutions with formal and informal rules and regulations); community factors (relationships across institutions and informal social networks that exist within defined boundaries); and public policy (local, state, and national policies).

Kaplan's (1999) model includes similarly-defined levels, but adds levels of genetic factors and pathophysiologic pathways. Kaplan's model also includes the concept of the life course, the idea that factors at the different levels encountered at one point in life continue to influence health across the lifespan years (Walsemann et al., 2008; Hertzman, 2006; Lynch et al., 1997; Power and Hertzman, 1997). The concept that exposure to social determinants of health inequities at these levels during youth can impact health in adulthood is particularly relevant to this study, which considers the social realities experienced by youth that may affect their health in adulthood.

Schulz and colleagues (2004, 2002) developed a model to describe more specifically the mechanisms or resources through which social determinants impact health outcomes, particularly as they are related to environmental exposures and racial spatial segregation. A version of this model, modified to reflect fundamental causes of health inequities among youth, is shown in Figure 1. The social determinants health model was selected as the framework for understanding health inequities because it describes specific mechanisms through which factors that exist at multiple levels (description to follow) impact the health of an individual. Fundamental causes, including

macrosocial factors (such as historical conditions, political orders, economic order, legal codes, social and cultural institutions, and ideologies) contribute to inequities in the distribution of wealth, employment and educational opportunities and political influence. These macro-social factors impact intermediate level factors, including the built environment (such as land use, available transportation systems, zoning guidelines, buildings, public resources, and available services) and the social context (such as community investment, policies, community capacity, civic participation and political influence, and quality of education). The intermediate level factors lead to proximate risk or protective factors of stressors, health behaviors, and social support. Lastly, these proximate factors impact health and well-being. As the health status during youth can impact the health status during adulthood, in this version of the model health status is divided between health status in youth and health status in adulthood. The connection between youth health status and adult health status, using a lifecourse perspective, is included in the model.

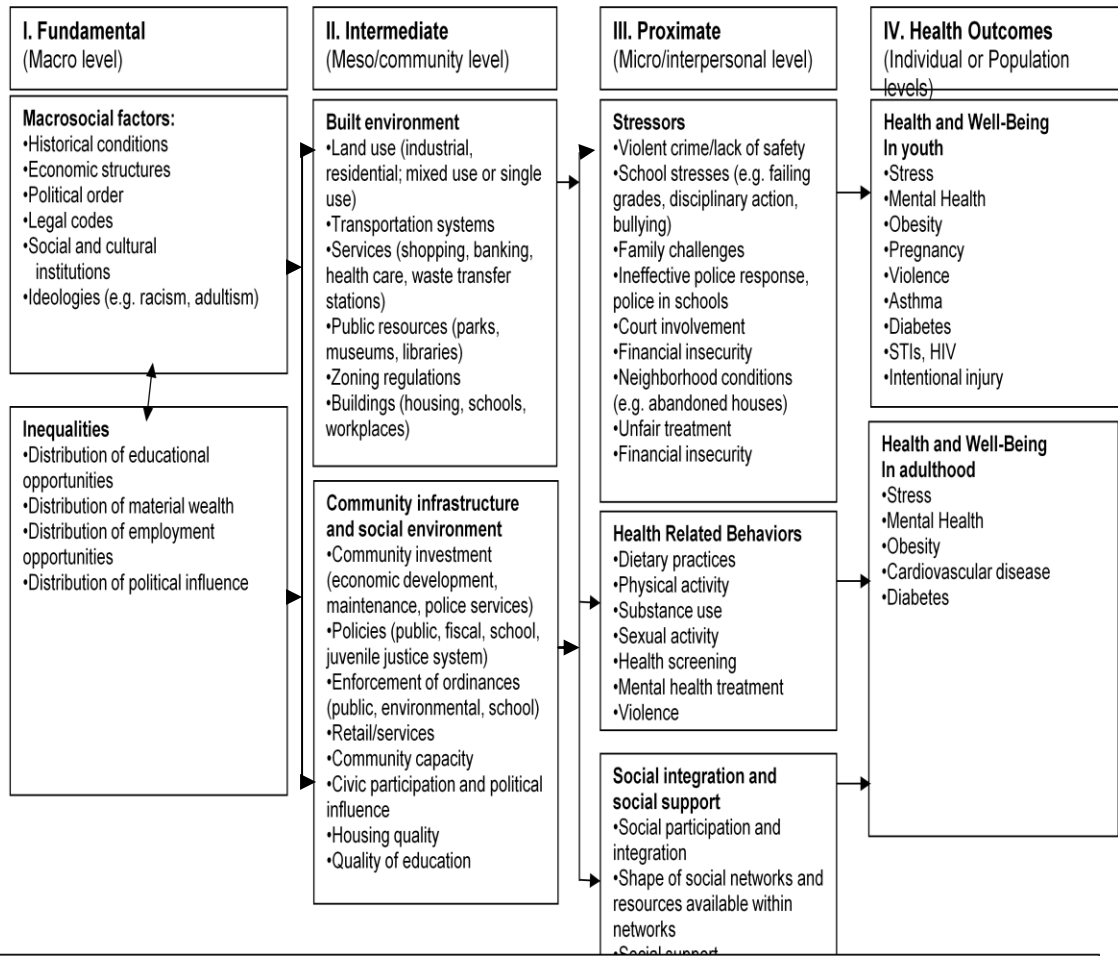


Figure 1: Social determinants of racial, ethnic, and socioeconomic health inequities among youth, adapted from Schulz et al., (2002, 2004)

Intervention approaches to change individual behaviors associated with individual behaviors such as diet, smoking, and having a sedentary lifestyle (Ezzati and Lopez, 2003; U.S. Public Health Service, 1998; Kushi et al., 1985) by changing an individual's social, political, and physical environment may be more effective than individual-level interventions that address individual knowledge, attitudes, or behaviors at reducing these health inequities (Trickett et al., 2011; Sumartojo, 2000; Link and Phalen, 1995; Brownson, 1995; McKinlay, 1993, McLeroy et al., 1988). Policy change is one mechanism for improving health by addressing factors at the macro, community, or interpersonal levels (Schulz and Northridge, 2004, Bryant, 2002).

“School to Prison Pipeline”: an example of how social determinants framework can be applied to health inequities

What has been coined “school to prison pipeline” (Browne, 2005; Ginwright and James, 2002; Brooks et al., 2000) is an example of how the social determinants of health framework can be applied to health inequities in youth. Using a lifecourse perspective (Walsemann et al., 2008; Hertzman, 2006; Lynch et al., 1997; Power and Hertzman, 1997), this example also demonstrates how policies and social/environmental factors that impact youth can impact health across the lifetime. In this way, these social determinants can also contribute to health inequities in adulthood. This example also demonstrates the way in which policy (e.g. zero tolerance policies in school) can negatively impact health in that specific policies have resulted in increased court-involvement by youth and increased rate of youth leaving school before obtaining a diploma (Brooks et al., 2000), each of which have potential health outcomes.

Ideologies, such as adultism and racism, contribute to a popular view of youth put forth by the media, policy makers, and often community-based organizations: that youth, and particularly youth of color, are problems (Ginwright, et al., 2006; Checkoway, 2006). Communities of color are often segregated in low-income communities (Schulz et al., 2002) and this residential segregation contributes to the concentration of under-resourced schools in low-income communities of color (Schulz, 2002). These views that youth and especially youth of color are problems or dangerous, coupled with fears about school violence, have led to schools, especially urban schools, increasingly relying on cameras, metal detectors, locked doors, security, and/or police officers within schools giving them the milieu of a prison, rather than a school (Brown, 2005). Efforts to control a school environment through these mechanisms are associated with and may actually lead to more disorder in schools (Mayer and Leone, 1999) and more juvenile arrests (Advancement Project and Youth United for Change, 2011). Zero Tolerance policies mandate students be suspended or expelled, and some behaviors that historically resulted in within-school disciplinary actions, such as swearing at a teacher, are increasingly criminalized (Dahlberg, 2012). Youth with disciplinary problems in school or involvement in the juvenile justice system are less likely to complete high school due to expulsion and systematic disinvestment in students labeled as “problems” (Browne, 2005; Brooks et al., 2000). Juvenile justice policies are becoming more severe where young people are increasingly prosecuted as adults and incarcerated for long periods of time (Ginwright and James, 2002). Policies in several states require that juveniles who commit some crimes be committed to prison for life sentences without the possibility of

parole. These policies primarily impact urban youth of color (Browne, 2005; Ginwright and James, 2002; Brooks et al., 2000).

The different stages of school to prison pipeline (e.g. suspension/expulsion from school, dropping out of high school, and juvenile justice involvement) are each associated with potential negative health outcomes, including immediate health risks or the risk of decreased health status as adult. Youth most likely to experience school suspension or expulsion are just the youth who require increased adult supervision or professional help as those who commit violence, use illicit substances, or disobey rules in schools are often victims of abuse or have substance abuse issues or mental illness, such as depression (American Academy of Pediatrics Committee on School Health, 2003). Youth who are suspended are more likely to drop out of school (Brooks et al., 2000). Whether due to suspension, expulsion, or dropping out of school, students not in school exhibit increased risk behaviors, such as substance use or sexual activity (Centers for Disease Control, 1994). Youth with contact with the juvenile justice system may have problems later in life with access to high education, entering the military, or finding employment, impacting their long term well-being (Brown, 2005).

Youth who leave high school without a diploma experience poorer health in their life than their peers who graduate from high school (Freudenberg, 2007). In general, those with lower education experience increased mortality (Pappas et al., 1993). Freudenberg (2007) describes four pathways through which high school graduation leads to improved health. First, high school graduates have higher incomes, allowing them access to other health-promoting resources such as eating healthier foods, residing in safer neighborhoods, and receiving better health care. Second, education facilitates

healthier behavior through access to health-related information and resources to improve health, such as smoking cessation programs. Third, education helps people build stronger social networks. They can then leverage these social networks as protective factors against other stressors that may impact health. Education also leads an individual to gain a sense of control over his or her life.

Policy change as a strategy for reducing health inequities

How policies can impact health

The school to prison pipeline demonstrates how policies can have a negative impact on health, but policy change has increasingly been called on as a strategy for bringing about broad, lasting change in order to *improve* health (Blackwell et al., 2005; Acosta, 2003; McGinnis et al., 2002; Wallack and Dorfman, 1996; Schwartz et al., 1995; Thomas, 1990) and reduce health inequities (Satcher and Rust, 2006; Williams and Jackson, 2005; Williams and Rucker, 2000). For the purpose of research, policy is defined as a: “statement of an adopted position or course of systemic direction upon which an agency bases the ultimate action with which it discharges its responsibilities to meet the needs of its constituency.” Policies can be at the national, state, local, or organizational level.

Policy changes, such as those related to sanitation, water supply, and food quality have previously been demonstrated to be an effective way to change infectious disease health outcomes (McKeown, 1975). There are multiple pathways through which policy change can impact broader health outcomes. For example, policy change can influence exposure to environmental toxins (Petersen et al., 2007; Schulz and Northridge, 2004),

increase access to quality medical care (Smedley et al., 2003), or affect individual behaviors (Sallis et al., 1998).

Models that describe the policy development process

There exist several models that describe the policy making process (Longest, 2006; Brownson et al., 1997; Steckler et al. 1987; Kingdon, 1984). One model, presented by Themba (1999) specifically describes how community groups can engage in policy advocacy activities in order to bring about policy change. While most of the other models (with the exception of Steckler et al., 1987) do not specifically include the engagement of community members in the policy process, it is essential when developing policy to address health inequities to have those affected by the policy involved in all steps of the policy development process, as they best understand their context and are best poised to identify their health-related needs (Themba-Nixon et al., 2008; Nelson et al., 2008; Bryant, 2002; Casswell, 2001; Blackwell and Colmenar, 2000; Freudenberg, 1987). When community members are engaged in policy change efforts, their sense of community and their own power increase, their concerns can be translated into definitive action, and they can bring awareness of and policy solutions to issues unaddressed or inadequately addressed by current public policy (Themba-Nixon et al., 2008; Zeldin, 2004; Ritas, 2003; Themba, 1999; Roe et al., 1995). For the purpose of this study, the variety of activities that community members engage in at different stages of the policy making process in order to inform the policy change process are encompassed under the term “policy advocacy.” The policy change process and these activities are described below.

The model for policy change presented by Themba (1999) starts with the phase, “testing the waters,” when groups are generally focused on the problem and beginning to develop policy solutions. These ideas may be tested to determine the level of community support, legality, and likelihood of success. The next stage is defining the initiative where the solution is refined to a clear policy solution, a planned set of goals and objectives. An “ideal” policy is selected and the group outlines a plan to bring this vision to fruition. The third phase is that of strategy and analysis, which includes conducting a policy analysis to identify targets, allies, opponents, and other relevant factors. The fourth stage is direct organizing, which is informed by the strategy and analysis phase. Direct organizing entails engaging others in the campaign, often by reaching out to other organizations. The fifth stage Themba coins “in the belly of the beast,” which is the stage where those working on a campaign meet with policy makers in order to enact a policy. Once an ordinance is successfully passed, the sixth stage, victory and defense, entails celebration and the preparation to participate in any resulting litigation. The final stage is to keep the policy enforced.

Policy advocacy activities

Policy advocacy activities are the variety of activities designed to initiate and/or influence the policy development process. There are several guides that exist that describe the policy advocacy activities that can take place during any of the phases of the policy development process in more detail (PolicyLink, 2007; Ritas, 2003; Staples, 1984), but briefly, policy advocacy activities include building an IOC, recruiting and mobilizing community members, performing a power analysis, conducting research and collecting data, holding protests or rallies, drafting legislation or ordinances, attending

and testifying at public hearings, engaging in political campaigns, meeting with policy makers, using the media (e.g. press conferences or letters to the editor), and maintaining membership on commissions or advisory councils (PolicyLink, 2007; Steckler et al., 1987; Staples, 1984).

Factors that challenge effectiveness of changing policy

There are several factors that challenge a community's effectiveness at bringing about policy change. First, those with less power are often excluded from the policy making process (Freudenberg et al., 2005). Even those who feel that policy development is important, may feel unable to make an impact on policies that affect them as policy development becomes increasingly focused on the economic efficiency, rather than the well-being of communities (Blackwell and Colmenar, 2000). Other challenges described in the context of community-based participatory research, but also relevant for community-driven policy advocacy are the length of time required for policy development and the ability to sustain policy advocacy actions (Israel et al., 2010).

IOCs and policy change

IOCs play an important role in changing policies to address health inequities as they are an essential component of an effective policy advocacy campaign (PolicyLink, 2007; Ritas, 2003; Themba, 1999; Staples, 1984). Increasing community and organizational engagement in a policy advocacy campaign through IOCs increases the likelihood of success of the policy advocacy campaign because it enables them to combine resources, build broad support, enhance legitimacy and increase influence beyond that of individual members alone, preventing opponents from pitting IOC members against each other, attracting the attention of the media and policy makers, and

reducing fragmentation and duplication of efforts (PolicyLink, 2007; Themba, 1999; Staples, 1984). IOCs that work to change policy have other benefits to the community. Increasing the voice of the community in policy making can also result in greater community capacity, a more politically-engaged populace, and more relevant and effective policies (Blackwell et al., 2005, Ritas, 1999).

Youth involvement in policy advocacy

Young people represent a substantial and growing proportion of the population, yet one that is underrepresented in the policy making process (Checkoway, 2006), though a variety of public policies – from policies within school systems to those of the juvenile justice system – have a profound impact on their lives. Like adults, youth have the right to participate in the development of policies that affect them, and the engagement of youth in policy work can lead to more effective institutions, such as schools (Ginwright et al., 2005). The 1989 United Nations Convention on the Rights of the Child (<http://www.unicef.org/crc/>) is the first international policy document that guarantees human rights for children. Taking a Youth Rights perspective, the 54 articles of the Convention serve as a Bill of Rights and calls on those countries that ratify it to create the opportunity and environment for children to participate in the political and social process (Delgado and Staples, 2008; Driskell, 2002). Despite their right to participate, youth and, specifically, youth of color are often excluded from the policy development process due to racism and adultism in the United States (Delgado & Staples, 2008; Ginwright and James, 2002). Adultism is defined as “all of the behaviors and attitudes that flow from the assumption that adults are better than young people and are entitled to act upon young people in many ways without their agreements” (Checkoway, 1996).

Many youth programs are built upon a “youth as problems” perspective (described above), where programs are designed and funded to prevent issues such as juvenile delinquency, teenage pregnancy, youth violence or other issues. Youth development, while also often designed to address these issues, takes an opposing view of youth: that of youth as resources or an asset-based approach, in order to build upon the strengths of youth and to further develop life skills that will be helpful to youth in their future. The field of youth development offers further support for the engagement of youth in the policy making process. In describing components of effective health promotion programs, Blum (1998) provides a paradigm that formed the foundation of the youth-led and youth organizing fields (Delgado and Staples, 2008), and which provides further justification for youth engagement in policy advocacy. This model uses the youth as resources approach, and emphasizes the development of capacity of youth as a community resource and asset. The “Four C’s of Healthy Youth” that Blum describes are:

- (1) *Competence* in the areas that improve the quality of a child or youth’s life, such as literacy, employability, interpersonal, vocational and academic skills, and a sense of being able to contribute to his or her community;
- (2) *Connection* of youth to others through caring relationships manifest in mentoring, tutoring, leadership, and community service opportunities;
- (3) *Character* through values that give meaning and direction to youth, such as individual responsibility, honesty, community service, responsible decision-making, and integrity in relationship; and
- (4) *Confidence*-building experiments to give hope, self-esteem, and a sense of success in setting and meeting goals.

The engagement of youth in the policy-making process can be instrumental in developing each of these “Cs.”

The youth-led approach builds upon the youth development model, and incorporates concepts of service learning or contextualized learning. In his description of youth-led initiatives, Delgado (2006) listed these seven characteristics that are consistent across youth-led projects:

- (1) Youth are in decision-making roles;
- (2) Adults are present but their role is dictated by youth;
- (3) Goals are multifaceted;
- (4) Planning techniques are always stressed;
- (5) Projects either explicitly or implicitly embrace positive social change outcomes;
- (6) Learning is never lost sight of throughout the duration of a project; and
- (7) Although projects address serious issues and concerns, having fun is still an integral part of the experience.

The youth led model is another approach to youth development that may be applied to policy advocacy work.

There are descriptions of youth involvement in the policy making process in the literature. Young people have attended and testified at public hearings related to youth violence (Themba, 1999), advocated to legislators for sustained funding for youth prevention programs, collected and presented data to school officials regarding deplorable bathroom conditions and inequitable distribution of educational resources, and used local media to present their position to the public (Minkler et al., 2008).

Gap in literature

As described above, there is considerable literature that describes the important role of policy change as a public health intervention and mechanism for addressing health inequities. Community IOCs play an essential role in the policy advocacy process. While literature exists that examines IOC structure, member satisfaction, and IOC effectiveness (Zakocs and Edwards, 2006; Florin et al., 2000; Hays et al., 2000; Roussos and Fawcett,

2000; Butterfoss et al., 1996; Butterfoss et al., 1993), there is little research that looks at what factors impact the effectiveness of IOCs that are working to effect policy change related to youth issues and the role that youth play in the policy advocacy process. Thus, the purpose of the study is to examine both internal (within the control of an IOC, such as leadership, decision making practices, and membership) and external (outside the control of the IOC, such as the economic or political environment) dynamics (Mizrahi and Rosenthal, 2001) of inter-organizational collaborations (IOCs) working to effect local policy change related to youth issues, identify factors that may be challenges or facilitating factors to an IOC's effectiveness, and describe how, if at all, youth are involved in policy advocacy initiatives.

Research questions

1. What are the internal factors (e.g. decision making, leadership, trust) that may be challenges or facilitating factors to a youth serving network's capacity to effect policy change in order to reduce racial/ethnic health inequities among youth
 - 1.a. How do youth serving networks address these internal factors?
 - 1.b. To what extent and how do youth serving networks engage youth in order to address these internal factors?
2. What are the external factors (e.g. social-political-economic context) that may be challenges or facilitating factors to a youth serving network's capacity to effect policy change in order to reduce racial/ethnic health inequities among youth?
 - 2.a. How do youth serving networks address these external factors?
 - 2.b. How and to what extent do these external factors impact the way in which youth are engaged in these efforts?

Chapter 3: Research methods

Background

The purpose of this study is to: examine both internal (such as leadership, decision making practices, and membership) and external (such as the economic or political environment) dynamics of inter-organizational collaborations (IOCs) working to effect local policy change related to youth issues; identify factors that may be challenges or facilitating factors to an IOC's effectiveness; and describe how, if at all, youth participate in policy advocacy initiatives. Abramson and Rosenthal (1995, p. 1479) defined an IOC as "a group of independent organizations who are committed to working together for specific purposes and tangible outcomes while maintaining their own autonomy." In order to answer my research questions, I partnered with three IOCs in the northeast. All three of the IOCs included in this study received funding through an initiative sponsored by several foundations and coordinated by one of the supporting foundations. At the request of some of the IOCs, in order to maintain their confidentiality, I will not include specific characteristics of the funding initiative or the three IOCs. The purpose of this funding initiative was to build the capacity of youth-serving organizations to advocate for policy change. Groups that were eligible to receive funding under this initiative were groups of organizations that include community-based organizations that serve youth between the ages of 16 and 24 who have come together on a regular basis to advocate on behalf of youth. (Request for Proposals, July 2007). Thus,

the definition of organizations eligible for this funding fits the definition of an IOC (Bailey and Koney, 1996; Abramson and Rosenthal, 1995).

The foundations funding this initiative designed a funding and technical assistance program to invest in and build the capacity of IOCs to effect policy change. They released a request for proposals in 2007, subsequently funded IOCs in the Northeast United States. IOCs funded under this initiative are working to bring about policy change at the state (e.g. Department of Education) and institutional (e.g. school district) levels in order to address social determinants of health inequities, such as the components of the school to prison pipeline (e.g. harsh juvenile justice penalties for minor offenses or the high rate of youth of color dropping out of high school). The IOCs vary in size and the types of organizations that are members, and degree to which youth are engaged in the IOC's efforts.

It is important to note that I have had previous involvement with this initiative. First, a friend of mine served as the program coordinator at the beginning of the initiative. Second, as a consultant, I wrote the grant proposal that was submitted to this initiative on behalf of one IOC and provided technical assistance to this IOC in regard to how they could structure their group and meetings in order to involve youth. Knowing that I was interested in examining the experience of IOCs that worked on policy issues related to youth through this study, I felt this initiative would be appropriate to include in this study. In order to engage IOCs from this initiative in this study, I had multiple discussions with the previous program coordinator and the current program coordinator of the initiative.

Research design

Participatory approach to research

The original research design for this study included a participatory approach for finalizing the research methods and instruments, interpreting the results, and disseminating results to the community. According to this design, a board of advisors, composed of adults and youth representatives from the three IOCs selected for inclusion in this study (case selection is described in more detail below), would review interview protocols, preliminary analysis of the data collected, and assist in the identification of implications of the findings for practice. Though not a true community-based participatory research (CBPR) partnership, the purpose of this board of advisors was based upon concepts of CBPR (Israel et al., 1998), which engages community members in most stages of a research study. However, when the proposed advisory board was discussed with the primary contacts from the three IOCs included in this study, they expressed concern about the time this would require and declined involvement in such a board. This concern about time investment expressed by the IOC is not unusual. True partnerships take time and energy to develop, and the time commitment necessary to build partnership and conduct CBPR can be frustrating, not seen as advantageous if it detracts from the partnership's goal or the organization's mission, or community members may simply not have the time available to commit to the research partnership (Israel et al., 2006; Minkler, 2005; Minkler, 2004; Israel et al., 2001; Lantz et al., 2001).

In order to maintain the “spirit” of CBPR in the research design while also respecting the wishes of the IOCs, the research plan was revised to include presenting preliminary results of the research to contacts from the IOCs to give them an opportunity

to provide feedback, either via email or a brief telephone conversation. A document summarizing the preliminary results was emailed to the three IOCs and the contact at the foundation. Feedback was received through a telephone call with the contact people of two IOCs. The final results of this study will be presented to each of the IOCs in the form of a short report and, if possible, an in-person presentation of the findings.

Case study

This research study uses a case study design to study multiple IOCs. A case study design systematically collects comprehensive, detailed, and in-depth data about a case (Patton, 2002, Campbell and Ahrens, 1998). Case studies are an appropriate approach when investigating a phenomenon within a context, particularly when the boundaries between the phenomenon and the context are not clear (Yin, 2003). Case studies have been used in previous studies of public health interventions, (Campbell and Ahrens, 1998; Sturm et al., 1998; Freudenberg and Zimmerman, 1995; Nelson, 1994), policy change initiatives (Minkler, 2010; Minkler et al., 2008), and IOCs (Straub et al., 2007; Mayer et al., 1998; Fawcett et al., 1997). This study is an “instrumental” case study, in that it is not meant only to describe these three cases, but to answer the specific research questions. These three cases are studied in order to learn about the broader phenomenon of IOCs working on policy change related to youth issues (Yin, 2003; Stake, 1995). Furthermore, this study uses a multiple-case study design, grounded in phenomenology, which enables the different cases to interact with each other – through the researcher – in order to identify shared realities, as well as differences across cases (Rosenwald, 1988; Burgess-Limerick and Berguess-Limerick, 1998; Campbell and Ahrens, 1998). By

examining more than one IOC, the multiple case study design utilized is particularly useful in developing theory (Eisenhardt and Graebner, 2007).

Qualitative approach to research

For this study, I have selected to use qualitative methods in order to answer the research questions. Qualitative researchers seek understanding of the complex inter-relationships that exist (Stake, 1995). Qualitative studies are rooted in the epistemology of constructionism, the idea that reality is created rather than discovered and that knowledge is generated through an interaction between a person's experience and interpretation or ideas (Stake, 1995). Thus, qualitative research involves the placement of a researcher in the naturalistic world and consists of a series of interpretive practices that make this world visible through various forms of documentation, such as field notes, interview transcripts, collection of written materials, and memos. Thus qualitative research involves a naturalistic, interpretive approach to research (Denzin & Lincoln, 2005; Stake, 1995) and an openness to the perspective of the research participants, rather than pre-existing variables established by the researcher (Campbell and Ahrens, 1998). Qualitative methods are appropriate for answering the research questions for this study because the policy change process is complex, involving a number of different stakeholders, and it occurs in a broader social, economic, and political environment. Qualitative methods is well suited to capture this complexity, while understanding what is most important to the study participants (in this case the IOCs and, specifically, IOC staff and members interviewed).

A grounded theory approach, a qualitative research method that uses a systematic analysis process to develop an inductively-derived theory that is grounded in the data

(Strauss and Corbin, 1998; Glaser and Strauss, 1967), is used in this study. Thus, instead of testing a pre-defined theory, in grounded theory the researcher begins with an area of study and what is relevant emerges from the data. The theory that is developed fits the substantive area of study, makes sense to those being studied and those who work in that area, is abstract enough so that it applies to a variety of contexts related to that phenomenon, and informs action toward the phenomenon because the proposed relationship between concepts can guide actions (Glaser and Strauss, 1967; Strauss and Corbin, 1998).

Case selection and description of IOCs

The case, or unit of analysis in this study, is the IOC. Of the seven IOCs funded under this initiative, I selected three to include in this study. The inclusion criteria for each of the IOCs examined in the study are: the IOC represents marginalized communities (e.g. low-income communities, communities of color and/or immigrant communities); includes both adult and youth membership; advocates to change policies that impact youth; has a history of at least two years of working together; and addresses public policy issues that affect youth. A detailed description of my case selection is described below.

A case study design of multiple entities has unique sampling considerations. While some researchers suggest selecting multiple cases with similar characteristics (Yin, 2003), other studies (Minkler et al. 2008, Kegler et al, 1998, Mayer et al., 1998, Zimmerman et al., 1995) have used a multiple variation case selection strategy in order to capture the dissimilarity that exists among cases. I selected cases that were likely to be particularly illuminating in regard to the research questions (Eisenhardt and Graebner, 2007). Cases were selected using a polar types sampling technique in order to provide a

variety of experience in the public policy process, extent to which youth are engaged, number of and type of organizations involved in the IOC, and length of time the IOC has been in existence. For example, in order to have variation in regards to youth engagement, I selected one IOC that is youth-led and one that has minimal youth engagement.

I determined that three cases is an appropriate number of cases to include in this study for several reasons. First, three cases provided me with the opportunity to look at how the experiences of IOCs with different characteristics vary. Second, based upon information shared by the program coordinators of the funding initiative, I sampled the cases that were likely to be information-rich cases and that may particularly elucidate the research questions (Patton, 2002). Lastly, by limiting myself to three cases, I was parsimonious in my design, while still answering the research questions. The characteristics of the IOCs, on which sampling decisions were made, are described below.

(A) *Youth engagement* - Cases were selected that would demonstrate variability in the degree to which youth participate in the policy advocacy activities, leadership, and decision making of the IOC. Thus, an IOC that has high youth-engagement and another that has low youth engagement were selected to be included in this study.

(B) *Types of organizations* - The types of organizations that are members of the IOC may affect the way in which the IOC navigates the social, economic, and political environment. IOCs with different types of member organizations were selected for inclusion. The three coalitions selected had different combinations of community-based non-profit organizations, governmental institutions, policy makers and universities.

(C) *Degree of success in implementing policy change* - IOCs that have varying levels of success and activity in advocating for policy change were selected for inclusion. Because there are many factors that affect the likelihood of changing policy (e.g. the economic environment), IOCs were not only selected based upon success in effecting policy change. There are many activities involved in developing and implementing a policy change strategy (Policy Link, 2007). IOCs were selected that have engaged in different policy advocacy activities, including coalition building, researching a policy issue (preliminary steps in advocating for policy change); meeting with policy makers (intermediate step for advocating for policy change); and successfully changing policy.

(D) *Racial and ethnic composition of IOC and IOC's leadership* – In order to examine how the experiences of communities of color may differ from initiatives with primarily white membership in advocating for policy change, IOCs were included that vary in their racial/ethnic composition of members by including an IOC with primarily white membership and other IOCs with predominantly people of color as members.

(E) *Number of organizations involved in IOC* – Another sampling characteristic used is the number of organizations involved in an IOC, given the potential impacts on its experience with policy advocacy. For example, networks with a large number of organizations may have more influence (for the reasons described in the background), but may also require a different structure in order to adequately engage membership.

(F) *Length of time IOC is in existence* –The length of time an IOC is in existence may impact the internal and external factors that may impact an IOC's success in effecting policy change. Accordingly, IOCs were selected who had been in existence for different lengths of time.

While the selected cases (described in Table 1) differ on the above criteria, they also share several characteristics. They are all working to effect policy change related to issues that affect youth. They have been funded under the above-described foundation initiative and thus have been in existence for at least three years. They are all located in the Northeast.

Table 1: Selected cases based on sampling characteristics

(Note: Characteristics about each IOC were provided by a contact at the foundation. Not all details were known and some of the information provided conflicted with data collected. For example, youth were involved in IOC2 and IOC3 in similar ways; some member organizations of IOC2 were not coalitions; IOC2 has reported other reasons (e.g. youth development model) for changing policy goal. The information provided by the foundation is presented in this table because this is the information upon which case selection decisions was based.)

	IOC1	IOC2	IOC3
Youth involvement	This IOC has purposely increased youth engagement. Not youth-led	Youth-led	Minimal youth involvement
Member organizations	This is a state-wide IOC that includes over 27 organizations of various sizes including community-based nonprofit organizations, governmental organizations, universities. Includes membership with policy experience, including former policy makers.	This is a state-wide IOC whose membership includes seven community-based task forces or coalitions. These organizations in various (mostly low-income, racially/ethnically diverse communities) in the Northeast. This also provides the opportunity of looking at an IOC that includes other IOCs	Membership includes policy makers and several medium-sized community-based non-profit organizations in a metropolitan area that represent and are members of communities of color and immigrant communities.
Success/activities in advocating for policy change	This IOC has threatened litigation against departments of state government. They had filed a bill and had a hearing.	After economic downturn, group is currently working to identify new issue as they felt previous issue was not winnable in current economic situation.	At the beginning of the initiative, this was an IOC with very little policy advocacy experience. However, a policy maker regularly consults with them and they have been successful at brining about local level policy change
Member race/ethnicity	Foundation contact did not know the race and ethnicity of this IOC's membership. The issue they are addressing is related to race/ethnicity.	Leader is white; race/ethnicity of membership was not known by foundation contact	The IOC's membership is entire people of color. Several immigrant communities are represented
Number of member organizations	Twenty-seven member organizations	Seven member organizations and IOCs	Seven member organizations
Length of time in existence	In existence for more than 15 years	In existence for between 5 and 19 years.	In existence for less than five years.

As demonstrated in Table 1, the three selected IOCs vary on the characteristics identified. Because the degree to which and the ways in which the IOCs engage youth are important aspects of the research questions, I have included a youth-led IOC, an IOC with minimal youth engagement, and an IOC that has tried to increase youth engagement. The three IOCs include different types of membership and various numbers of member organizations. While all the IOCs have had policy advocacy successes, I have selected IOCs with different types of success – from successfully changing a policy, using litigation as a strategy, and one IOC that is identifying a new issue after concluding that success on their issue was not possible in the current economic environment. While the race/ethnicity of members of the IOC was not always known by my contact, I have selected a case whose leadership is white and one whose membership is exclusively people of color and immigrants.

In order to recruit the three IOCs to the study, the funding initiative's program coordinator, an employee of the foundation, first sent each of the IOC contacts an email that described the research opportunity. I then followed up by email and telephone with each of the IOCs to invite them to participate. All three IOCs agreed to participate. I then met with all three IOCs before data collection began in order to answer any questions and address any concerns.

Data collection methods

The data collection process occurred over the course of six months, between April, 2011 and October, 2011. Data was collected from all three IOCs concurrently . This section describes the human subjects protection protocols for this study and a

description of the data collected, including a document review, observation of IOC events, and interviews.

Human subjects protection

In compliance with requirements of the Institutional Review Board of the University of Michigan, I obtained informed consent from all adult interview participants and parents or guardians of interview participants under the age of 18. A youth assent form was signed by anyone under age 18 who agreed to participate in an interview. The adult participant consent, parent consent, and youth assent forms are included in Appendix A.

Document review

I requested from each IOC copies of documents that reflect the history, activities, structure, and operating norms of the IOC. The review of documents, records, and artifacts can be a rich source of information about an organization or program beyond that which individuals remember or of which they are aware (Patton, 2002). The documents received include grant proposals, blog posts, membership lists, press releases, and fact sheets (see Table 2).

Table 2: Documents received from IOCs

IOC1	IOC2	IOC3
By-laws, Board of directors membership list, Annual report (2009, 2010), Fact sheets, Press releases, Organizational membership list, Published op-ed, Blog posts, Newspaper articles	Meeting , retreat agendas, Fact sheets, Grant proposal, Press release, Proposed bill language, Funding summary, Calendar of events, Assessment materials	By-laws, Annual reports, Mission, Vision, goal statements, Meeting minutes, Organizational contact list, One-page description of IOC, Description of program

Observation

Naturalistic observations, which take place in the location that is being studied, have several advantages. They enable the researcher to better understand the context that is being studied, to avoid second-hand prior conceptualizations of the setting, and the opportunity to see things that those who are involved may not notice, remember, or be willing to discuss (Patton 2002). Observations included those of meetings and policy hearings of each of the IOCs, an informational forum hosted by IOC1, a weekend-long planning retreat held by IOC2, and meetings IOC3 had with policy makers. An additional benefit of including observation of the IOCs in my study design is that this allowed me the opportunity for personal contact with IOC members, which may have led to increased trust, which is beneficial when conducting interviews in the cases where interviews were conducted after attendance at an IOC meeting. I took detailed notes during all observations. During observations of IOC meetings, I observed both the

formal (e.g. meeting) and informal occurrences (e.g. breaks) of each event. I used an observation checklist of items of particular interest (see appendix B) and took detailed hand-written notes including a detailed, factual description of the setting, the activities that take place, who is participating, and the meaning of what was observed (Patton, 2002). The observational checklist is used in this study to complement qualitative research techniques, informed by grounded theory, where the researcher remains open to the data. Even in using grounded theory, the researcher does not enter the field as a blank slate (Suddaby, 2006; Glaser and Strauss, 1967). The purpose of the observation checklist is to document internal dynamics of the IOC, previously found to be associated with IOC effectiveness (Roussos and Fawcett, 2000): membership, decision making, leadership, conflict resolution, communication, and trust. As these dynamics of a meeting may change over time, there is a column for three 20-minute time periods per hour. The observation checklist was developed for this research and approved by the University of Michigan Institutional Review Board.

Focus group interviews

The original research design was to conduct separate focus groups for adults and for youth for each IOC in order to collect data related to the research questions while enabling participants to be able to hear each other's responses and interact with each other (Patton, 2002). Such interaction can encourage participants to further consider their own position and can enhance the quality of the data (Patton, 2002). However, at the first two focus groups, only one participant participated in each. In each of these situations, the focus group was conducted as a one-on-one interview and was included in the data analyzed for the study. After consultation with my dissertation committee, it was decided

to revise the study design so that it does not include focus groups for two reasons: (1) as state-wide IOCs, members were dispersed geographically, making attendance challenging, and (2) because many of the IOC members were executive directors of organizations and competing demands on their time made scheduling their participation in a focus group particularly challenging.

One-on-one interviews

Semi-structured, open-ended, interviews were conducted using a pre-determined set of questions (see Appendix D). These interviews are an appropriate method for delving into social or personal matters (DiCicco-Bloom and Crabtree, 2006) and discovering multiple views on one case (Stake, 1995). Additionally, they enable the researcher to get an understanding of the meanings that someone attaches to what happens around them (Patton, 2002). Specifically for this study, the purpose of the one-on-one interviews is to better understand individuals' experiences as members of the IOC, especially in regard to the importance they attribute to internal and external factors that impact the IOC's ability to bring about policy change. I interviewed between 12 and 14 members of each IOC (see Table 3). Interview participants were first informed about the research opportunity by my contact at the IOC. I then emailed IOC members using an email recruitment script (see Appendix C). All interview participants received an incentive of \$20. Most interviews were between a half hour and an hour in length. Twenty-seven interviews were conducted in person and 12 interviews were conducted over the telephone. All interviews but one were audio recorded, and a verbatim transcript produced. One participant refused to be recorded. Detailed notes were taken for this interview. The protocol for one-on-one interviews (see Appendix D) were reviewed and

approved by my dissertation committee and the University of Michigan Institutional Review Board.

Table 3: One-on-one interviews conducted

	IOC1	IOC2	IOC3	Total
Adults interviewed	14	4	11	29
Youth interviewed	N/A	8	2	10
In-person interviews	4	11	12	27
Telephone interviews	10	1	1	12
Total interviews	14	12	13	39

Of the 39 interview participants, 34 completed and returned the demographic information questionnaire (see Table 4). The remaining 5 either refused or did not return it via email if it was a telephone interview. There were 4 missing demographic information questionnaires from IOC1 and 1 missing from IOC2. Given that most of IOC1's interviews were conducted over the telephone, this most likely accounts for the disproportionate number of missing forms.

Table 4: Interview participant demographics

	IOC1 (N=10)	IOC2 (N=11)	IOC3 (N=13)	Overall (N=34)
Age	Between 24 and 70	Between 16 and 30	Between 21 and 66	Between 16 and 70
Gender Female	50%	45.5%	61.5%	52%
Race	N=10 Mostly white	N=11 Mostly people of color	N=13 Mostly people of color	N=34 African American/Black 32.4% (11) Hispanic/Latino/Latina 23.5% (8) White 26.5% (9) Multi-racial 8.8% (3) Other 8.8% (3)
Years involved	From less than one year to twenty years	From less than one year to four years	From one year to four years	From less than one year to twenty years
Role in IOC	Board member Past and present board presidents Staff	Staff Cofounder Member Organizer Teen leader Teen organizer Youth	Board member Leadership Member Mentor Intern	Member Chair Board president Past president Youth Staff Founder Executive director Teen leader Assistant coordinator Coordinator

Data Analysis

The data analysis approach used here differs somewhat from a pure Grounded Theory analytic technique. In Grounded Theory, data analysis begins during and continues throughout the process of data collection in order to identify and explore through data collection themes that are arising from the data (Strauss and Corbin, 1998; Glaser and Strauss, 1967). For the purpose of this study, due to a concentrated period of time devoted to data collection, data was analyzed after the completion of data collection, although in keeping with a Grounded Theory approach, memos were written during the period of data collection that describe the researcher's impressions of the data collection process and themes that arose during data collection. This analysis of the data following its collection is a limitation of the study in that core categories were not identified while data collection was still occurring, making it impossible to explore these concepts in a deeper way during further data collection, such as interviews or observation of events.

Interviews

Each interview was audio recorded and transcribed. All interview transcripts were in Microsoft Word format. Atlas.ti 5.0 was used to assist with handling and organizing the large amount of data collected. Grounded theory methodology was used to analyze the data in order to develop a grounded theory that is based on the data (Strauss and Corbin, 1998; Glaser and Strauss, 1967). The data analysis process is also based upon that used by Zimmerman and colleagues (1995) in their series of case studies of HIV prevention programs. This data analysis process is almost entirely inductive as the aim is to develop theory from the data. However, there is a deductive aspect in that my research questions, the observation checklist, and the interview questions are based

on existing relevant literature. A description of the steps of data analysis and examples of the steps are provided (see Figures 2, 3, and 4 and Tables 5 and 6). The first step of the data analysis process was to read all the transcripts and documents, without coding. Memos, or “written records of analysis related to the formulation of theory” (Strauss and Corbin, 1998, p. 197) were then written about initial impressions of the data. The memos included a description of patterns seen in the data and noted questions for further exploration in the continued analysis (see Figure 2). Memos were written throughout the rest of the data analysis process, including analysis of data from observational interviews and documents. Next, an open coding technique was used. This is a stage of coding where the text is broken down, examined, conceptualized, and categorized (Strauss and Corbin, 1998). To conduct open coding, each document was read and chunks of text, approximately 1-5 sentences long that are conceptually distinct and meaningful, were identified and assigned a code, using *in vivo* codes, which use the language of participants whenever possible. This first level of *in vivo* codes was then reviewed. Whenever a pronoun was used in any of the chunks, the proper name was inserted in brackets into the chunk. Similarly, if context was needed to understand the chunk, this was also included in brackets. No words were added, except in this bracketed form so that the research participants’ actual language could be identified. Axial coding, a process where data are put back together in different ways after open coding (Strauss and Corbin, 1998). To conduct axial coding, the coded chunks were reviewed and related to the research questions (see left-hand column of Table 5). However, in the course data analysis process, it was determined that the data did not match the research questions. For example, relationships that members of the IOC had with others outside of the IOC

could be framed as an internal facilitating factor (e.g. contacts of members of IOCs) or an external facilitating factor (e.g. individuals outside of the IOC who were considered allies). During analysis, it became apparent that trying to separate these out as distinct categories was not helpful in understanding the experiences of the IOCs, nor did they fit the data well. The analysis process was therefore revised. Memos and in vivo coding were reviewed and a new list of coding categories that are grounded in the data was developed (see right-hand column, Table 5). All in vivo codes were then assigned to at least one of these coding categories. Any in vivo codes that did not fit one of these coding categories were assigned to the category “miscellaneous” and were reviewed again after the process of reading all in vivo codes was completed.

Figure 2: Sample memos

Example 1: Memo – leadership

How is leadership talked about? I don't think people specifically talk about "leadership" as a characteristic, but talk instead of about characteristics of staff or members that are aligned with leadership - expertise, trustworthiness,

IOC2 talks a bit more specifically about leadership, as they are purposely developing leadership of their youth

Example 2: Time and relationship building

IOC2 is very purposeful about building relationships - through retreats with activities and emotional sharing and doing mood checks with policy makers. Since it is a youth development program, and they only have the youth engaged for a couple of years, this purposeful action may be to address the issue of the time (or it might be the nature of working with youth???. Other groups have had time (years) to establish reputation as a coalition, and tap into the pre-existing relationships of members, as well as reputation of partner organizations.

Example 3: Number of organizations/competition for funding

Large number of nonprofit organizations can be a facilitating factor in that it results as a structure for organizing and advocacy. However, it also means there are a lot of organizations competing for funds

Table 5: Coding categories

Initial axial coding categories, based upon research questions	Revised axial coding categories that arose from the data
<p>Policy goal Policy advocacy activity Internal challenges Internal facilitating factors How IOCs address internal challenges How IOCs enhance internal facilitating factors How youth are engaged to address internal challenges How youth are engaged to enhance internal facilitating factors External challenges External facilitating factors How IOCs address external challenges How IOCs enhance external facilitating factors How external challenges impact youth engagement How youth are involved in policy advocacy activities How youth involvement helps achieve policy advocacy goals What has worked well in engaging youth Challenges to engaging youth What is it like working with adults to achieve policy advocacy goals Challenges to working with adults to achieve policy advocacy goals How, if at all, has working with adults helped your IOC in achieving its policy advocacy goals?</p>	<p>Adulthood Challenges to working with youth to achieve policy advocacy goals Collaboration Commitment, passion Communication Communities of color organizing and advocating for policy change Cost/savings of policy Credibility, respect, expertise, knowledge of coalition members Decision making Different points for policy work Distance, location, transportation Empowerment Expertise External challenge External facilitating factors Factors that facilitate youth engagement in policy advocacy activities Funding How youth are involved in policy advocacy activities Information about policy goal Internal challenge Internal facilitating factors Leadership Learning, teaching Media Membership, board membership, board roles Miscellaneous Opposition Organizational structure, meetings, strategic planning Participation Policy advocacy activities Policy advocacy as youth development Policy goals Policy implementation Policy makers Policy process Policy successes Politics of issue Power Racism, anti-immigrant sentiment</p>

	Relationships Reputation Role Staffing, volunteers, interns, consultants Stigma Supporters Time Trust Working with other groups, organizations Youth and adults working together
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Throughout the data analysis process, a series of documents were created that organized the data, including a list of all coding categories and a document with all in vivo codes within each coding category. Memos continued to be used throughout the data analysis process to identify emerging themes and to reflect on the analytic thought process (Strauss and Corbin, 1998). I reviewed in vivo codes within each coding category to identify intermediate themes (see Table 6). Diagrams were used to better understand the connections between the themes.

Table 6 provides an example of data chunks, the in-vivo codes assigned to the data chunk, the intermediate theme, and the coding category. In coding, this data chunk was assigned four in vivo codes. These codes were then assigned to coding categories. As shown, some of these in vivo codes were assigned to the same coding category. When the in vivo codes in the coding categories were reviewed as a collective body, intermediate themes were then identified. The in vivo codes were then assigned to these intermediate themes.

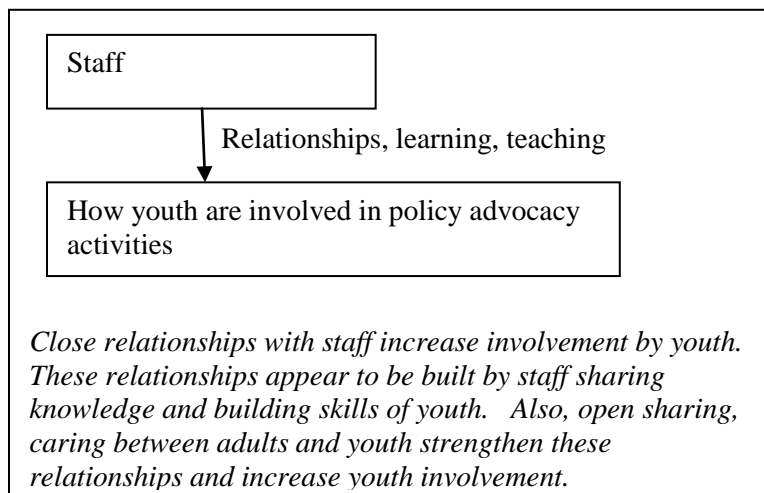
Table 6: Examples of chunks, codes, intermediate themes, coding categories

Data chunk	Codes	Intermediate themes	Coding categories
<p>It's also that there are, um, you know, just to - many of the organizations are virtually 100% aligned with [IOC1] on policy. But, um, also need to recruit people for their boards of directors, also need to raise money from the same people who would support these kinds of issues, whether it's private donors or funders or corporations. And so, on the one hand, we're all trying to pull in the same direction. And so, there's a lot of synergy to that. And on the other hand, we're all trolling for resources from the same lake and that's a little bit of a problem. Not that it's been a huge problem. It just, you know, makes us (inaudible).</p>	<p>Organizations [in IOC1] need to raise money from the same people who support these kinds of issues</p>	<p>Organizations raise funds</p>	<p>Funding</p>
	<p>Organizations [in IOC1] need to recruit people for their board of directors</p>	<p>Recruiting board members</p>	<p>Membership, board membership, board roles</p>
	<p>On one hand, we're all trying to pull in same direction, there's a lot of synergy [among IOC1 members]</p>	<p>IOC organizations compete for funds</p>	<p>Funding</p>
	<p>[Members of IOC1] trolling for resources from the same lake is a bit of a problem</p>	<p>Synergy</p>	<p>Membership, board membership, board roles</p>
		<p>IOC organizations compete for funds</p>	<p>Funding</p>

Constant comparison is a process that encourages the researcher to evolve from description to the deeper analysis of data (Strauss and Corbin, 1998; Glaser and Strauss, 1967) by considering the diversity of the data. This is accomplished by the constant and systematic comparison of one IOC to another, in terms of similarities and differences in code categories; writing memos regarding observations in comparisons and ways in which the data is conflicting with the researcher's thinking or assumptions; comparing the experience of one IOC or a specific incident that occurred to emerging categories

(Glaser and Strauss, 1967). The axial code of “how youth are involved in policy advocacy activities” can be used as an example of how constant comparison was used in the analysis. The researcher reviewed the in vivo codes included under this axial code, taking note of the differences between the three IOCs by asking basic questions (Who, What? When? How much? Why? How much?) (Strauss and Corbin, 1998) and questions such as: What are the differences between the IOCs? When do these differences occur? Under what conditions do these differences occur? How do these differences occur? How do these differences appear? Why do these differences exist? In considering these questions, I began to see patterns emerge. These patterns also indicated other axial codes that may be related to this axial code, such as “staffing, volunteers, interns, consultants,” “learning, teaching,” and “relationships.” A memo, including a diagram (see Figure 3) was then created to document the comparison.

Figure 3: Sample diagram that resulted from constant comparison



Analysis of documents

The documents received from each of the three IOCs were reviewed before conducting interviews. This gave the researcher more contextual information which

could be used for probing. The analysis of the documents was completed after all interviews were conducted, transcribed and analyzed, and the revised coding categories were developed. Each of the documents were again read by the researcher, and using a focused coding approach (Emerson et al., 1995) where the researcher considered the coding categories developed in reviewing the documents and compared the cases (IOCs) to each other. After this process, a memo for each IOC was written, describing the documents and how they fit in or do not fit in with the core categories.

Analysis of observation notes

The analysis of the observation notes was similar to that of the documents. The notes from all observations were read by the researcher, and memos were written that described how these observations did or did not fit in with the core categories.

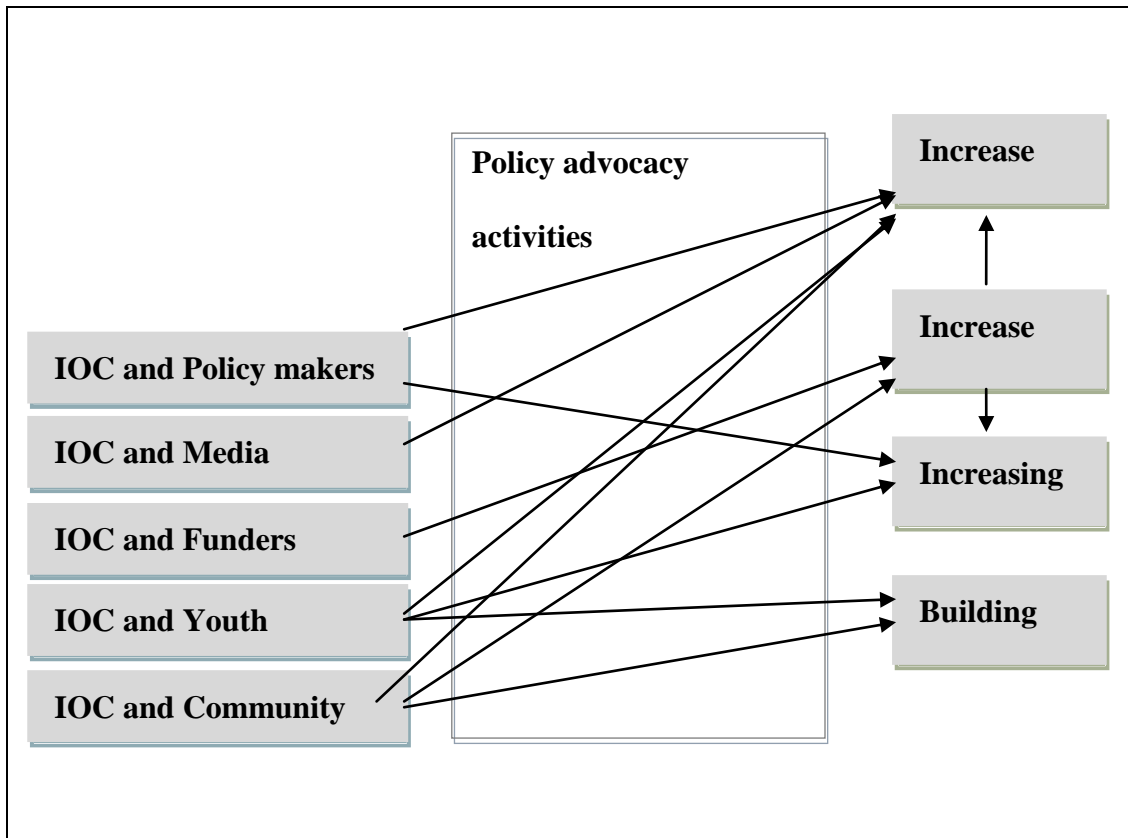
The observational checklist that was used during observation of each IOC meeting included elements of IOCs that previous literature had determined were associated with IOC effectiveness. The observational checklists were reviewed in order to look for data that fit in or did not fit in with the core categories developed. While the checklist form did not provide greater depth to the data as there was little variation across time points or across IOCs, the categories on the checklist helped to keep these characteristics in the mind of the researcher and assisted with note-taking.

Selective coding of all data

The final stage of the analytic process, selective coding (Strauss and Corbin, 1998), was the analytic process whereby the researcher identified the story of the data. This coding was conducted by reviewing axial coding categories and reviewing memos written throughout the coding and analysis process up to this point. Diagrams were

helpful in this process, as the connections between coding categories were sketched out. For example, one diagram included a list of relationships that the IOC had (e.g. that with policy makers, media, funders, youth, the community) were connected to outcomes that were observed in the data (see Figure 4). Constant comparison was used to identify similar patterns or differences between the IOCs. Finally, the connections between the coding categories were validated by the data (Strauss and Corbin, 1998). From the review of axial coding categories, memos, and the development of diagrams, the story line, or the conceptualization of the story of the data (Strauss and Corbin , 1990), was identified. This story line is distilled down to one “core category,” or central phenomenon around which all the other categories are integrated (Strauss and Corbin, 1998). In this research, the core category was identified to be *Relationships* (described in more detail in Chapter 5). The story line was pieced together, starting with this core category of relationships and conceptually linking other axial coding categories. The story, defined as a descriptive narrative about the core category (Strauss and Corbin, 1998), evolved into the theoretical model presented in Figure 5 which is described in detail Chapter 5.

Figure 4: Sample diagram from selective coding



Interpretation trustworthiness

This study uses triangulation and member checking (Seale, 1999) to ensure the trustworthiness of the results of this qualitative study. This study includes data triangulation, the use of a variety of data sources (e.g. interviews, observations, document review) (Patton, 2002). Member-checking is a process whereby a researcher establishes the credibility of their research by presenting drafts of material to respondents in order to receive feedback on its accuracy or palatability (Burgess-Limerick and Burgess-Limerick, 1998; Stake, 1995). A written summary of the preliminary analysis was provided to the contacts at each of the three IOCs and the funding organization in order to solicit feedback. They were offered the opportunity to provide feedback either through an email response or a brief (less than half hour) telephone conversation. An email reminder was sent to each contact after one week. Contacts from two IOCs provided feedback through the telephone call. The overall feedback was that the results were in line with the experience of the IOC and they did not have any recommended changes.

Chapter 4: Results

Chapter overview

This chapter presents the results of this study. In order to provide sufficient context for the results, the chapter begins with a description of each IOC. While an overview of each IOC was provided in the methods section in regards to case selection, this was based upon the information provided by a contact at the funding agency supporting the policy work of these IOCs. This research yielded more in-depth information that, at times, conflicted with the contact's information. Therefore, a description of the IOCs is provided that is based upon the observations, document review, and interviews conducted in this research. The chapter continues by providing background about the policy goals and the policy advocacy activities that the IOCs conducted in order to achieve their policy goal. It is important to reiterate that these results will be presented in a manner that maintains the confidentiality of the three groups studied. Thus, few specific details will be given, but instead general activities will be described in order to provide contextual information about the IOCs' policy advocacy efforts. The chapter continues by describing factors that were helpful or challenges to IOC's achieving their policy advocacy goals.

While the research questions informed the research design and interview questions, the use of a grounded theory method to develop theory that is grounded in data allows for refinement of research questions, as concepts and relationships become either relevant or irrelevant (Strauss and Corbin, 1998). The original research questions, based

upon the professional experience of the researcher and literature (Zakocs and Edwards, 2006; Mizrahi and Rosenthal, 2001; Florin et al., 2000; Hays et al., 2000; Roussos and Fawcett, 2000; Butterfoss et al., 1996; Butterfoss et al., 1993), were to identify internal and external factors that either were challenges or helpful to an IOC's efforts to change policies that impact youth and how, if at all, youth participate in these efforts. However, when the interview questions were asked specific to internal or external factors (see Appendix D), the interviewees' responses did not fit the question and at times it was difficult to determine if the respondent considered a factor to be internal or external to the IOC. Other factors were described as being both internal and external factors. For example, relationships that members of the IOC had with others outside of the IOC could be framed as an internal facilitating factor (e.g. contacts of members of IOCs) or an external facilitating factor (e.g. individuals outside of the IOC who were considered allies). During analysis, it became apparent that trying to separate these out as distinct categories was not helpful in understanding the experiences of the IOCs, nor did they fit the data well.

New coding categories were developed, as described in Chapter 3 (see Table 5). The results presented here are primarily grounded in the one-on-one interview transcripts and are supported by the researcher's observations and the review of IOC documents. Table 7 lists all coding categories created in the analysis process. A selection of the results of the study is presented in this chapter, and the coding categories highlighted in this chapter are listed in bold face in Table 7. The choice of results to be included in this chapter was informed by the selective coding process and resulting story and core concept which were identified using the analysis process detailed by Strauss and Corbin

(1998), which will be further synthesized and described in Chapter 5. While all coding categories do relate to the core concept and are part of the story, parsimony was necessary in describing the story, or the descriptive narrative about the central phenomenon of the study. Those axial coding categories of most relevance to the core category, *relationships*, are included in this description of the results. These are organized to reflect the story of this data that was identified through the selective coding process. In Chapter 5, I will present the synthesis and interpretation of these results, including a grounded theory, and how this theory is connected to other literature. While there are multiple stories in the data, the story selected for the purpose of this dissertation was chosen due to its consistency across all three cases and because of its potential for practical application by IOCs.

Table 7: Complete list of coding categories from data analysis

<p>All coding categories generated through data analysis (Coding categories presented in Chapter 4 are in boldface)</p>
<p>Adulthood Challenges to working with youth to achieve policy advocacy goals Collaboration Commitment, passion Communication Communities of color organizing and advocating for policy change Cost/savings of policy Credibility, respect, expertise, knowledge of coalition members Decision making Different points for policy work Distance, location, transportation Empowerment Expertise External challenge External facilitating factors Factors that facilitate youth engagement in policy advocacy activities Funding How youth are involved in policy advocacy activities Information about policy goal Internal challenge Internal facilitating factors</p>

Leadership
 Learning, teaching
Media
Membership, board membership, board roles
 Miscellaneous
Opposition
 Organizational structure, meetings, strategic planning
 Participation
Policy advocacy activities
Policy advocacy as youth development
Policy goals
 Policy implementation
Policy makers
 Policy process
 Policy successes
 Politics of issue
 Power
 Racism, anti-immigrant sentiment
Relationships
 Reputation
 Role
Staffing, volunteers, interns, consultants
 Stigma
 Supporters
 Time
 Trust
Working with other groups, organizations
Youth and adults working together

Due to the large number of results presented in this chapter, Table 8 provides an outline of the results presented in this chapter. Each item included in the outline reflects a coding category listed in Table 7 and is a heading or subheading of a section of chapter 4. The outline is to orient the reader and facilitate his or her understanding of how the results presented are organized.

Table 8: Chapter 4 outline and roadmap

Chapter 4 outline and roadmap

1. Description of the inter-organizational collaborations
 - A. IOC1
 - B. IOC2
 - C. IOC3
2. IOC goals and objectives
 - A. Overall goal defined as broader social and institutional change
 - B. Aligning overall goal with mission of organizational members
 - C. Gain support of policy maker
 - i. Policy makers are responsive to constituents, including youth
 - ii. Policy makers are concerned about cost of policy change
 - iii. Knowing policy makers are opposed to policy is helpful for IOCs
 - iv. Ensuring that youth and communities of color have a voice
 - D. Ensuring that youth and communities of color have a voice
 - E. Intermediate objectives of doing policy advocacy work.
3. Policy advocacy activities
 - A. Individuals responsible for conducting policy advocacy activities
 - B. Targets of policy advocacy activities
 - C. Purpose of policy advocacy activities
 - i. Increase access to policy makers
 - ii. Increase awareness of issue to build base of support
 - iii. Increase resources
 - iv. Other activities essential to accomplishing the policy goal
 - a. Holding IOC meetings
 - b. Development of policy advocacy strategy
 - c. Monitoring and evaluating progress of policy change or implementation

(continued next page)

Chapter 4 outline and roadmap (continued)

4. Resources

A. Members

- i. Membership structures
- ii. Members' roles and responsibilities
- iii. IOC members provide access to their contacts
- iv. Relationships among IOC members
- v. Diversity of membership
- vi. Challenges related to IOC membership

B. Staffing

- i. Staff roles
- ii. Helpful staff characteristics
 - a. Staff knowledge, credibility, and connections
 - b. Staff approach to policy aligned with that of IOC
 - c. Characteristics of staff helpful for youth engagement
- iii. Challenges to having staff as an IOC resource

C. Youth

- i. How youth are engaged in policy advocacy efforts
- ii. Youth-led approach to youth engagement in policy advocacy
- iii. Ways adults incorporate youth voice into policy advocacy work
- iv. Challenges to youth engagement
 - a. Not having youth program from which to draw youth
 - b. IOC structure and resources that impact youth participation
 - c. Youth unable or unwilling to participate
 - d. Youth feel they cannot impact policy
 - e. Views adults hold toward youth impact youth participation
 - f. Views about youth of color impact youth experience in policy advocacy
 - g. Youth need support to participate
- v. Factors that facilitate youth engagement
 - a. Different strategies to engage youth in IOC policy advocacy activities
 - b. Relationships between adults and youth facilitate youth participation
 - c. Learning and empowerment keep youth engaged

(continued next page)

Chapter 4 outline and roadmap (continued)

D. Financial resources

- i. Seeking funding takes time away from advocacy
- ii. Other challenges in obtaining funding for IOC policy advocacy activities
- iii. Impact of funding reductions on IOC work
- iv. Impact of funding reductions on youth participation

5. Relationships

A. Relationships with policy makers

- i. Importance of relationships with policy makers
- ii. Meeting with policy makers
- iii. Policy makers bring groups together
- iv. Challenge to working with policy makers

B. Relationships with members of media

- i. Developing relationships with media
- ii. Successfully engaging the media requires specific skills
- iii. Aligning policy goal with the media
- iv. Challenges related to media
- v. Youth work with media

C. Relationships with communities

- i. Relationships with other organizations
- ii. Relationships with community members
- iii. Challenges in engaging community members in policy advocacy

D. Interactions with opponents

- i. Meeting with opponents

6. Chapter 4 summary

Description of the inter-organizational collaborations

IOC1

IOC1 is composed of thirty organizational members, each of which pays annual dues to support the work of the IOC. The organizations represent various sectors including nonprofit organizations, governmental agencies, academic institutions, and professional associations, all with an interest in the policy area in which IOC1 advocates. The member organizations do not have voting rights and do not in any way steer the direction of the organization beyond their decision whether or not to continue their paid membership. Continued membership is assumed by the leadership to indicate agreement with, if not all specific policy goals, the overall mission of the organization. While IOC1 fits the definition of an IOC for the purpose of this research (a group of independent organizations who work together toward a specific purposes while maintaining their own autonomy), it has 501(c)3 status, the IRS's not-for-profit designation, so in many ways it operates as a nonprofit organization. IOC1 is governed by a board of directors who oversee operations of the organization, direct its employed staff, and determine policy goals and strategy. Like many nonprofits, the board is also responsible for bringing in funds through individual donations. These donations may be given by the board members, themselves, or they may solicit donations from their personal and professional networks. The IOC had recently received a large donation of funds that substantially increased its endowment. The IOC works on policy change at the state and institutional levels. The board of directors is composed of various professionals working in fields relevant to its policy issue. At the time of the data collection, the IOC1 had three staff and anticipated hiring a fourth staff person. All but one staff are part time employees.

All staff and most of the sixteen members of the board are white. As this IOC works with a particularly high-risk population of youth, (including, but not exclusively youth of color from low income communities), it has faced several challenges in engaging youth in its policy work. There are no youth who sit on the board of IOC1. Instead, the IOC relies on member organizations or board members who work for organizations that provide direct services to youth in order to engage youth.

IOC2

IOC2 is a youth-led organization, in that youth, with support from adult staff, make all decisions related to policy goals and policy strategy. As such, IOC2 conducts policy advocacy to bring about policy change to address problems prioritized by its youth members. Rather than viewing itself as a policy advocacy IOC, IOC2's focus is on youth development, and it uses policy advocacy as a strategy toward this end. A nonprofit, youth-serving organization with 501(c)3 status serves as its fiscal conduit, as IOC2 does not have its own 501(c)3 status. Its fiscal conduit also houses the IOC in one of its buildings, employs IOC2's staff, and provides administrative support such as assistance in grant-writing. The IOC includes member organizations and IOCs that provide services to youth and are located in various predominantly low-income cities around the state. These organizations and IOCs select youth from their own youth programs to represent them in IOC2's activities. In most cases, staff from these youth programs provide staffing support for IOC2 at meetings, retreats, and policy advocacy activities, although in some instances, the city locations do not have sufficient resources available to provide staffing support. As a statewide IOC, IOC2 is working on state-level policy change. Most of the four adult staff members who were present for my observations were non-

Hispanic whites, one was Hispanic, and all were male. Youth who are members of IOC2 are predominantly youth of color from low socioeconomic backgrounds. Membership is somewhat fluid, as youth age-out or stop participating due to competing demands on time, while new youth participants come to events with peers or with a participating youth program. There were thirteen youth who participated in the retreat and nine in the meeting observed as part of the data collection. It was the understanding of the researcher that, while not all those considered members at that time of these events were present, the numbers of youth present for these activities was expected and represented usual attendance at such events. Most of the youth members face several personal challenges, such as becoming homeless, having dropped out of school, given birth as a teenager, have juvenile-justice system involvement, or facing challenges within their families.

IOC3

Members of IOC3 include individuals representing academic institutions, and the offices of policymakers, and nonprofit organizations that represent organizations in communities of color and immigrant communities in predominantly low-income neighborhoods. All of IOC3's thirteen members are people of color. IOC3 is working at policy change at the state, local, and institutional level. One of the organizations that is a member of IOC3, at the time the data was collected, was serving as the IOC's "lead agency," in that it was its fiscal conduit, housed the organization in its building, hired the IOC's staff, and provided meeting space for the IOC. However, this arrangement was expected to change a few months after the completion of this data collection, as the lead agency wanted to cease playing this role at the end of the contract that IOC3 had with the

lead organization. At the time of the data collection, the IOC had not determined if it would seek its own 501(c)3 status or if another member agency would step in as the lead agency. It was also not clear if the current lead agency would stop other types of support, such as providing meeting space or serving as employer for the one staff member. The IOC had built into its structure to have youth and parents serving on its board. However, at the time of this data collection, no parents or youth were currently members of the IOC. IOC3 provides direct service to youth through a mentoring program. The IOC relies on youth in this program to inform the policy campaign by providing information about their lived experiences to IOC staff or other members with whom they have a relationship. Due to reductions in funding, this program has been scaled back in that they no longer take new participants, do not provide stipends, and have fewer months of active programming each year.

IOC goals and objectives

Overall goal defined as broader social and institutional change

Each of the three IOCs examined in this research is working to change policies to address issues that impact youth. The IOCs do not, however, frame the purpose of their work as the specific policy they seek to change. Instead, the IOCs define their goal as a broader social or institutional change. Examples of these broader changes that IOC members described include addressing the “school to prison pipeline,” improving “the welfare of kids,” incorporating evidence-based practices into youth-serving institutions and making youth services “fair and effective.” The specific policies on which the IOCs are working were viewed as a mechanism through which the IOCs work to realize their broader goal. For IOC1 and IOC3, this broader change is viewed as being larger than one

policy change could resolve. Instead, these two IOCs took a multifaceted approach by working to change multiple policies, engaging other stakeholders in their initiative, and in some cases, including programmatic solutions to address these issues. For IOC2, its primary focus is on youth development and to bring about “broad, lasting change” for youth. The specific policy change on which it is working, as well as the youth development that takes place during the course of advocating for policy change, are designed to address multiple problems that youth face. The specific policy goals are seen as changing over time, informed by the issues prioritized by new cohorts of youth. One staff member of IOC2 describes:

We serve as a youth development program model. So, the specific policy goals are fluid in that we're moving from campaign [to campaign] over about one and a half to two and a half years

Aligning overall goal with mission of organizational members

In addition to guiding its policy work, having an overall vision or purpose enabled IOC organizational or individual members to align the policy goals on which the IOCs are working with their own values. One interviewee described, “I feel like no matter what, anyone in our group could relate to education and something around it that they value.” Thus, the IOC is able to align its overall goal of improving education to the value that members of the IOC attribute to a quality education for youth. Aligning the vision of the IOC with the mission of its organizational members is also important, as organizational involvement in an IOC requires the commitment of time and resources.

As one IOC member describes:

But you have to kind of match [the organizational member's] agenda, the goals we're trying [to achieve] with something they're doing, as well, so, it would behoove them to be part of a IOC that's going to affect the policy that affects them as one who delivers programs that addresses this problem.

Gain support of policy maker

As policy change is an important component of the IOCs' strategies for bringing about broader change, an important goal for the IOCs is to gain the support of policy makers. IOCs sought the support of policy makers for the specific policy goal as well as for the broader social change on which they were working. There were several factors that impacted a policy maker's support for a policy change that were expressed in interviews. Each of which will be described below.

Policy makers are responsive to constituents, including youth

Policy makers are responsive to their sponsors and their constituents. Policy makers who are elected are motivated by hearing from their constituents, as they are dependent upon them for reelection. Interviewees described that policy makers are also particularly interested in hearing from those who are impacted by a proposed policy. In the case of policy change related to issues that impact youth, policy makers wanted to hear from youth, themselves. One adult IOC member describes:

maybe that's why we [engage youth in policy change efforts is because] these are the young people that are affected by the policy, themselves. So, when decision makers hear from people that are actually affected by the policy themselves, I think it has that much greater of an impact. And so, I think that rather than me or somebody else doing this campaign, you know, the young people are far more effective because they're the ones that are affected by it. They're the voices that are usually not heard, and I think they'll get the attention of decision makers a lot stronger than adults would.

Another IOC member described that having youth part of the development of the policy solution was also important to policy makers. He described that, "I think that's a lot more powerful than say a body of, you know, business men and lawyers and doctors who say, 'hey, there's this issue. Let's, let's do this campaign.'"

Policy makers are concerned about cost of policy change

Due to the economic environment, policy makers are very concerned about the cost of any proposed policy changes. The economic environment can be an advantage to groups that are able to demonstrate that the policy for which they were advocating can save the state money. This is not the majority of situations, however. Instead most policies have budget costs to them. In some instances, the IOC can make the case that the policy change may have upfront costs for implementation, but would save the state money in the long run. However, this does not always successfully sway policy makers.

As one IOC member described:

There's rationality on both sides. You know, if you don't have the money. You know, it's the poor person who can only buy the one quart size of something, not the one gallon size. So, if the money is not there, you can't do it.

The constraints of the economic environment also pit one policy campaign against another if they are competing for limited funds. One IOC staff member described the philosophy:

It's very much, there's a pie and everyone's taking a piece and there's only so many pieces of a pie versus why does there have to be a certain size pie?

The economic environment also can lead a state agency to oppose a policy that it views may jeopardize its own budget. For example, a policy that supported community-based alternatives to governmental institutions would cause those governmental institutions to oppose the policy to prevent funds being diverted from their budgets to community-based organizations.

Knowing policy makers are opposed to a policy is helpful for IOCs

Learning that a policy maker is not in support of the policy campaign is also helpful to the IOC. After listening to the policy maker's critiques, the IOC can determine how it would like to respond to the policy maker, such as by revising the proposed policy language to address the policy maker's concerns. Policy makers' opposition to the policy campaign might be due to the politics of the issue. At times, policy makers are afraid to be viewed as having a certain position on a policy if it might impact their ability to get elected in the next cycle. In one meeting between a policy maker and IOC members, the policy maker stated that some policy makers did not want to pass policy related to a politicized issue because they had concerns about losing seats in the state house of representatives for her political party. She then shrugged her shoulders and commented, "but then, why are we here?" This comment demonstrates the conflict that policy makers may feel between trying to stay electable while also working to represent their constituents and facilitate policy change.

Ensuring that youth and communities of color have a voice

In addition to working to bring about broader change, the IOCs also see their role as representing and giving voice to others who may not have a voice in the making of policies that impact them, such as youth and communities of color. As one IOC member describes, "[the IOC's] overarching goal is to make sure that the minority community has a voice on [institutional] reform issues." In this case, the IOC has an overarching vision that emphasizes ensuring that communities of color are included in the process of changing institutional policies.

Intermediate objectives of policy advocacy work

The IOCs also conduct activities in order to accomplish four additional intermediate objectives. These intermediate objectives are to: increase access to policy makers, increase resources, increase awareness of the issue, and build a base of support for the policy goal. Increasing access to policy makers, increasing awareness of the issue, and building support for the policy goal have the ultimate purpose of gaining the support of the policy decision maker. The fourth intermediate objective, increasing resources, is essential in order to sustain the policy advocacy activities of the IOC. Most of these policy advocacy activities in which the IOCs participate lead to at least one of these outcomes or directly influence the policy decision maker. Table 9 lists the policy advocacy activities conducted by the three IOCs included in this study and identifies which intermediate objective(s) or IOC goal(s) on which the activity has a direct impact.

Table 9: Policy advocacy conducted by IOCs

Policy activity	Intermediate objectives				IOC Goals		
	Increase access to policy makers	Increase resources	Increase awareness of the issue	Build base of support	Gain support of policy decision maker	Increase voice of youth and communities of color	Effect social and institutional change
Meeting with policy makers (includes state senators and representatives; governor; mayor; institutional policy makers, e.g. superintendent; policy making boards)	X		X		X	X	X
Email, telephone policy makers	X		X		X	X	X
Meet with opposition	X		X	X	X	X	X
Engage media through press releases, press conferences, letters to the editor	X		X	X	X	X	X
Testify at legislative hearings	X		X	X	X	X	X
Sit on policy-making committees	X				X	X	X
Work with policy makers to draft bill or policy language	X				X	X	X
Mobilize base of support	X		X	X	X	X	X

including constituents, other organizations							
Develop, distribute fact sheets, reports, white papers	X		X	X	X	X	
Use statistics, research, published reports to support policy position	X		X	X	X		
Host forums or events to educate others about policy issue	X	X	X	X	X	X	X
Create/maintain listserv, website, public service announcement	X	X	X	X	X	X	
House-to-house door knocking	X		X	X		X	
IOC members (including youth) and/or staff collect and communicate youth experience at IOC meetings to inform goals	X		X	X		X	
Participate in rallies, awareness events	X		X	X	X	X	
Recruit new IOC members	X	X		X		X	
Facilitate IOC meetings about policy			Note: These activities do not lead to intermediate outcomes or directly influence policy decision makers, but are still important aspects of the policy advocacy process and evaluation as they provide necessary resources, inform policy advocacy activities, and evaluate policy outcomes.				
Determine policy strategy							
Monitoring progress of policy change or implementation							
Assess, evaluate, observe							

implementation of policy			
Increase financial resources, through requests for donation, writing grant proposals		X	

Policy advocacy activities

Individuals responsible for conducting policy advocacy activities

The three IOCs are involved in a number of different policy advocacy activities, which are listed in Table 9. The individual who is responsible for these policy advocacy activities varies by IOC. More detailed results about the human resources, including staff, members, and youth are provided below, but for the purpose of understanding the policy advocacy activities that the IOCs conducted, a description of who is responsible for policy advocacy activities for each IOC follows. These activities are often conducted by IOC staff in the cases of IOC1 and IOC3, though IOC members also participate in these policy advocacy activities. IOC1 strategically selects IOC members to support staff on policy advocacy activities based upon expertise or connections with policy makers. For example, several members, each with different expertise, testified at a legislative hearing as one panel. If an IOC member has already established a relationship with a policy maker, they may introduce an IOC staff person to the policy maker or attend the meeting with them. A self-selected subset of the members of IOC3 assist the one IOC staff person in conducting policy advocacy. These members volunteer to attend meetings set up by the staff member or a student intern. In the case of IOC2, the youth members are responsible for all policy advocacy activities and are supported by adult staff.

Targets of policy advocacy activities

In order to achieve the goal of social or institutional change through policy change, the policy advocacy activities of the three IOCs are designed to gain the support of policy decision makers, such as state legislators, superintendents, city councilors, mayors, or state executive branch officials. Thus, policy maker(s) who are responsible for making the policy decision are a primary target of the IOCs advocating for policy change. For example, the primary policy advocacy targets of an IOC working to change school district level policies regarding how high school students can reenter school after dropping out include the mayor and the superintendent. Another IOC working to change policies within the state juvenile justice system has worked to gain support of state legislators who will be making decisions of whether or not to support bills related to juvenile justice reform.

Purpose of policy advocacy activities

Increase access to policy makers

One of the purposes of the policy advocacy activities is to gain or increase access to policy makers. Table 9 describes the different activities the IOCs completed and notes which increased access to policy makers. Initial contacts were made to policy makers through phone calls, emails, or letters. Generally, policy makers were responsive to the IOCs. For example, one IOC tried to access policy makers on a legislative committee to meet with them prior to the hearings about legislation the IOCs were supporting. One member described the policy advocacy activities conducted to meet with the policy makers:

I started with emailing all of the legislators on the joint education committee with a formal letter from [an IOC member] telling them about [our IOC] a little bit and about the legislation that was upcoming, why [our policy issue is] such an issue, so basically kind of requesting the meeting, giving some basic background and, you know, didn't get a whole lot of responses from that, which I expected, but just to get kind of a formal request in writing to them and then, you know, the following week we did follow-up phone calls and started to schedule things from there, which was kind of a successful process. There was maybe five or six - no, probably about four legislators that we were unable to meet with for various reasons... So, just tried to work something out that way and pretty much everybody was easy to schedule and keep to that. We had a few reschedules and unfortunately was [a legislator] who had to reschedule about four times and we eventually just couldn't meet with them, but he told us that he was supportive of both of the bills that we were advocating for, so it wasn't too big of an issue.

This quote demonstrates the different policy activities – writing and sending a letter, emailing, and ultimately meeting with a policy maker – that were conducted in order to gain access to policy makers and to ensure that they are aware of the pending legislation.

Increase awareness of issue to build base of support

Many of the policy advocacy activities are designed to increase awareness of the issue among policy makers and the community. This increased awareness builds a base of support and educates the policy makers about the topic. Increasing the policy maker's awareness of the policy issue is an important first step in gaining the policy maker's support for the policy change. The IOCs meet with many policy makers where IOC members present the issue, answer any questions the policy maker has and ask the policy maker for his or her support. In some cases of state-level policy advocacy, the IOCs needed to make the policy maker aware that there is pending legislation. In other cases, the IOCs used resources such as fact sheets or reports, which included statistics or other data, to educate the policy maker about the issue and why the proposed policy change is important. For example, in one meeting observed as part of this research, the members of

one IOC met with a state legislator who served on a legislative committee that was reviewing a bill the IOC was supporting. During this meeting, the IOC members introduced the IOC and provided the legislator with a fact sheet that described the pending legislation and why they thought it was important. They verbally communicated this same information and gave the legislator a chance to ask questions about the pending legislation. The IOC members and the policy maker then discussed potential barriers to passing the legislation and how they may be addressed. One IOC member offered to discuss these potential barriers with the legislator who had sponsored the bill, and the policy maker said that she would be speaking to him and would discuss possible changes with him. Another example of a policy advocacy activity observed, IOC1 held an educational forum related to one of the IOC's policy goals. In the audience of this forum were several policy makers, as well as those who are responsible for implementing policy. Information during this forum, in support of the IOC's policy goals, was presented through printed materials distributed in a packet, several panels of experts, including youth, and a keynote address.

Increase resources

The policy advocacy activities led to increased resources for the IOCs in several ways. First, IOC1 held events, such as the educational forum observed and charged a fee for people to attend these forums. This raised financial resources. Secondly, activities, such as hosting a website, listserv, or Facebook page offered opportunities to request donations to support the policy advocacy work. Lastly, new members (human resources) were recruited through several policy advocacy activities, particularly through educational events or rallies or websites.

IOCs work to build a base of support for their policy campaign by recruiting allies who are in support of the proposed policy change. These allies include other community-based organizations or IOCs, policy makers, community members, and youth. Building this base of support leads to increased resources available to the policy initiative, enhanced visibility of the issue, and also influences policy makers. The expanded resources include the human resources of these new partners and, in some cases, financial resources. By having an expanded base of support, new partners and constituents can inform their networks of the policy campaign, further increasing visibility of the issue. The broad base of support influences policy makers because policy makers, particularly when elected, are accountable to their constituents, so they are more likely to align themselves with a policy campaign that has broad constituent support. One adult IOC member describes the importance of building a base of support in order to show policy makers that their constituents support the policy initiative:

It's very hard if there's no kind of movement and I mean this early movement is important in meeting with the legislators and I think it puts it on the map, but at the end of the day, those legislators have to make choices, and they're going to make choices that best meet the needs of their constituency.... I could pick up and call every single legislator at the state house, but it's not the same. It's just not as effective. I mean, obviously, if you've got hundreds and hundreds of people [who] call, that would be great, but even having ten people per legislator, makes a big difference because nobody calls about these issues. They call about more hot topic issues. So, even having ten people call is really important.

A youth described a policy makers' decision to support the policy campaign after seeing the broad support, including youth and business men that supported the IOC's policy goal:

They were kind of surprised, "oh, yeah, them?" So, it just felt good that [the policy makers] decided to join with us and with all citizens behind it. So, it was really, like, it was a positive way. And it just really showed everyone that [the youth] were serious about it.

This quote also describes how having a broad base of support can lend credibility to a policy advocacy campaign. The youth felt that having many people behind their initiative made them look “serious.” This is particularly true if the broad base support includes those likely to be impacted by the policy change and those who may be expected to oppose the policy. For example, having a victim’s rights group in support of policies to prosecute youth accused of homicide as juveniles was helpful to one campaign.

You know, [a group that supports families that have been murdered] is not the most obvious group to [support our policy], but the families that are having kids be killed are also family members who have kids who are being incarcerated. And not all at the same time, right? And they see the connection. And so, they have enough expertise and knowledge of how this really affects people’s lives to get it. But it’s also nice for us to have legislators see, “oh, they have a victims’ group supporting this?” That’s another way of saying, look, this is a group that’s dealing with people who have been murdered. We’re not talking about some big softy group. You know? So, I think that’s real important.

Other activities essential to accomplishing the policy goal

Five policy advocacy activities that did not directly lead to one of these three intermediate outcomes or directly influence a policy decision maker are still essential to accomplishing the policy goal. These activities are holding IOC meetings, developing a policy advocacy strategy, monitoring its progress in order to identify other appropriate places of policy advocacy intervention, ensuring that the policy is properly implemented and effective, and increasing financial resources.

Holding IOC meetings

Meetings are an important part of the work of the IOCs. Each of the IOCs meet regularly, once a month to every six weeks. Staff members prepare and present an agenda, except in the case of IOC2 where the youth facilitators prepare and present the agenda. The youth work with a staff member in advance of the meeting in order to

prepare for the meeting. The meetings observed demonstrated that it is during meetings that the IOCs discuss the issues on which they are working and develop policy advocacy strategies. It was also observed that this is a time where members and staff build relationships with each other, as evidenced by the sharing of personal information and joking banter that was exchanged.

Development of a policy advocacy strategy

The development of the policy advocacy strategy was observed during IOC meetings. Strategy development included determining how the IOC would accomplish its goal. The staff of IOC2 describes the process the IOC used to prioritize the policy campaigns.

Let me start from day one, actually. Let me start from day one. We facilitate a process, teens facilitate all the meetings, but we facilitate a process at the beginning where there's very healthy democratic set up. We're often times, we'll find ourselves, like, I know in the past two campaigns, they'll find themselves positions where two groups, two parts of the group are fighting over which campaign to choose. So, like, even in that, they're, like, they're advocating and they even elect it. They vote on it.

After selecting the campaign, IOC2 refined its campaign strategy and determined that it would advocate for policy change through two policy routes: through legislation and through executive branch policy change. This decision was based upon increasing the chances of success, but also the recognition that executive branch “buy-in” was necessary to implement any legislation passed.

Monitoring and evaluating progress of policy change or implementation

Monitoring the status of a policy change is an important aspect of a policy advocacy campaign because it helped the IOC to identify places where further

intervention was necessary. IOCs monitor the progress of legislative bills to determine if there is need for any further intervention for the bill to pass favorably. A member of another IOC talked about the importance of monitoring the implementation of a policy even after it was passed, noting that often those who are responsible for implementing a bill may not want to change what they have been doing and, therefore, the bill may not be properly implemented.

Resources

Several resources that are necessary for IOCs to complete their policy advocacy activities arose from the data. For the purpose of this research, the term “resources” includes the human and financial resources necessary to conduct the policy advocacy activities in order to bring about policy change in an effort to achieve the IOC’s broader goal. The human resources include IOC members, staff, and youth. The results presented here are a subset of the overall results related to IOC members, staff, and youth. These findings presented here are those that: are consistent across all three IOCs (unless otherwise indicated); provide insights that will be helpful in informing practice; and informed the development of the theory presented in Chapter 5.

Members

Members are one important resources of an IOC. This section includes a description of IOC membership structures, members’ roles and responsibilities, the importance of diversity of membership, and challenges that IOCs face related to membership.

Membership structures

Membership is an important component of the IOCs. The three IOCs have different membership structures, resulting in some of the IOCs having more fluid membership than others. This is the case when IOC membership was composed of organizational representatives. The individuals representing the organization in IOC activities, such as meetings or policy advocacy work, may vary. IOC1 and IOC3 have broad membership of multiple organizations. Additionally, IOC1 also has a board of directors composed of specific individuals nominated and elected who are responsible for decision making and determining the direction of the IOC. While any organization is invited to be part of IOC's broader membership, members of its board of directors are nominated by the board's nominating committee and elected by the board. IOC2's membership is entirely composed of youth. Youth may enter and leave the IOC frequently as new youth become engaged and older youth age out of the program once they reach adulthood or stop otherwise participating. The youth who are members of IOC2 are the leaders of the youth organizations that are organizational members of the IOC. IOC3 invites organizations that have similar missions to be part of the IOC.

Members' roles and responsibilities

Members' roles and responsibilities varied by IOC. For IOC1, its broader membership had minimal participation in IOC events. However, the board of directors was responsible for identifying the policy goals, for raising funds, and for assisting the staff in conducting policy advocacy activities. For IOC2, the youth-led IOC, youth members were responsible for identifying policy advocacy goal, developing the policy strategy, and conducting all policy advocacy activities. For IOC3, most members were

responsible for supporting the staff, who took the lead on conducting all policy advocacy activities. One member, whose organization did primarily policy advocacy work, also took a leadership role on the policy advocacy activities of the IOC. Members also voted on all decisions. Observations revealed that both staff and the chairs of the IOC proposed policy strategy and policy goals that were voted upon by the broader IOC membership.

IOC members provide access to their contacts

IOC members provide the IOC with access to the various contacts with whom they had already built a relationship. In most cases, the IOC members work for different organizations related to the mission of the IOC. Through their employment, they have built relationships with other individuals working in the field, funders, and policy makers. In some cases, they also have access to community members through their professional work or other affiliations. One IOC staff member describes how an IOC member helped by meeting with a policy maker with whom he already had a relationship in order to discuss the IOC's policy goals.

So, for example, one of my board members arranged a meeting with one of the [policy maker in another area of the state]. And, you know, could I have met with him? Maybe, but you know, it would have taken six months, and maybe he would have cancelled or whatever. But because [the board member] has a good relationship with him and he's there to promote the cause, not just make the meeting happen. You know, I can't be a presence in every county. You know, it'd be impossible.

In this situation, the IOC member was able to both facilitate access to a policy maker with whom the IOC did not already have a relationship and spread the work of the IOC to an area of the state in which it did not yet have a presence.

IOC members can also facilitate access to resources, including human, financial, and material resources. IOC members, themselves, are human resources, bringing their

skills and expertise. IOC members also have access to other human resources through their professional and personal networks. These resources are recruited into the IOC in several different situations: youth with whom the IOC member works through their job may be brought into the IOC's work to speak at an educational forum or testify at a hearing; colleagues may lend their expertise or attend an IOC event; peers may attend events such as a rally. Members may facilitate IOC access to financial resources through relationships they have built with or through individual or institutional donations to the IOC. IOC members may provide material resources through their professional position. For example, a member's place of employment may provide space in which an IOC can meet or provide transportation support for youth to attend IOC meetings or events.

IOC members provide increased exposure for the cause in that through their professional work, they speak about the work and policy initiative of the IOC. IOC members also share the work of the IOC with the constituents of the organization they represent, educating them about the policy campaign and how it fits with their mission or interest. By exposing other colleagues and constituents to the IOC's policy campaign, IOC members also increase the base of support for the policy campaign.

Relationships among IOC members

Positive relationships among IOCs are helpful in that they keep the IOC members engaged in the work. For IOC1 and IOC3, relationships between members have been built over time and through a history of working together. IOC1 has been in existence for several years, and many current board members were part of the original founders of the IOC, so there is longevity to these relationships. IOC3 is a newer IOC, but yet evidence of personal relationships among members exists, such as through the sharing of gossip or

jokes and teasing during an IOC meeting. The building of relationships among IOC members is more purposefully planned and executed for the IOC2, the youth-led IOC. This IOC experiences much greater turnover for membership, as youth age-out of the IOC after a few years. Thus, there are constantly youth entering the IOC, so integrating new youth in with the group is something that IOC2 does very strategically through ice breakers, activities of emotional sharing, and structuring meetings and activities so that youth work with other youth who they do not yet know. Staff and members described in interviews that these relationships among members are important because it can help keep members engaged and in finding compromise when those around the table represent different organizations, organizations that may be seen as opponents to each other:

But between two organizations that may represent two sides, by working together on many issues, sometimes on the same side, sometimes not on the same side, we developed a mutual respect that is not about special interest. It's about peoples who sit in slightly different positions, having honest disagreement about what the best thing is for [the youth]. And so, when you establish that, then you're able to get more done because you're able to have much more candid conversations.

Diversity of membership

IOC1 and IOC3 strive to have diversity of membership, as it was viewed that diversity within the IOC could lead to more credibility with policy makers. This diversity refers to diversity by skills, experience, type of organization, and race/ethnicity represented. Professional diversity is advantageous for policy advocacy as this diversity in professional backgrounds strengthens the IOC's reputation as being a neutral player. This is particularly true if the diverse professional backgrounds represented different, even opposing, viewpoints on the political issue on which the IOC is working. For IOC3, whose purpose is specifically about multicultural issues, diversity by ethnicity, cultural background, and language is a priority. This IOC strategically tries to recruit

membership that represents different racial and ethnic groups. For IOC2, the priority is to have diversity by having representation from different cities. One member of IOC3 describes how the IOC seeks to have diversity by skill and by race/ethnicity:

Respondent: [IOC3 has] people with skills, knowledge, experience, you know, education, law, organizing, you know, all that, political [experience], you know, all that has helped a lot. So, we come from different backgrounds. And also, culture, understanding their language, you know. So, that helped a lot.

Interviewer: Can you tell me a little bit about how that helped?

Respondent: Well, I mean, you know, if you have somebody who understands the law, somebody who's involved in politics, somebody who we understand the school department, who have been engaged and know the community, all that, you know, you bring all those puzzles, you know, you put them together, you know, you just, you got it. You know, that's what we need to go for. I mean, all that, you know, all the experience people have at the table, that really, you know, and, and the contact information we have, you understand, that, that helps a lot, tremendous.

Challenges related to IOC membership

There are several barriers that affect members' participation in an IOC. Due to organizational funding constraints, individual employees may be forced to “wear many hats” or work in several different roles at their organizations, constraining the time which they are able to commit to the IOC. This can impact adults who are representing organizational members of the IOC. It can also impact the ability of youth to engage in the IOC's work, as the support of the adults is essential for the youth to participate. Participation of members is also impacted by life changes, such as getting new employment, having children, or having other demands placed upon their time.

Interviews revealed that having diversity of membership can also be a challenge to the IOC, as having many people with different backgrounds or different perspectives at the table can also lead to having several different opinions. In some situations these

different perspectives could be addressed. For example, IOC2 looked to this situation as an opportunity for youth development and, during one disagreement about what community issues were of the most priority, had the youth advocate for their position while working toward compromise by incorporating as many different perspectives as possible. However, differences in values may cause members to leave an IOC. It was the experience of one IOC that members left by not renewing membership rather than by actually resigning from the group. One IOC member describes a situation where the diversity of the group led to profound disagreement in the group:

That was a real problem, not only because it made it hard to move forward because we didn't agree, but we didn't agree on such a profound level that it really undermined morale and the sense of trust and respect. So, you want to be broad-based, and it's really important that everybody doesn't completely agree all the time, but, it's kind of like you can't have any impact death penalty organization that includes people that believe in the death penalty. So, there has to be some limits.

Staffing

Staff roles and responsibilities

All three IOCs included in this research have at least one staff member who is a paid employee of the IOC or its lead organization. These staff persons are responsible for the coordination of IOC activities, such as scheduling IOC meetings, maintaining communication with IOC members, and holding IOC members accountable for commitments they made to the IOC. Staff is also generally responsible for tasks to sustain the IOC, such as applying for grant writing and submitting reports to funders. In some cases, staff took a leadership role in the policy advocacy activities, such as meeting with policy makers or developing fact sheets to distribute.

Helpful staff characteristics

Staff knowledge, credibility, and connections

Interviews revealed that several characteristics of IOC staff help an IOC in its policy change efforts. Staff with knowledge and established expertise on the issue on which the IOC is working is helpful in the IOC's interactions with outside entities, such as policy makers or the media. This knowledge and expertise amplifies the credibility of the IOC with these stakeholders. Additionally, it is important that IOC staff have knowledge about the policy making process, including how to advocate for policy change, how to change institutional policies, how to pursue change through the different branches of state government (executive, legislative, and judicial), how to increase awareness of the policy issue, and how to build a broad base of support to achieve the IOC's broad goal. Lastly, IOC staff who have connections to funders or policy makers can enhance an IOC's efforts to bring in funds or to recruit policy makers as allies in its policy advocacy campaign.

Staff approach to policy aligned with that of IOC

The interviews also indicated that it is helpful that the staff take an approach to advocating for policy change that is in line with the IOC's policy advocacy approach and the mission of the organization. For example, one IOC prefers that the staff is able to frame the policy issue in a way that is not confrontational. One IOC member describes the way in which a staff member is able to recruit opposition as an ally to the policy campaign:

...by meeting with them and by not being confrontational. By meeting with them - she knows a lot of the actors in the state, the government personnel. And she sort of knows where they're coming from and that

gives her the ability to pitch or spin or describe something in a way that is more apt to get, to accomplish what she's trying to accomplish.

This is in contrast to the staff of another IOC who is more direct and, at times, confrontational in her policy advocacy approach. One IOC member comments that “some people are cool with [her style] and some people aren't.” This confrontational style is aligned with another approach to policy advocacy that looks to reform the system without compromising or acquiescing to those in power. One IOC member describes these two different approaches to policy advocacy:

But some would think that you have to declare revolution, a new civil rights movement. So, they come from the old school of thinking around advocacy, organizing, advocacy, street neighborhoods, to change and reform the system, which is OK, but then there's also those who did not necessarily live that, that were generations a little bit later that would rather say, “OK, let's not be so rebellious. Let's not be so revolutionary. Let's try to work it through, let's start a compromise, too,” which the ones among the old school say, “that's acquiescence. We're not going to reform the system if you allow them to continue to play the power game with us and allow them to make their own decisions over there.”

While the members of the IOC determine its policy advocacy strategy and style, this passage demonstrates the importance of the staff to share this approach.

Characteristics of staff helpful for youth engagement

Interviews and observations revealed specific characteristics in staff facilitate youth engagement in the policy development process. Staff that are able to teach skills, provide support and encouragement, while having fun with youth make it more likely that youth will get engaged and stay engaged with a policy advocacy campaign. Particularly working with high risk youth who may be facing several challenges outside of the policy campaign, providing emotional support in relation to the other things happening in their life are important. Staff also support youth in helping them prepare for policy advocacy

activities, such as a meeting with a policy maker or testifying at a hearing. This support includes giving the youth an opportunity to practice or role play the policy advocacy activity and providing constructive feedback. Youth who were interviewed described that it was helpful to learn from the experience of adult staff, such as their experience in working in the policy arena. Youth described that the openness of staff to share these skills helped to keep them engaged in the policy campaign.

Challenges to having staff as an IOC resource

According to the interviewees, the primary challenge to staffing is insufficient funding to support an adequate staffing for the IOC. Because of limited revenues and not having enough staff, staff were often seen as “wearing many hats.” As one staff member describes how having too few staff to do the required programmatic, organizational, and policy advocacy tasks impacts the quality of the work:

We just have to figure out how we can really provide and do it with quality because, again, you can try to do as much but being a grant writer, a program manager, a volunteer coordinator, (laughs) an advocate, a lobbyist. (laughs) You know? It's like, it can be a lot because when you're spending more times in meetings lately than you're actually able to sit down and finish the work that you need to finish. I mean, I don't care how great you think you are. I don't care how good of a manager you are, it becomes ridiculous. It's like, you know what? Am I really putting out the quality of work that I should be putting out and what's really suffering for it? That, that's the challenge.

Interns, volunteers, and consultants supplement staffing. However, one challenge is that interns and volunteers require staff supervision, so this must be a strategy used carefully and in such a way that it does not overwhelm staff further. Consultants are helpful for contributing expertise that staff do not have. These consultants are sometimes paid, sometimes provide their services pro bono, and sometimes they are paid for by a local foundation. While not all IOCs are able to afford to pay a consultant, when an IOC

is able to pay a consultant, this is seen as more cost-effective than when staff are taking time to learn a new skill in order to complete the task. A consultant can also help staff develop new skills when they take time to teach staff as they are completing the work. For example, IOC1 hired a communication consultant who provided training to the staff strategies for public relations, such as keeping to three main, well-articulated points when communicating with the media.

Youth

How youth are engaged in policy advocacy efforts

Youth are involved in the policy advocacy activities of the three IOCs, however to the extent to which they are engaged varies quite a bit by the IOCs. Table 9 describes the ways youth are engaged in policy advocacy efforts of the IOCs and describes the difference between youth engagement in the youth-led IOC and the other IOCs. The youth-led IOC, IOC2, has engaged youth in all aspects of the policy advocacy campaign. Being a youth-led organization, this is their process for youth development. For the other two IOCs, youth were primarily engaged in providing information about the experience of youth in regards to the IOC's policy issue and speaking at forums, hearings, or other events. These groups talked quite a bit about "giving voice" to youth at these events.

One IOC member described why having the youth voice was important:

Although we may have a big voice, I still feel [the IOC is] still a small piece of what our community can do, if they come together. The community, meaning our young people, the people that are really impacted by these bills that get voted in, the people that are impacted by these laws that get put on the book. Those are the advocates that we really want to see be loud and in the forefront.

Youth-led approach to youth engagement in policy advocacy

For the youth-led IOC, youth were engaged in all aspects of the policy advocacy campaign. In addition to providing information about the issue and speaking at forums or hearings as with the other IOCs; youth in IOC2 identified a policy solution; wrote bill language and got cosponsors for the bill; met with policy makers, including state senators and representatives, the governor and other members of executive branch, mayors, and school superintendents; held rallies at the state house, coordinated social media campaigns, wrote and recorded a rap video in support of an issue, built up a base of support for their issue through community organizing and raising awareness of the issue; participated in meetings of other organizations with similar purposes; met with opposition; conducted research including gathering statistics and researching other similar campaigns in other locations; called and emailed representatives; engaged the media through press conferences or other meetings; performed door-to-door knocking to raise awareness for campaign; motivated peers to be engaged. They conducted these activities with support and guidance from staff.

Ways adults incorporate youth voice into policy advocacy work

IOC1 and IOC3, which are not youth-led have different strategies for incorporating the voice of youth into their policy advocacy work. First, for IOC1, adults who were engaged in youth programming, either through the IOC or through their positions at the member organizations, served as a liaison between the youth that they served and the IOC. They communicated to the IOC the issues that they were hearing from or seeing in the youth with whom they worked. IOC3 had a youth program that was an important component of the work they did. Similarly to IOC1 members who worked

for other youth programs, IOC3 learned of the issues the young people faced through the program, and incorporated these issues into the discussion of the IOC. While the IOC was originally structured to have youth and parental representatives, a youth was not always present at the meetings. When a youth did attend, they communicated their experience to the IOC to identify issues that they and their peers faced. Youth at the meetings often served as a sounding board. The IOC would talk about potential policy approaches to addressing their concerns, and the youth would provide feedback on these solutions and offer other alternatives.

Table 10: Policy advocacy conducted by adult IOC members and youth in youth-led and non-youth-led IOCs

Policy activity	Youth participate (youth-led)	Youth participate (non-youth-led)
Meeting with policy makers (includes state senators and representatives; governor; mayor; institutional policy makers, e.g. superintendent; policy making boards)	X	X
Email, telephone policy makers	X	
Meet with opposition	X	
Engage media through press releases, press conferences, letters to the editor	X	
Testify at legislative hearings	X	X
Sit on policy-making committees		
Work with policy makers to draft bill or policy language	X	
Build, mobilize base of support including constituents, other organizations	X	
Develop, distribute fact sheets, reports, white papers	X	
Use statistics, research, published reports to support policy position	X	
Host forums or events to educate others about policy issue	X	
Increase public awareness through listserv, website, public service announcement	X	
House-to-house door knocking	X	
Provide information about youth experience to inform IOC goals	X	X
Participate in rallies, awareness events	X	X
Recruit new IOC members	X	X
Facilitate IOC meetings about policy	X	
Determine policy strategy	X	Inform, but do not decide
Tracking progress of legislation	X	
Assess, evaluate, observe implementation of policy	N/A (no policy passed to date)	
Increase financial resources	Youth not engaged	

Challenges to youth engagement

There were several challenges to youth participation in policy advocacy campaigns that were identified by interviewees or through analyzing observational data. These challenges include not having youth programming from which to draw youth, not having structure or resources to support youth engagement, youth being unwilling or unable to participate, and youth feeling like they can have little influence on policy. Additionally, the views of adults toward youth can limit youth participation in the policy campaigns. Each of these challenges will be described below.

Not having youth programming from which to draw youth

IOCs who do not offer “front-line” programming for youth face challenges in engaging youth in their policy advocacy campaigns. Because they do not serve youth, they do not have youth easily accessible to engage or the opportunity to develop the relationships with youth that have been identified by those interviewed as essential to engage them in a meaningful way. The staff member of IOC1, which does not provide any youth programming describes:

I'd say another thing that limits us is just because we don't provide direct services, we're not community-based, it's very difficult for us to have the voices of youth, the voices of families, um, because there's not, in our every day work, that interaction. ... And I think in a lot of ways, not doing direct service, you know, it's a challenge in that it's hard to reach youth and families,

IOCs may choose to not have youth programming because they do not believe it fits with the mission of the organization. For example, IOC1 does not identify as youth-serving, but instead as a youth advocacy organization. The IOC staff and members do not see it as their role to engage youth for the purpose of youth development. One member describes how over time, the IOC had little youth engagement in their policy

advocacy, and they found that this was how they did their best work. Another member describes, “if I’m spending my time interviewing kids, making them feel good, that’s what programs do. [This IOC] is trying to influence policy.”

IOC structure and resources impact youth participation

Interviews revealed that there are several structural factors necessary in order to engage youth in policy advocacy activities. The time that meetings are held can impact youth engagement. One IOC had changed its meeting time from late afternoons to morning in order to accommodate a member’s work schedule. However, youth were unable to meet at this time, reducing youth participation. Youth are likely to require assistance in transportation. In many cases they are not old enough to drive or do not have their own vehicle. Finally, IOCs require funding to cover the costs of youth participating. These costs include costs for food, stipends, and transportation support. One staff-member stressed the importance of having food in order to engage youth. He joked, “it’s pizza that can change the world.”

Youth unable or unwilling to participate

Other challenges to youth engagement are because some youth are unable or unwilling to participate. As the IOCs are working on issues related to at-risk youth, these youth are likely to face other barriers that prevent their participation, including having challenges with family or school that consume their time and energy, being incarcerated, or pregnancy. In some situations, because of stigma around some of the issues that these groups address (mental illness, juvenile delinquency), youth may not be willing to lend their name or face to this campaign. In the case of youth who have been involved with the courts, youth (or their attorneys) may feel that it is unsafe for them to engage in the

effort if they are still court-involved, for fear of repercussions from the system, such as being incarcerated if they are on probation.

Youth feel they cannot impact policy

Some youth described that they feel intimidated by policy makers or as though youth cannot impact policy. One youth described feeling adult policy makers did not think they knew what they were talking about. Another youth described feeling as though the policy maker was thinking, “we’ve been doing this [policy work] for a long time, and you guys [youth] are just born.” However, other youth who had been engaged in the policy activities longer expressed that they learned that they were less intimidated, and they felt participating in policy advocacy was important. One youth describes:

“At first I was intimidated because they have so much power over me. But [now] I feel like they’re just like regular people. They’re just doing their jobs. So, I feel like, I shouldn’t be intimidated just to go in the state house because that’s like everyone should go. I think when I first went there, it was for a youth jobs rally, and when I first went to the state house, I’m like, “oh, like, why are we going there?” And, like, I really didn’t know that existed. I never saw it before. But then when I saw how everyone just came together just to - because they’re passionate about [the issue]. And so, once I saw that, like, the people who work there, I guess, like, the delegation who were there, once I saw that, I was, like, overwhelmed because I was like - wow, I didn’t know, like, I don’t know. Just something hit me that day. So, like, ever since then, I started going to the state house more. Not on my own really, but, like, the coalition. So, yeah, that’s about it.

An adult IOC member describes the challenges she has found in mobilizing youth of color:

You know, low-income, youth, youth who are, you know, having, facing a number of other challenges, who don’t see their potential impact, who, you know, have sort of given up. Some youth have sort of given up on the system and it’s hard to make that connection about the importance of policy advocacy and a direct impact on your day to day life. So, you know, it’s harder to mobilize, you know, mobilize those constituencies.

Views adults hold toward youth impact youth participation

Some adult IOC members described how *other* adults impacted youth engagement, such as by taking over campaigns that were labeled as youth-led. One adult also discussed the role of oppressive institutional systems that also operated in ways that reflect adultism. He described that often those who work within these systems continue to operate with an adultist perspective, despite the work of the IOC. Another adult IOC member described his hesitancy to give youth responsibility, saying:

I think youth input is important. I don't think it's anywhere near the be all and end all. And I think we need to be very cautious with it because I don't think that most kids - they know what feels good and feels bad, but they don't have any world experience and they don't know enough about other people's experiences, including other people their own age to be as useful and as important as everyone thinks they are. I think it's important to hear youth... Particularly when we've done open forums and stuff and coordinated with other groups, there have been lots of [youth] groups who bring participants to talk. And this is good. I mean, it's always good to hear, again, the point of view. It doesn't mean you always believe it, but it's good to hear it. To not hear it would be very wrong for a series of other reasons, because they believe what they're saying even if it's not an absolute truth. It's their immediate truth. So, I'm certainly willing to hear it. And I think it's good for everybody in the whole world to hear it. I don't know if I will always make policy based on it...I guess it's good, particularly to have kids think they're participating and, say, buy in. If they don't, that's part of the rejection and anti-social stuff that we're trying to fight. So, it's good to hear them. It's good to legitimize what they're thinking, but I sure don't want kids deciding when they go to bed. I don't want them deciding what they eat. (laughs) There's sort of this limit of what, you know, kids ought to be doing.

Another interviewee described that their IOC was waiting for the youth who would be an ideal spokesperson, one “who would [overcome risk behaviors] and become successful and then be part of [the IOC], but we had few and far between.” However, another member cautioned about picking one or two then relying on them for all policy advocacy activities:

So, looking at that type of voice at the table and I'm careful with how we work with our young people - I don't want to use the term "use" - how we work with our young people because we can fall into tokenism real easy with young people because we can cherry pick who we want to see all the time and use all the time because they sound good and they get it, but it's about getting all of them getting it.

Views about youth of color impact youth experience in policy advocacy

Racial ideologies may also impact the experience of youth of color engaging in policy advocacy work. One staff member described how the IOC faces negative views of youth of color in its work, but through the policy advocacy activities, is working to reduce these views:

Negative views in, of society on youth [are challenges]. And we're reversing that image, but we're a group of young people of various shades and colors, you know, coming into spaces that they haven't really seen us in and don't expect us to be in. You know? There's still racism in the 21st century. (laughs) So [as an example] just like, "oh, like, can you quiet your teens down" if we're in the state house and we're waiting for our public hearing or whatever. Like, other people are being really, really loud, but it's - they just, you know, like, old, white men screaming outside of the, the statehouse, but there's a group of young people of color, so we're the ones that are loud. That, like, doesn't affect our campaign, really, but it's just like, whatever, but I just think, there's just a lot of negative opinion around youth, around young people of color, just popularly. I mean, that's the popular opinion. I mean, I would wager to say that. So, we're starting a lot of different things, while at the same time we're trying to be real serious about our campaign. Part of our campaign, what we're doing is fighting those predisposed notions that people have, which, you know, reverse, changing the dynamic and changing the way what young people can and will contribute.

Youth need support to participate

Youth require support from adults in order to participate in the policy advocacy activities in a meaningful way. One youth who had been a member of one IOC described not understanding some of the conversation that took place at a meeting. Adult members described the need to prepare youth for policy advocacy activities, such as helping them to prepare a speech or to describe the policy campaign. Despite preparation, youth

participation was not always successful due to the response of adults present. A staff of one IOC described a situation where she took a youth to a meeting of a community group [not the IOC]:

I did bring a youth to the meeting once, and it was a flop. She was sort of offended, and they were offended by her. And the whole thing was somewhat ironic because the whole idea was to get youth involvement and that, you know, she refused to return anymore. So, I think that's an example of, you know, really great idea, but not the right implementation tools.

Factors that facilitate youth engagement

Different strategies to engage youth in IOC policy advocacy activities

The IOCs in this study incorporate two different strategies for engaging youth. The youth-led IOC uses an overall youth development model and youth-led structure to engage youth in policy advocacy activities. The other two IOCs use relationships with youth-serving organizations in order to engage youth in the policy advocacy activities. In these IOCs, youth primarily provide consultation to the IOC. At times this consultation is through a member of the IOC who works for an organization that runs youth programming who then recruits youth to speak at a forum or hearing in support of a policy issue. These IOC members also serve as liaisons between youth and the IOC by relaying to the IOC information about how the issue affects youth. Another approach is to partner with youth organizations that were not members of the IOC, but work on similar issues, to recruit youth to speak at policy-related events. Lastly, IOC3 runs a mentoring program for at-risk youth. Through this mentoring program, the IOC is familiar with the issues that the youth face. They also recruit program participants to participate in policy advocacy activities.

Relationships between adults and youth facilitate youth participation

The relationships between adults and youth are important to successfully engage youth in policy advocacy activities. These relationships can be built over time, during which the adult and youth gradually share information about themselves with each other. IOC2 uses “emotional sharing” activities during retreats where youth talk about challenges they are facing and receive support from adults and youth. This IOC also takes youth out of their comfort zone, such as by going to ballroom dancing class in a neighboring state in order facilitate building an emotional bond between staff and youth, as well as among the youth. When a strong relationship is built between adults and youth, the adults can provide encouragement, emotional support, and skill-building to the youth. Both adults and youth of this IOC explained that it is important that this is done not only through the work of policy advocacy but also by having fun. For all IOCs, the adults provide support and guidance when the youth participate in policy advocacy activities, such as speaking at a hearing or meeting with a policy maker. The adult providing this support may be an IOC staff person, an IOC member who works with the youth in their organization, or a volunteer from the IOC’s mentoring program.

The youth’s participation in these activities is empowering to the youth. One adult describes the change she has seen in youth over time:

And that’s another thing with working with this population of young people, we don’t realize the self esteem issues, the personal issues our young people deal with, the labeling, from their own families, the assumptions that are made about them, which is so not true.... And when you see a young person stand back in their own power, after they felt it was stripped from them, I can sleep well at night at the end of the day, because I’ve seen it a lot. I’ve seen it with not just young women, but I’ve even seen it with our young men, you know?

Learning and empowerment keep youth engaged

Youth described that they enjoy the process of learning how to do policy advocacy and feel empowered when they realize they have an impact on policy. Staff of IOC2 emphasized the importance of having a focus on learning through fun activities and holding youth accountable in a positive and supportive way is helpful in engaging youth in the policy advocacy activities. IOC2 specifically found that having youth learn about policy advocacy from their peers makes them more engaged in the activities and provides opportunities for leadership for youth. These leadership opportunities – again with the support of adult staff – strengthen youth engagement in the policy advocacy campaign and youth development. One adult staff member describes the youth development that occurs through the youth leadership and engagement in policy advocacy activities:

So, the magic happens with the staff and the teens in [meetings to prepare for an IOC meeting]. And that's usually with two to three teens in advance. But that's the power is when another teen says to a teen, "how did that make you feel?" And then what they do is when they connect, they're like the group connects on those serious Saturday night moments [emotional sharing activities]. That's where all the power happens because that's when we 100% identify, here's a group of people ignored, not listened to, not respected, in the middle of crap, that's empowered together. They're not asking, "what could you do about it?" They're not asking, "what could [organization director] or the staff do?" They say with full conviction, "what could we do about it?" And in that is not, like, "what should we do?" It's "what are we going to do?" And that's what's really - that's the encompassing kind of [IOC2's] motive: is the teens owning it.

Important characteristics of human resources for policy advocacy

In addition to diversity and the expanded network of contacts that human resources of staff, members, and youth provide the IOC (described above), other characteristics that were listed by individuals interviewed and noted during participant observation of IOC events as being very important to IOC success are their skills,

knowledge, and credibility. IOCs looked for staff and members who had skills and knowledge regarding the policy making process as well as the substantive policy area on which the IOC is working. Credibility of the IOC staff and adult and youth members was enhanced through having a knowledge of and a history working on the social issue or in the professional field related to the policy goals of the IOC. Credibility of the IOC was also increased by having youth affected by the policy issue engaged in the policy advocacy activities. The knowledge, skills, and credibility of the IOC staff, members, and youth could be leveraged for the policy advocacy activities through their strategic participation in policy advocacy activities, such as having the IOC member contact policy makers.

Financial resources

Financial resources are an essential resource to an IOCs' policy advocacy work. All three IOCs wrote grant proposals to seek funding, and IOC1 also had several additional mechanisms structured to secure funding, including soliciting individual donations, contributions from board members, and events for which they charge admission such as conferences or an annual banquet celebration.

Challenges related to funding were revealed through interviews with staff of all three IOCs and adult members of IOC1 and IOC3. Funding is primarily used to support staff salaries, so insufficient funds resulted in staffing levels that do not fully support the IOC's policy advocacy work. The relationship between funding and staffing is a circular relationship in that not having enough staffing meant that the task of bringing in funding is left to a small number of staff and the limited amount of funding keeps the staffing size small because the IOC could not afford to hire more staff.

Seeking funding takes time away from advocacy

Staff and, at times, members of the IOCs spend a lot of time searching and applying for funding. IOC staff devoted quite a bit of time to writing grant proposals, developing relationships with funders, and writing reports to submit to funders. The time spent on these activities detracts from the policy change activities. A staff member of IOC1, which had recently received a large donation, described how this donation is helpful to focusing the efforts of the staff on the policy work:

And also having the credible base of sources of funding allow us to continue things, while I would be distracted if I would have to primarily raise money to stay alive.

Other challenges in obtaining funding for IOC policy advocacy activities

The IOCs with a fiscal conduit, as opposed to having their own 501(c)3 IRS designation, faced particular challenges in obtaining funding. In one situation, the IOC and its fiscal conduit both applied for the same funding. While they knew they were competing against each other for funds, one IOC member expressed being surprised when the funder informed them that an organization can only apply for funds once with the same 501(c)3 identification number. Because the lead agency and the IOC had previously agreed that funding of the lead agency would take priority, the IOC needed to withdraw their application for this funding. IOCs face other challenges in funding to support their work. While the funding may be to support IOC operations and staffing, very little funding is applied to supporting the participation of the organizations around the IOC table. This means that individuals are often investing time into the IOC even though they are not receiving funds for these activities. On the other hand, individuals may be pulled away from IOC activities to do work within their organization that is funded. Another challenge related to funding is the IOCs do not want to be seen as

dependent on funders, especially as it may impact advocacy efforts. For example, if the city provides funding to support IOC functioning, this may limit the IOC's ability to advocate for change at the city level. One IOC member describes:

Well, I mean, you know, if you get city money to do this work, you know, the city is wanting to try to control you. We don't want to do that. You know? If you go to the state, get some money, you know, they're going to try, you know, work with us, you need some money. We don't, we don't want to get our money. We want to go to foundations who is not going to hold our hands. You know? That we're going to be who we are and willing to do what we think is right for the children. That's why we talk about the money.

Impact of funding reductions on IOC work

Staff of each of the IOCs described that the work of the IOCs have recently been impacted by the economic downturn. Organizational members of the IOCs have experienced reductions in revenues. The smaller budgets often result in less staff being employed by partner organizations. Individuals representing these organizations often have more responsibilities to make up for the staffing reduction, making it more challenging for them to participate in IOC activities. These reductions in budgets and the fact that there appear to be smaller amounts of money to fund such work is made more complicated by the fact that in many cases, the organizations around the IOC table are competing against each other the same funding sources.

It's also that many of the organizations are virtually 100% aligned with [IOC1] on policy ... also need to raise money from the same people who would support these kinds of issues, whether it's private donors or funders or corporations. And so, on the one hand, we're all trying to pull in the same direction. And so, there's a lot of synergy to that. And on the other hand, we're all trolling for resources from the same lake and that's a little bit of a problem. Not that it's been a huge problem.

Impact of funding reductions on youth participation

Having limited funding can also affect the way in which youth are engaged in the policy advocacy work. When youth programs that are an IOC's point of access to youth lose funding that supports their programs, the IOC may simply not be able to access youth with whom they can partner to conduct their policy advocacy activities or to inform their policy campaign. Funding reductions can result in a youth program or IOC not being able to provide stipends to youth. Stipends are viewed by some IOC members to be essential, particularly when working with youth from low-income communities who may have financial obligations to their families. As a youth-led, youth development organization, IOC2 tries not to let funding impact youth programming, although it can have some impact. One staff member described concern that the IOC needed to provide fast food to youth during activities because it is a less expensive option that accommodates the budget. He described that IOC staff would prefer to provide a healthier food option.

Relationships

All three IOCs worked to develop several relationships among IOC members and with important entities involved in the process to change policies that impact youth. These relationships include those between the IOC and policy makers, media, funders, youth and the community. These relationships were important as they helped IOCs achieve the intermediate objectives of gaining access to policy makers, increasing visibility and awareness of the issue and building the base of support for the policy change. These relationships also facilitated the IOCs' access to resources (e.g. financial,

human, material) to support their policy campaigns. One IOC staff describes the impact that relationships have on policy work:

Well, we definitely, when we come to the table, we have validity. People respect the work that we've done, and we have a track record of working with people and getting things accomplished. So, that process, within itself makes things run smoother. Not makes it easier, but makes things run smoother. We have allies. For the most part, everyone is our ally. We haven't burnt any bridges. So, I would say those are factors and rapport and that sort of stuff.

Relationships with policy makers

Importance of relationships with policy makers

Relationships with policy makers are an essential component of policy advocacy work as they have the power to pass or implement new policies. The three IOCs included in this research work with various individuals who are in policy-making or policy-enforcing roles. These include legislators who are members of the state Senate or House of Representatives, individuals in leadership roles of the executive branch of government, leadership of institutions who set policy for that institution, and those who work within systems who were responsible for implementing policy. IOCs have different levels of engagement with policy makers. IOC1 and IOC3 have policy makers who are members of the IOC. For all of the IOCs, they have policy makers with whom they engage regularly. This ongoing engagement and visibility to policy makers (e.g. being in the media or having an ongoing presence at the state house) builds credibility with policy makers. This credibility can lead to policy makers paying particular attention to the policy initiative or to them considering the IOC as a trusted source for information when the policy maker has a question about the policy issue.

The relationship between IOCs and policy makers is a mutually beneficial one. Policy makers are essential allies to the IOCs, as they have the ability to influence the passing of a policy and/or enforce the policy change that the IOC desired. Policy makers rely on the IOCs for information, statistics, and personal stories to support their political position. Having built a strong relationship with policy makers, IOCs were called upon by policy makers for information about policy issues that would arise. IOCs also mobilize constituents in order to gather additional support for the policy maker and his or her policy goal, the proposed policy is successfully passed. One IOC member describes the mutual nature of the relationship with policy makers:

Well, one is that [relationships with policy makers] brings visibility on both ends. One is that there is this very strong group of individuals trying to do something, you know, impact on these issues, but also for [the IOC] to be known [among policy makers] who will, whenever there are issues, be able to reach out simultaneously [to the IOC] or reciprocate the efforts.

While the three IOCs included in this research tried to maintain good relationships with policy makers, one IOC member described a conflict within the IOC about whether or not to be more confrontational with policy makers:

And some been trying to be passive, you know, and we'll say, "oh, we cannot go that way because you're going to hurt the mayor or the police department" and you know that, that can affect us. You know, so therefore, we're trying to stay away from those individuals from those organizations. What, you're trying to be a lamb, you know? And we don't want to do that. So, you know, we want to make a statement and be firm in our statement. We're here, no matter what, for our children. Even if you take us to fight, why would we do that? I mean, in the real world, I don't think it's bad, you know, to be nice to the mayor, to be nice to the police department. It's all good. But if we're not achieving what we need, then, you know, what good is it doing to, to us, to our children? You know, we're not looking to our organization. We're looking to the children that we are there to serve.

Meeting with policy makers

Many of the relationships with policy makers begin with an initial meeting. Most frequently, the IOCs meet with policy makers to bring awareness to the issue. In these meetings, the IOCs share information and statistics to support for the policy issue to convince the policy maker to support the IOC's policy position.

And so, it's important to have the data there and also to show that there are ways to combat [the issue]. I think it looks like such a huge, overwhelming problem, you know, but there are best practices. I mean, that's proven information, then that's something that only makes [the IOC's policy position] much, much stronger.

IOCs also meet with policy makers early in the legislative process to bring attention to upcoming legislative hearings and bills. In particular, IOCs meet with legislators who have responsibility or power related to the IOC's policy initiative. This includes, for example, policy makers that serve on committees in which there is a bill in regards to which the IOCs are advocating so that the legislators would pay more attention to their issue and their testimony at an upcoming hearing.

IOCs also meet with policy makers in order to learn what the policy maker's position is on an issue. If policy makers are allies, they can provide support and guidance to the IOC on their campaign strategy. This may include how the policy development process works or identifying components of the proposed policy that may be difficult to pass. One example of this is an IOC who had two bills that they were advocating for in the legislative committee. It was viewed that one of these bills was a politicized topic that would be under greater scrutiny and not likely to get passed. In fact this bill had come up several times in previous legislative sessions and had never made it out of committee. One policy maker suggested taking the important aspects of this bill and

including them in another potentially less politically charged bill, where it would receive less scrutiny.

Policy makers bring groups together

Interviews revealed that relationships with policy makers can connect different groups who are working on the same or complementary issues. For example, it was a policy maker who recognized the similarity between the priorities of two organizations within IOC3 and encouraged them to work together, ultimately launching IOC3. This policy member continues to serve as a member of the IOC3. Another policy maker convened a work group of several organizations, including one IOC of this study, in order to provide information and support for a bill that she was sponsoring for the legislative session. This work group worked with the policy maker's staff over several months to write and advocate for this piece of legislation.

Two IOCs had policy makers within their membership. In interviews, members described that having a policy maker as a member of the IOC provides easier access to other policy makers. The policy maker can also provide a perspective to the IOC about the policy issue that is helpful in their campaign.

Challenges to working with policy makers

There are several challenges to working with policy makers. In interviews, IOC members expressed distrust of policy makers, describing how they “beat around the bush” instead of answering questions directly. One IOC member described how an influential policy maker attempted to divide community members, so they would not organize against his policies.

You know, we have a [policy maker] who likes to divide the community, you know, who likes to intimidate people who sometimes when he see organizations come together, he doesn't like to see that. He might see that as a PR thing, but when it comes to an individual way, you know, of support, he's very divisive. And, and we just, we don't stand for that, because we know that that's what he does. For instance, that's what he did to the clergy, the black clergy. Divide everybody, separate everybody. He even pulled them in to fight among each other because that's a distraction. You see what I mean? While you and I are fighting, our kids are killing each other and the [policy maker] is there happy on TV and so forth.

Another member of an IOC described how policy makers were opportunistic, appearing in the community for the media after a tragic event, but not returning once the cameras were gone.

You know, I feel like when a shooting happens or a big crime happens, all these city members and city council officials come out - just like the death that happened with four people that were shot here and a young baby died. And that week, you know, two weeks, you know, everyone was outraged; everyone talked about it on the radio. The mayor, the governor came down and we spoke at a community center, and then that was it. Nothing else happened after that. No one didn't come out again to another community meeting. Let's have a monthly community meeting where the mayor and the governor is coming out where we're talking about what's affecting our community, what has changed, what hasn't changed.

Youth face particular challenges in working with policy makers. Some youth described feeling limited power or not feeling as though they were not listened to by policy makers.

Nowadays, people wouldn't look at a young person and even think about listening to when we're, like, if adults say, "I have my youth here and da, da, da, da, da." They're most like to be, "all right." You know? But I know if I walk - well, not now, because they know me -- but if I was to walk in a state house and just go up to one of the reps and say, "hey," they going to forget about me the next day.

One youth also talked about how meeting with policy maker was boring, as the policy maker was trying to "act sophisticated." Youth can also feel initially intimidated by

policy makers. However, through positive experiences engaging with policy makers, youth become more excited and confident in future meetings with policy makers.

I feel like they're just like - at first I was intimidated because they have so much power over me. But I feel like they're just like regular people. They're just doing their jobs.

Several youth interviewed expressed surprise at getting the opportunity to meet with a policy maker who prior to that was someone that they only saw on their television. They did not expect to be sitting at the same table as this policy maker.

IOCs found that turnover of policy makers could be a benefit or a challenge to their relationships with policy makers. Policy maker turnover – through election or appointments – could be a challenge if an IOC had developed a relationship with a policy maker, who was then replaced by someone with whom the IOC did not yet have a relationship. This meant that the IOC had to work to develop a relationship with this new policy maker. The turnover of policy makers is beneficial if the new person in the role is an ally. One IOC described a situation where a policy maker had been an opponent who blocked many of their policy change efforts was replaced by a policy maker who was an ally to their policy campaign. This led to the IOC's success at changing policies that they had been working on for some time.

Relationships with members of media

For the purpose of this research, media refers to traditional, broad-based media, such as newspapers, television, and radio, as well as community or ethnic-based newspapers or radio. Media also refers to the use of social media, such as Facebook, blogs, listserves, or websites. The latter are generally under the control of the IOC that writes and publishes its own material. It is used as a tool to communicate with IOC

members, community residents, allies, and potential private donors. In terms of relationships with media, this section focuses on the use of newspapers, television, and radio, as the use of these media often require the development of a relationship with members of the media. This relationship may be short term, such as having a letter to the editor published. However, IOC staff and members described advantages to developing a longer-term relationship with individuals in the media.

Developing relationships with media

IOC staff described the effort required in order to get the initial attention of the media in order to develop a relationship with the media. As one IOC member describes:

You ask for [media attention]. Really, you have to be bold. You can't wait for the phone to ring. It's not going to ring. You have to be bold. You have to write an article and submit it to the newspaper or an editorial piece or letters to the editor. You have to call radio and television stations and say, you know, "I'd like to be on your show and this is what we have to bring to you." You have to be a big self-promoter.

The IOCs get media's attention by writing Op-eds, letters to the editor, press releases, holding press conferences and meeting with members of the media. Once a relationship with the media, such as a particular reporter who covers relevant issues, is established, one IOC member described that, in contrast to the experience of the IOC member quoted above, it is possible to have the media contact IOC members to comment on a story or to get a quote related to the policy campaign.

[A staff member of the IOC] spends a fair amount of time maintaining her connections with media people, providing them with information related to these issues. She also acts as a sort of a broker when the media wants to know something about something, she tells them who they can go to, like, [IOC] members, like me, depending on what the issue is. I'll get calls from, from media that are related to [the policy issue], mostly newspapers. And building a community awareness of what the issue is.

In addition to establishing a relationship with the media, these activities are also effective in raising awareness of the issue to the media's consumers by directly presenting the policy position of the IOC. Being presented in the newspaper also increases the credibility of the IOC, particularly among policy makers.

If people see your name in the paper or they hear you on a radio show or see you on a local television show, you know, all those things lend to your credibility and raise the exposure of [the IOC]. Exposure in the media also increased access to policy makers because of the resulting credibility.

Successfully engaging the media requires specific skills

Engaging the media requires specific skills. All three IOCs expressed interest in or having actually conferred with a public relations consultant. One IOC had found hiring a public relations consultant helpful, in that the consultant did some of the work with media, but also provided training to IOC staff about how to effectively engage with media. Materials such as formulated talking points or a fact sheet that presents the IOC's policy position facilitates the engagement with media. The staff of one IOC stated that they wanted to be able to confer with a public relations consultant, but did not have the funds to do so.

Aligning policy goal with the media

The IOCs aim to align their policy message with what is currently in the media. For example, an IOC may use media coverage about youth dropping out of high school in support policies that fund after-school and youth jobs programs that help keep youth on track to graduate. One IOC described the experience of an investigative reporting series that uncovered corruption in a government agency, which led to a change in leadership that the IOC viewed as favorable.

Challenges related to media

At times the media coverage is not helpful to the campaigns. Youth, particularly youth of color, are often portrayed negatively by the newspaper. When stories that present youth unfavorably get press coverage, legislators often respond in a way that is punitive to youth. One IOC member describes this phenomenon and presents an ideal alternative to how the media could be helpful to the IOC's campaign:

Every big incident [of crime committed by a youth] usually calls for a response by the legislature, if not the courts, if the public gets concerned, particularly the media gets concerned and the legislature does run for office. So, they're going to play to that. To be in favor of public safety is to be on the side of the angels, as far as the public's concerned. ... You know, the only things that really work for helping kids would be real stories from real kids about how they were helped and how they've done something positive. And that's not what makes the newspaper.

Opponents to the IOCs' policy positions also use the media to promote their policy position, and are sometimes successful at getting front page stories to support the position opposite the IOC. Another challenge is that some community members, such as undocumented immigrants, may not want to be seen in the media.

Youth work with media

Youth in IOC2 also work with the media. IOC2 had a strong presence on social media, such as Facebook, but also used mainstream media to raise awareness of their policy campaign. One youth described meeting with the editorial staff of a large newspaper:

We also met with the [newspaper], and that was pretty cool. They actually posted an article about us after we met with them. ... We went in there and they had, like, three different editors. We just voiced our opinion and our movement and everything. And then we asked them at the end of the meeting, "can you guys write something for us," and they were laughing, and we were wondering, like, "why are you guys laughing," and they were like, "because most people we meet with don't even remember to ask

us to write about them in the paper. They just come in and meet with us and assume that we're going to write about them. So, you guys, like, we're really impressed." They were impressed and things like that. And they ended up writing it for us.

Relationships with communities

Relationships with other organizations

Relationships with other non-profit organizations, IOCs, or national organizations were described in interviews and examples of these relationships and collaborations were observed. These partnerships are developed by contacting the organizations, making presentations to groups, or inviting them to attend meetings. These partnerships, while often time-consuming, are also beneficial. Opportunities for partnership are many. In fact, one participant stated that there are often parallel campaigns unbeknownst to the IOC. Groups with parallel missions often partner such that one organization takes the lead on one initiative and the other organization "seconded it," and for another initiative they take the opposite roles. Partnership with other organizations leads to building a larger, stronger base of support for the policy goal. Also, at times when mobilizing this base and demonstrating to policy-makers the support for policy-change, these partnerships facilitate the mobilization of different populations, such as ethnic or geographic communities. Larger, national organizations provide letters of support that IOCs then leverage with policy makers. These associations with other organizations enhance the validity of an IOC. Another common reason why IOCs partner with organizations is to increase the engagement of youth in the policy initiative. This strategy was employed by groups that do not have youth programming as part of their organization, themselves, so they do not have a base of youth to which they turn to speak at hearings or otherwise engage in the policy initiative. IOCs also partner with other

organizations in order to share research or data to support their common or aligned policy goals. Similar initiatives in other states share information about policies implemented in their state in order to inform the IOC's campaign. These organizations are referred to for their view on the potential impact of a policy. At times the organizational partnerships are natural in that members of the IOC are often employed by or members of other organizations. These IOC members serve as liaisons between the two organizations. While litigation is not a strategy generally used by any of the IOCs in this study, this is viewed as a potential situation calling for collaboration with other organizations.

One IOC member describes the importance of working together to achieve policy advocacy goals:

Oh, because definitely, when you work in a team and you have full support, you're stronger. You're definitely stronger because you have a group of people that are fighting for the same thing. And the more you have a group, a team of people fighting for the same thing, you're going to kind of want more. You're going to feel unified. That's kind of, just like, again, going back to the civil rights era with, you know, Martin Luther King and marching, like, people had one purpose, and they felt that. Like, you know, so, you were stronger. You planned things. You organized things, and you followed through because it wasn't just you along. Like, you know, you had a support behind you, so when you do have your days when you're like, "oh, I don't think," you had that support that's saying, "no, this is what we're fighting for. This is what we're going for" or "we can't stop now." I just feel like, for me, it takes a team effort because there's a lot going on in our community that one person can't handle and come in and save the day. That's impossible. If we're going to sit here and think, "oh, the mayor's going to come in and change everything. The governor's going to come in." No, it takes all of us working together. It takes the police force working with our communities, not profiling our kids to kind of make it all work. It takes a team of us to make it work: parents, educators, everyone. It takes all of us to make it work.

Relationships with community members

In addition to working with other community-based organizations, the IOC staff and members described the importance of developing relationships with community

members. Relationships with the community were described as developing due to having longevity and a reputation with the community. This increased the credibility of the IOC among community members. The connections with the community members increased the credibility of the IOC among policy makers. One IOC member described the importance that the reputation of one organization that was involved in the IOC had:

The history of [the organization], itself, and what it means to the community, I think it carries a lot of weight with people. You know? And even beyond the people, I just think people are very sensitive and I think when something comes out of [the organization], people sort of take it serious.

The relationship that the IOCs or organizations within the IOCs had with community members enabled them to mobilize community members to attend policy advocacy activities or contact policy makers.

Challenges in engaging community members in policy advocacy work

While the IOCs have built relationships with the communities – either through the IOC itself or through member organizations – there are still challenges to engaging community members in policy advocacy activities. One IOC member describes why it can be challenging for an IOC to mobilize members of low-income communities:

I think also feeling just the day to day survival mechanisms that low - that's particularly in this economy. I mean, the poor are significantly poorer than they were 20 years ago, and you know, this economy has negatively impacted people who are low income, people of color even more and so if you're, you know, if you're day to day struggle is to put food on the table and clothes and house and heat, you know, then advocating for a bill at the state house or calling a legislator is kind of a disconnect for you, and it's hard to see, again, how that impacts the day to day life. And also, you know, and the level of, you know, feeling of being disappointed and not, and not being as if the opinion would matter. You know? Not recognizing the power that one has as a voter, as a constituent, is huge.

Relationships with opponents

Meeting with opponents

Opposition is an inevitable part of policy change. As one IOC member describes, “people in their hearts believe opposing points of view.” One IOC frames opposition as a factor that motivates the campaign and causes them to put more effort into the campaign. At times the opposition included very powerful forces. In some cases, powerful opponents can be disarmed by providing statistics or research that contradicts their position. Those who one would expect to be an opponent turn out to be an ally (e.g. victims’ rights groups in alignment with fair juvenile justice policies because victims and perpetrators often come from the same communities or even families). In other situations, opposition is not groups of people actively working against a campaign, but instead individuals working in a system who are used to working a certain way and resistant to changing the way they do things.

So, for us, as policy people that says, “well, we got the leadership that likes this policy and wants to put it,” but again, when I say “saboteurs,” they might not be intentional, but they say, “I’m set in my way. I’m not going to change it because it’s worked for me, and I’m going to continue to - if that one gives me problems, I’m going to send him to the principal. If that one gives me problems, I’m going to send him to the SpEd class.”

IOCs meet with opponents to either neutralize them or to even recruit them as allies.

IOCs took two approaches to meeting with opposition. At times, they may take an oppositional, combative approach. Others prepare in order to frame the message in a way that your policy position is attractive to your opponents or seek ways to find common ground and compromise. In meetings with opponents, IOCs received feedback that they were able to take back to the rest of the IOC and other collaborators. It is then possible to develop a plan to address this feedback, perhaps by revising the policy language or by

generating research or facts to support position. For some, the opposition is seen as discouraging. When they do not receive support from a policy maker, they described being discouraged (though some were also motivated by this). Several youth from IOC2 described in their interviews an incident where a policy maker was opposed to their policy position. In a meeting, he gave them instructions on things they could do to get his support. When they met with him again, they were disappointed that, despite their efforts, the policy maker would not support their policy because they did not do one thing he had instructed them to do.

Chapter 4 summary

The results of this study were presented in Chapter 4. In the process of analyzing the data, it was determined that the data did not fit the original research questions for this study. Thus, a revised list of axial codes representing major themes that arose from the data was then developed. The IOCs were working toward the goals of increasing the voice of communities and youth of color in the policy making process and to gain support of policy makers in order to change policy that would lead to social and/or institutional change. In order to increase the effectiveness of their policy advocacy campaigns to achieve these goals, the IOCs applied the resources of members, youth, and financial resources to their policy advocacy activities. The credibility, knowledge, skills, diversity, and contacts of the IOC staff, members, and youth contributed to the IOCs effectiveness in advocating for policy change because they facilitated the ability of the IOCs to develop relationships with important stakeholders in the policy development process: policy makers, the media, funders, communities, youth, and opponents. The development and nurturing of these relationships through policy advocacy activities helped the IOCs accomplish the intermediate objectives in their policy campaigns of increasing access to policy makers, increasing resources, increasing the awareness of the issue, and building a base of support. Achievement of these intermediate objectives facilitated the attainment of the IOC's goals. In addition to being a tool for youth development, youth engagement in the policy advocacy process benefited the policy advocacy campaigns by providing information about youth experience that was used to inform the policy advocacy strategy, enhancing the campaign's relevance to the issues youth face, and getting the attention of

policy makers and the media. These themes that were included in Chapter 4 are further synthesized into the grounded theory presented and described in Chapter 5.

Chapter 5: Discussion

Introduction

Inter-organizational collaborations and advocating for policy change are two, often interlocking, approaches called upon to address health inequities (Blackwell et al., 2005; Acosta, 2003; McGinnis et al., 2002; Roussos and Fawcett, 2000; Wallack and Dorfman, 1996; Schwartz et al., 1995; Thomas, 1990). Through their interdisciplinary and multi-sectoral representation, IOCs are well equipped to enact policy change in order to address health inequities, including those among youth (Ritas, 2003; Themba, 1999). While the literature (Florin et al., 2000; Hays et al. 2000; Butterfoss et al., 1996) has identified some factors that may enhance IOC effectiveness, defined as the development of an action plan, implementation of interventions, and realization of systems change, little is known about the experience of IOCs working to effect policy change, particularly policy issues that address social determinants of health inequities among youth. This research was designed to begin to fill this gap in the literature through a qualitative study of three youth-serving inter-organizational collaborations.

After conducting a review of documents, observations of events and meetings, and interviews with adult and youth (when possible) members of the three IOCs, a grounded theory approach was used to analyze the data (Strauss and Corbin, 1998; Glaser and Strauss, 1967). The grounded theory approach provided the opportunity to remain open to the story that the data told, with minimal preconceived notions instead of beginning the analysis with a hypothesis. While it is impossible, however, to leave all

beliefs at the door and enter as a blank slate when conducting such research (Suddaby, 2006; Glaser and Strauss, 1967), a purposeful openness to new ideas supported the development of a grounded theory model, deeply rooted in the data, the Model of Relationships for Policy Change to Reduce Health Inequities (Figure 5).

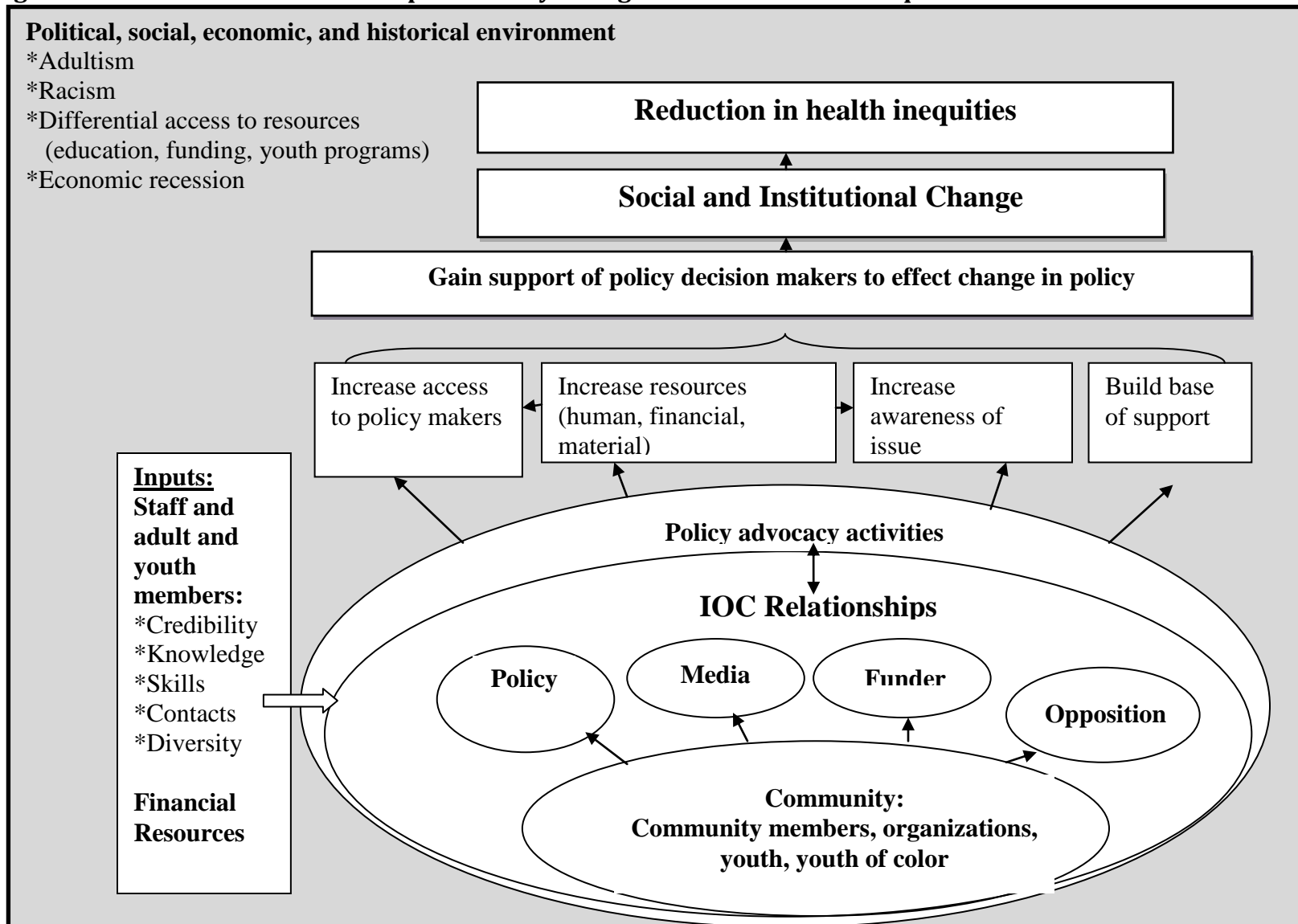
The purpose of this chapter is to present the interpretation and synthesis of the data presented in Chapter 4 by describing this grounded theory model. The chapter continues the discussion of results by connecting the model to existing literature. The chapter also describes points in the model where different populations may have different levels of engagement in the policy process, leading to dissimilar levels of influence on policy, which may lead to policies that impact populations differently. Strengths and limitations of the study are then listed. Chapter 5 concludes by describing the implications of this research for public health research and practice, including making recommendations for public health practitioners, researchers IOCs, funders, and policy makers.

Description of model

The components of the Model of Relationships for Policy Change to Reduce Health Inequities will be described in more detail below, but briefly, the model demonstrates pictorially the ways in which, within a social, economic, and political environment, IOC resources, including members, staff, youth, and financial resources are inputs necessary for an IOC to conduct policy advocacy activities. The credibility, skills, knowledge, contacts, and diversity of the IOCs' human resources (members, staff, youth) are particularly helpful in conducting policy advocacy activities, which are largely about

building and utilizing relationships with various entities to accomplish the intermediate objectives of increasing access to policy makers, increasing resources, increasing awareness of the issue, and building a base of support. The relationships that the IOCs develop and nurture to achieve these intermediate objectives include those with policy makers, the media, funders, youth, the community (including community members and community organizations), and opposition (other organizations or policy makers who oppose the policy change). These intermediate objectives then lead to the IOC goals of gaining support of policy makers which leads to a change in policy, increasing the voice of youth and communities of color in policy change, and social and institutional change that addresses social determinants of health inequities. The accomplishment of these goals leads to the reduction in health inequities.

Figure 5: The Model of Relationships for Policy Change to Reduce Health Inequities



Environmental context

The political, social, economic and historical environment includes ideologies such as adultism and racism (Delgado and Staples, 2008; Schulz and Northridge, 2004; Schulz et al., 2002) provide the context for the policy advocacy activities of the IOCs. Examples of adultism are demonstrated in the data, including a respondent who, while acknowledging that youth need to be heard, minimized the importance their voice should be given, citing their lack of experience relevant for informing civic affairs. Youth of color are often the victims of both racism and adultism. The perception of youth of color as being dangerous or criminal is prevalent in American culture and is an example of racist and adultist ideologies (Giroux, 2010). An example where this ideology is exhibited is the incident where youth of color were asked to be quiet while at the statehouse, while an adult white man was allowed to yell. Structural racism exists in the realities of young people of color as a result of policies that have led to residential segregation, prevalence of failing schools with low graduation rates in low-income communities of color, and the disproportionate rate of incarceration of youth of color (Hosang, 2006; Schulz et al., 2002). These factors can lead to health inequities (Schulz et al., 2002; Freudenberg and Ruglis, 2007) and can also impact engagement in the policy process. The economic environment is another factor in policy development in that the results indicate that policy makers are disinclined to pass policies that have affiliated costs. This economic environment also includes the systems and patterns of distribution of financial resources to support IOCs doing policy work. The political environment includes who holds positions with the power to make policy-related decisions and what they need to do (or think they need to do) in order to stay in their current position. For

example, policy makers may feel as though they need to appear “tough on crime” in order to be electable, including passing severely punitive juvenile justice policies, despite research that indicates that these policies are not effective at deterring juvenile crime nor in rehabilitating court-involved youth (Sweeten, 2006).

Resources

All three IOCs had resources, including human and financial resources that are instrumental to the policy work that they do. These resources were applied to the policy advocacy activities. The importance of staff, members, youth, and financial resources and how they are associated with credibility, knowledge, skills, diversity, and contacts will be discussed below.

Staff, members, and youth

The people involved in an IOC are an important aspect of its work and include the members, staff, and youth. The credibility, knowledge, skills, diversity, and contacts of both staff and members were important to the IOCs because they were directly applied to the policy advocacy campaigns. Knowledge of the policy issues informed the policy goal and helped the IOCs formulate an argument around a policy issue. Having members and staff with strong policy advocacy skills further strengthened the policy advocacy campaigns. These skills include engaging the media, developing talking points related to the issue, and community organizing skills (PolicyLink, 2007; Ritas, 2003; Staples, 1984). Individuals interviewed for this research described that staff and IOC members who had education or professional experience relevant to the policy issue, were seen by policy makers, the media, and other working in the field as having more credibility. A more detailed discussion of credibility and its connection to IOC effectiveness is

described in more detail below. The diversity of the IOC, including diversity by race/ethnicity, profession, and geographic area also contributed to the credibility of the IOC. The IOCs' emphasis on these resources is in accordance with previous research that found that having diverse membership – including diversity by discipline, skill set, and race/ethnicity is associated with IOC effectiveness (Foster-Fishman et al., 2001; Butterfoss, 1993).

Credibility of staff and members is an important concept to the work of the IOCs, as it added validity to the IOC's policy position and helped the IOC build relationships with policy makers and others important to the policy making process. It also assisted the IOCs in gaining access to policy makers or other important stakeholders. One is viewed to have credibility if it is felt that they can be believed and that their policy recommendations are valid. Credibility is built through demonstrated knowledge and experience in the field relevant to the IOC's policy goals, having a presence in the media, and through relationships. In this sense, it is likely that the term "credibility" is a proxy term for trust. IOCs, such as community-based participatory research partnerships emphasize the importance of building trust (Becker et al., 2005) and focused efforts to break down historical barriers of distrust (Metayer et al., 2004).

Having youth engagement also enhanced the credibility of the IOC. It was viewed by the IOCs that if adults presented policy recommendations without the presence of the voice of youth, that policy makers would consider their recommendations with skepticism. Having youth present their story and how it relates to the IOC's policy goal was seen as carrying extra weight with policy makers. Despite the adultism discussed

above, the IOCs incorporated the voice of youth into their policy advocacy activities, which they felt enhanced their credibility with policy makers.

While credibility helped to form new relationships, credibility was also built through the relationships that were established and nurtured as part of an IOC's policy advocacy activities, although the building of relationships requires establishing a baseline level of credibility. This could be achieved through the introduction by a mutual associate or through having an established reputation in the field. Once established, these relationships had several benefits. Policy makers and the media are likely to turn to those with whom they have a relationship for information or advice. The contacts of the IOC staff, members, and youth helped the IOCs in building and nurturing these relationships by broadening the collective contacts of the IOC. As policy makers request that IOCs provide input on policy and the media turns to IOC staff and members for quotes, the IOC gains visibility among stakeholders and the general public. This visibility added to the credibility of the IOC and made it likely that others would consult with the IOC on policy decisions.

Financial resources

Financial resources are essential to sustain the IOCs' policy advocacy work. These resources are raised primarily through grant funding, but also, in some cases, through individual donations of IOC members and others. Most of the IOCs' resources are applied to staff salaries. The staff are responsible for coordinating IOC activities, leading fundraising efforts, and doing much of the policy advocacy. Limited funds can result in decreases in staffing shortages and, thus, a reduction in policy advocacy activities. This is particularly the case in IOCs that also provide youth programming.

Continuing this programming may be the priority of the IOC because it is the organization's primary mission or because they have received funding to support these activities, and may not be funded to conduct policy advocacy activities. Resources may also be used toward consultants who are experts in areas of policy advocacy such as media advocacy, adding expertise to the IOC toolbox. This added expertise was viewed by the IOC able to obtain it, as improving its policy advocacy activities.

Relationships to Effect Policy Change

The review of documents, participant observation, and interviews with the IOCs identified several relationships that are essential to a successful policy advocacy campaign: relationships with policy makers, the media, funders, youth, the community, and opponents. The term "relationships" in the context of this study includes ongoing partnership as well as strategic exchanges with individuals or entities for the purpose of meeting policy advocacy objectives. These relationships were important to the policy advocacy campaigns because they contributed to achieving intermediate objectives of increasing access to policy makers, increasing resources, increasing awareness of the issue, and building a base of support, (see table 11). These intermediate steps are essential steps in policy advocacy campaigns (PolicyLink, 2007; Ritas, 2003; Staples, 1984).

Themba (1999) states that "organizing is about building relationships" (p. 99). This research builds upon this knowledge by specifying the relationships that are helpful in bringing about policy change and specifically how the relationships facilitate an IOC achieving its policy goal and what intermediate objectives can be achieved by

developing, nurturing, and strengthening these relationships. In this section, relationships with policy makers, media, funders, youth, and community members will be described.

Table 11: Relationships to reach intermediate objectives

Relationship	Increase access to policy makers	Increase resources	Increase awareness of the issue	Build base of support
Policy makers	X		X	X
Media	X		X	X
Funders	X	X	X	X
Youth	X	X	X	X
Community (community organizations and community members)	X	X	X	X
Interactions with opponents			X	X

Relationships with policy makers

Much of the policy advocacy work of the three IOCs involved meeting with policy makers to establish new relationships or nurture pre-existing relationships. The relationships with policy makers provided increased access to policy makers, greater awareness of the policy issue, and the opportunity to build a base of support for the policy goal. The relationships with policy makers increased access to policy makers in two ways. First, the policy maker pays increased attention to the policy goal of the IOC with whom he or she has a relationship. For example, members of IOC3 met with state senators and representatives who served on the legislative committee in which their proposed bill was being reviewed. This gave them an opportunity to hear any questions

or concerns the policy maker had about the bill. At the legislative hearing about this bill, not only could the IOC address the concerns of the policy maker, but they were also already familiar to the policy maker. Policy makers also provided access to his or her colleagues. For example, one policy maker served as a liaison between the IOC and the policy making board on which he served. He regularly took information back to other members of the board and also facilitated a meeting between the IOC and members of the board.

Policy makers also help to increase awareness of the policy issue. Through the relationships that an IOC has built with a policy maker, the policy maker may agree to promote the policy agenda of the IOC, such as by sponsoring legislation. This can increase the attention that the IOC's policy issue receives from other policy makers. The policy maker may promote this proposed policy change through activities such as a press conference, further increasing awareness of the policy issue to the broader public.

Another way in which IOCs utilized relationships with policy makers is to build a base of support. IOCs in this group had experience with policy makers bringing different groups of people who were working on similar issues to work together. One policy maker created a working group, which included members of one IOC, representatives from other community groups, and community members to help in drafting language for a bill that she was sponsoring. Bringing these different groups together meant that they each brought their own constituents, creating a large, diverse group of people to show support for the bill. Policy makers can mobilize their supporters to show their support for the IOC's policy goal.

Relationships with media

IOCs engaged with the media through press releases, press conferences, letters to the editor, writing op-eds, and participating in interviews with newspaper, radio, or television reporters. This is an essential component of a policy advocacy campaign. While some argue that the media is not enough to get the campaign on the political agenda (Kingdon, 1984), others state that if the policy campaign does not have a presence in the media, it is as if it does not exist (Themba, 1999; Wallack and Dorfman, 1996). While any presence in the media served to increase awareness of the policy issue with the intention of building a broader base of support, ongoing relationships with the media were described by the IOC as being particularly beneficial. By developing ongoing relationships with newspaper editors or reporters who cover news related to the policy issue, IOCs became a trusted, credible source for the media. Staff or members of the IOCs were turned to by reporters for comments on relevant stories. This was also a mutual relationship, where IOCs were able to get the story of their policy goals in the media and the media had a trusted source to which they could turn for information and connections to individuals (Wallack and Dorfman, 1996). Relationships with the media could also lead to increased access to policy makers, as policy makers viewed those with an ongoing presence in the media as having more credibility. Thus, having a relationship with the media may mean a greater presence in newspapers or other media and increased access to policy makers.

Relationships with funders

Having adequate financial resources to support policy advocacy activities is an essential component of a policy advocacy campaign. The relationship the IOC has with

the funding community, including local foundations and government entities that provide funding, are an important component of this. These relationships help the IOC secure monies to support general operating costs, youth programming costs, and money to support staff. The funding community is also helpful to policy advocacy campaigns by bringing together groups working on similar issues. At times, funders brought groups together through requirements that they will only fund those working in collaboration with others. One funding entity that provided support to all three of these IOCs brought groups working on issues related to youth together, specifically for the purposes of increasing their impact on policy. These funders had various requirements for funding such as submitting a proposal to receive funds and to submit reports to remain in compliance with funding requirements. IOC staff dedicated time to these activities as well as other activities to sustain relationships with funders. This work was prioritized as it was necessary to secure funds for the IOC's policy work, though it often detracted staff energy from the policy work.

Relationships with youth

The three IOCs included in this research engage youth in efforts to change policies that impact youth. This is in alignment with previous scholarly work that supports the engagement of youth in community change initiatives including community organizing, development, and planning activities (Delgado and Staples, 2008; Ginwright, et al., 2006; Checkoway and Gutierrez, 2006; Checkoway et al., 2003; Ginwright and James, 2002; Checkoway, 1998; Checkoway, Kameshwari and Finn, 1995). The results of this study also support previous work by Checkoway (2003) and Checkoway and colleagues (1995) that identified several multi-level benefits of youth participation in

community change activities. At the individual level, youth engagement in community change activities builds skills, knowledge, competence, and a sense of social responsibility, as well as a feeling of being able to bring about change among youth. All three IOCs saw the participation of youth in policy change activities as part of an overall youth development process, although the degree to which the IOCs focused on youth development varied. It was acknowledged that with the support of adults, youth can gain skills relevant to policy advocacy, such as public speaking and understanding the policy development process. Youth interviewed described, prior to their engagement in policy advocacy, feeling that the policy making process and policy makers, themselves, were distant entities, not something in which they would ever engage and policy makers were not people with whom they would interact. However, they described feeling empowered after participating in policy advocacy activities. At the organizational level, engagement of youth increases organizational capacity. Youth engagement increased the IOCs' awareness of the issues faced by youth and helped to identify appropriate policy solutions. In some cases, youth engagement also provides labor, increasing the capacity of the organization to conduct policy advocacy activities. At the community level, youth engagement contributes to community change. Ultimately, changing policies that impact youth is the community change for which the IOCs in this study strive. However, other changes that youth participation support includes increasing the voice of youth of color in the policy making process.

While previous research has discussed the benefits of youth engagement in community change efforts, this research indicates specific points in the policy change process where youth engagement can be helpful in developing policies that can address

social determinants of health inequities among youth. These findings include that youth have: specific knowledge around the issues faced by their peers; skills relevant to a policy campaign, such as the use of media; and enhanced credibility in relation to policies that impact youth, such as school, juvenile justice, or youth health-related policies. Because they may be seen as a novelty, youth may have easier entry to policy makers. Finally, youth have unique access to other youth and therefore are instrumental in increasing awareness of an issue among youth and building a base of support for a particular policy.

This research supports Themba's (1999) contention that engaging youth in campaigns designed by and primarily for adults can lead to frustration on the part of both youth and adults. While the results also confirm Themba's position that youth and policy advocacy campaigns to address youth issues benefit by youth having space to determine the agenda and get support from youth, the results also indicate that organizations coordinating policy campaigns must consider available resources and their overall mission. Other models – beside youth-led models - for youth engagement may be helpful in bringing about policy change that addresses social determinants of health inequities among youth. However, the limitations of these other models must be addressed and are discussed below.

There exist several models in the literature that describe levels of youth participation. Many build upon the seminal work of Arnstein (1969) who used the image of a ladder to describe levels of citizen participation, comparing the level of empowerment that results from each approach to participation. In her ladder, she identifies eight rungs of the ladder, representing increasing levels of participation, from the lowest level, coined "manipulation" to the highest level "citizen control." Within this

ladder she categorizes the different levels of participation as nonparticipation, degrees of tokenism, and degrees of citizen power. Hart (1992) adapted Arnstein's ladder to conceptualize levels of youth participation, considering the difference in power of adults and the power of youth. Again using eight rungs of increasing participation from the lowest rung to the highest rung, he categorizes the top five levels (child-initiated, shared decisions with adults; child-initiated and directed; adult-initiated, shared decisions with children; consulted and informed; and assigned but informed) as participation in the lower three rungs (tokenism, decoration, manipulation) as non-participation. In his 2008 reflection on the ladder, Hart clarifies that the ladder metaphor is not meant to reflect that the higher rungs are *better* in all circumstances. Instead, he encouraged the use of the ladder to assist those working on issues that affect children to consider the different *forms* of participation and determine what would be the best form for their work and situation. Wong (2010) developed a pyramid-shaped conceptual model with two legs of the pyramid shape reflecting adult control on one hand and youth control on the other. This model uses an empowerment framework and poses that adults and youth sharing control is the highest point of the pyramid, as it results in the greatest empowerment of youth. Wong argues that it is not the sole responsibility of youth to empower themselves, but adults must share in this responsibility, through shared learning and joint critical consciousness raising (Freire, 1970).

The IOCs included in this study have different degrees of youth engagement. IOC2, the youth led IOC, falls within the top rungs of Hart's ladder, child-initiated and directed (rung 7) and child-initiated, shared decisions with adults (rung 8) (Hart, 1992). Youth are responsible for making all decisions, but adults are on hand for support. The

adults do not share in decision making in any formal sense, though their opinions are considered by the youth. The participation of youth on the other IOCs in this study range from assigned but informed (rung 4) to consulted and informed (rung 5). At times, adults decide on the approach or policy objective and policy goal, and youth volunteer to be part of it, such as volunteering to speak at a hearing. They are directed by the adults how they should be involved. In other situations, youth may be present during planning meetings and consulted by adults and their opinions and experiences are taken seriously and inform the policy campaign, which is then designed by adults.

The results of this study support Wong and other's (Hart, 2008) assertion that the different types of participation may not necessarily be linear and one may not necessarily be better than the other. However, the different levels of participation in the development of an IOC's policy campaign, including the identification of the policy goal, require different levels of resources and have different outcomes. Engaging youth in a way where youth have more power, such as decision making power, requires staff with specific youth development skills to encourage youth engagement. It also requires financial resources to provide food, transportation, and perhaps stipends to youth. In order for youth to have meaningful engagement in the process, they must build relationships with the adults with whom they are partnering. These relationships can be built through the policy advocacy process, but are further strengthened through other types of activities that bring both the adults and youth outside of their comfort zone. When adults demonstrate an openness to these activities, as well as emotional support for youth, these relationships are strengthened. Also, in policy initiatives with greater youth participation, attention must be put on skill-building through experiential and fun-based

trainings and opportunities for practice and to receive feedback. This level of engagement can lead to youth development outcomes, such as increased knowledge, skills and civic engagement. It can also strengthen the policy campaign by getting greater attention of policy makers who are not accustomed to working with youth and through the innovative ways (e.g. music video) that youth communicate their policy-related talking points to policy makers.

The other IOCs included in this research engaged youth in policy work primarily through having them speak at events. IOC3 also had youth attend IOC meetings, though this was not consistent, and the IOC had changed its meeting times from the afternoon or evening to the morning, a time when youth were not likely to be available, making participation in meetings unlikely. This IOC also had a youth program from which they acquired information about the youth experiences. This information was then discussed by adults at the meeting. The IOCs saw the benefits of this level of participation empowering to youth, while also helpful to the policy campaign by adding a personal story to the policy issue. This level of engagement required less staffing time, as youth were recruited from other youth programs where a mentor or other youth worker could provide preparation and emotional and logistical support to the youth. There may be a tradeoff, however, in the amount of empowerment experienced by youth, relevance of the policy to the reality of youth (Themba, 1999) and the impact that the campaign has on policy makers when youth do not share power over the campaign with youth in an equitable way.

Relationships with the community

An important aspect for policy advocacy works is the ability to mobilize groups of people to show strong base of support for the policy goal. This is done through relationships with individuals in the community, through the work of IOC member organizations and through connections with other community-based organizations or IOCs. This aligns with various policy advocacy toolkits that exist (PolicyLink, 2007; Minieri and Getsos, 2007; Ritas, 2003; Themba, 1999; Staples, 1984). By engaging more people and organizations in the policy campaign, the IOCs increased awareness of their issues and built a bigger base of support for their policy goals. This base of support was, in turn, helpful in getting the support for their policy goals. Community engagement in the policy work can increase human and financial resources, by having more individuals from the community commit to more long-term engagement with the initiative and/or through financial contributions of individuals. These resources can be applied to the policy goal.

Relationships with opponents

Developing relationships and having interactions with those who oppose a policy goal is also an important element of a campaign. The word “relationship” often provides a picture of a positive connection, whereas interactions with opposition may actually be quite challenging, as demonstrated through the interaction that the youth of IOC2 had with a policy maker who was opposed to their campaign. While this interaction was demoralizing to some, the interaction also provided information that was helpful to the IOC in that it identified the concerns opposition had, and suggestions for overcoming these concerns.

Intermediate objectives

The policy advocacy activities described above largely involve building and utilizing relationships with other stakeholders in the policy making process in order to achieve the intermediate objectives of increasing access to policy makers, increasing resources, increasing awareness of an issue among the general public and key stakeholders, and building a base of support among community members, other organizations, and policy makers. Increasing access to policy makers is important to the IOCs because policy makers have the power and authority to implement policy change. Resources are necessary in order to support the policy advocacy work (e.g. funding staff positions). Because policy makers are responsive to their constituents, increasing awareness of the issue and building up a base of support can help get the support of policy makers. These intermediate objectives assist the IOCs in achieving their goals of having policy makers change policy and increasing the voice of communities of color in the policy making process, hence bringing about broader social and institutional change. These social and institutional changes address social determinants of health inequities in youth and ultimately, using a life course perspective, in adults (Hertzman, 2006).

Using the model to identify places for inequitable voice in policy making process

The model described in this chapter, entitled Model of Relationships for Policy can be used in order to inform practice of those working to bring about policy change. It can also be used to identify places in the policy making process where voices – particularly of those in low socioeconomic communities, people of color, and youth – may be excluded from the policy making process.

Limiting the voice of youth

The financial resources that an IOC has access to can impact the engagement of youth in a policy advocacy activity. As youth-serving programs lose funds, they may need to decrease the number of youth who receive services or the months of programming offered (e.g. starting after-school programming in October rather than in September). This decrease in youth programming can reduce an IOC's access to youth, as the IOCs often partner with youth-serving organizations in order to recruit youth into their policy advocacy campaigns or to consult with youth in order to understand the issues youth are facing and inform the policy campaign. With less youth engagement, the IOCs may make decisions about prioritizing issues or selecting policy goals without being informed by youth of their experience.

Financial resources impact policy advocacy campaigns

The resources that an IOC has impacts its policy advocacy activities by having enough funding to support staff to conduct policy advocacy activities, having the ability to hire paid consultants to provide services that strengthen its policy advocacy campaigns, and having access to youth to inform a policy advocacy campaign. Thus, this is an important area to examine in considering who has a voice in policy advocacy activities. The system of grant funding is a challenge for IOCs. IOCs were often competing against their own member organizations for grant funding. Additionally, reporting and other funding requirements are time-consuming, taking staff time away from the policy advocacy activities. In some situations, the funding community may be part of a system that the IOC is trying to change, and so the IOC may choose to not apply for funds from a funding organization (foundation or governmental funding organization)

if it is concerned that this funding may restrict its voice. IOCs may have different access to private donations. IOCs that represent low-income communities of color are not likely to have a base of financial support from the communities they serve due to high rates of poverty of community residents. When members of the IOC reflect the communities they serve, they may have limited resources themselves and may not have a network of people with resources such that they can donate to the IOC. This results in low-income communities of color having less of a voice in the policy advocacy process.

These challenges related to funding suggest that those IOCs likely to have the most resources (e.g., IOCs with a mostly white, upper-middle class membership or middle to upper class communities of color) to devote to policy advocacy activities may not reflect the communities on whose behalf they are advocating (e.g. low-income, immigrant communities). This can lead to policy priorities as identified by others, *not* those most impacted by the policy change. The voice of those impacted may be left out of all stages of the policy making process, from the identification of the issue to the selection of a policy solution. This can lead to policies that are not relevant to the experience of low-income communities of color.

Strengths

There are several strengths to this study. First, the use of grounded theory enabled an openness to the story that arose from the data. While the researcher had ideas of factors that may be important to an IOC's success at bringing about policy change based upon the literature (e.g. decision making, conflict resolution), the data indicated other factors, especially the importance of relationships with other policy stakeholders that were of priority to the IOC and were not anticipated. This allowed for the

development of a conceptual model that emphasizes the importance of forming relationships in order to build credibility. This model also helped to indicate places in the policy advocacy process where marginalized populations, including youth of color, may be excluded, silencing important voices to the policy making process. An additional strength of the study was the purposeful sampling for maximum variation technique that sampled three IOCs with different characteristics. This allowed for meaningful comparisons across sites that led to the identification of factors that are consistent even across very different IOCs and characteristics or experiences that were very different between the sites. Lastly, having three different sources of data – participant interviews, document review, and observation of IOC events – enabled the researcher to triangulate the results, increasing the validity of the study.

Limitations

This study had several limitations. First, while it was designed to have a participatory advisory board, IOC members expressed that concerns about the time this would entail. Instead of a formal advisory board, the research design was discussed with contacts at each of the IOCs for feedback. Member checking was used as a strategy for the validation of findings, though only two IOCs responded to the request for feedback, though receiving little feedback as part of a member checking process is not unusual (Stake, 1995). Another limitation was that focus groups, though a component of the original design, were not included, as the logistics of hosting a focus group for state-wide IOCs and/or IOCs composed of organizational leaders proved to be an insurmountable challenge. As the study design included three other sources of data, the study yielded rich data. A limitation of the data analysis process is that the data was analyzed after the

completion of data collection, rather than as an ongoing process while the data was collected, as is the procedure for a “pure” Grounded Theory analytic approach. This prevented the deeper or further exploration of concepts that arose from the data (e.g. relationships) in subsequent data collection.

While these case studies provide an in-depth look at the IOCs included in the study, which can provide a deeper understanding of the experience of IOCs working to bring about policy change, the findings may not be generalizable to other communities or contexts. However, the purpose of this study is not to generate results with statistical generalizability, but to instead develop a theory. Due to the design of this study, and its exploratory nature, the conclusions that can be drawn from these three cases are limited. In line with qualitative methodology, while providing insight on my research questions, this research is also likely to lead to new puzzles (Stake, 1995). Additionally, as Minkler and colleagues acknowledge in their series of ten case studies of CBPR partnerships that influenced public policy (Minkler et al., 2008, Minkler, 2010), one must be cautious in drawing conclusions about the specific contribution of a partnership to a change in public policy. The policy change process is complex, and involves the efforts of numerous individuals, groups, and interests. For this reason, it is impossible to determine if one IOC was responsible for any policy change. There are also a number of reasons and players that contribute to a policy change not being put in place. For these reasons using policy change as an outcome indicator of IOC effectiveness is not appropriate (Roussos & Fawcett 2000). However, a research approach that uses a series of case studies is appropriate in order to analyze contributions to changes in public policy (Minkler, 2010).

Another limitation to this study is that it does not include the perspective of policy makers. While this was beyond the scope of this study, the conclusions drawn regarding what policy makers consider important are from the perspective of the IOC members. An appropriate area for future research is to further explore the perceptions policy makers have of IOCs working on policy change to address youth issues.

Another limitation was that the observational checklist, informed by previous literature (Roussos and Fawcett, 2000) did not well reflect the factors that were identified, though qualitative methods, to be of importance to the IOCs included in this study (e.g. relationships with policy makers). Also, while it was expected that there would be variation over the course of a meeting, this was not found to be the case. There was very little variation to the data collected on the form. Therefore, the observational checklists were reviewed to look for factors that may have conflicted or supported other findings in this study. The in-depth notes taken at events observed were found to be more informative and helpful. It is recommended for future researchers using a grounded theory approach to rely on observational note-taking. However, those doing research specific to IOC functioning, may want to consider using and revising this form when observing multiple IOC meetings. It may be that there is more variation in the IOC factors included in the form over time and across several meetings that were not captured during the observation of one meeting for each IOC.

Lastly, only a subset of the coding categories was analyzed for the purpose of this study. There are likely to be other valuable insights in other categories. For instance, the grounded theory presented in this chapter reflect previous literature that describes IOC characteristics that are associated with IOC effectiveness, such as having a defined,

overarching goal (Zakocs and Edwards, 2006; Foster-Fishman et al., 2001; Roussos and Fawcett, 2000), having clear roles for staff and membership (Foster-Fishman et al., 2001; Butterfoss et al, 1993), diversity of membership (Hays et al., 2000), and the importance of funding for IOC functioning (Wolff, 2001). Other IOC characteristics related to effectiveness represented in the literature were present in the data, but were not included in the grounded theory. These factors include IOC systems of communication, IOC structure and function, and decision making (Foster-Fishman et al., 2001; Butterfoss et al, 1993). While they were not related to the key story of relationships presented in the theory, these IOC characteristics were coding categories in the data. Further analysis of these other code categories is likely to yield insights useful in informing the practice of IOCs working to effect policy change related to youth. For example, other coding categories that will be further explored through additional analysis are credibility, respect, knowledge of coalition members, expertise, trust, and reputation. Preliminary analysis indicated that these coding categories are related. Further analysis may help to identify ways in which trust among members and between the IOC and policy makers can be developed and leveraged in order to accomplish policy advocacy goals.

Implications for public health practice

This research and the conceptual model described have several implications for public health practice, as advocating for policy change is increasingly called upon as a public health intervention, particularly in addressing health inequities. I will describe below implications for IOCs working on policy change, public health practitioners, policy makers, funders and researchers.

Implications for IOCs working on policy change:

As the model presented in this study demonstrates, relationships are essential to the policy change process. It is important that IOCs apply resources toward building and maintaining these relationships. One way to maintain these relationships is by having a presence in the media, in the political arena (e.g. statehouse, policy making boards), and in the community. Relationships are symbiotic, so they can be strengthened by being available to provide information related to the policy issue to stakeholders in the policy process, such as policy makers or the media. IOCs can also serve as a liaison between communities served and these stakeholders. Both policy makers and the media want the stories of individuals, and IOCs are often well-positioned to help make these connections.

Skill-building is another important aspect of a successful policy advocacy campaign. This study found that the opportunity to learn new skills kept youth engaged. While it was beyond the scope of this study to look at the different skill levels of adults, it is likely that a similar skill-building model would help to engage adults, such as community members, in policy change efforts. Building structure into the IOCs' work whereby those with more experience can provide opportunities for learning to those with fewer skills can improve the overall capacity of the IOC, build relationships among members, and help to keep people engaged in the work. Skill-building may be helpful in engaging individuals from low-income communities because the new skills developed can be an added incentive for participation. These skills are marketable and can be applied to different situations, thus they may help members of low-income communities in securing or enhancing employment opportunities. Others (Cheezum et al, in progress) have found that policy advocacy skill building through trainings, as well as through

policy advocacy work conducted after training, leads to a greater sense of empowerment. This may be an additional incentive for keeping low-income communities or others who feel that they have little influence in their community engaged in a policy campaign.

Resources are necessary in order to conduct policy advocacy activities. Given limited resources, it is best to limit the scope of the policy work. For example, rather than working on a statewide and local campaign, it may be more effective to focus resources on one campaign and build the necessary relationships than to spread the resources too thin, making chance of success on multiple campaigns unlikely. An alternative is to partner with another policy advocacy group working on similar issues and combining resources.

Lastly, having the youth voice present in the policy campaign has several consequences. First, youth engagement can lead to more effective policies and may increase the likelihood of successful policy change because the youth voice adds credibility. Secondly, youth engagement, particularly when youth have a meaningful role in the development of the campaign and the freedom to use their unique skills and creativity (e.g. the youth group that presented a rap video at a legislative hearing) helps gain access with policy makers, is more engaging for youth, leads to delivering a message to policy makers that is most relevant for youth, and can make the policy campaign more memorable to policy makers. Finally, youth engagement in the policy process can be used as a youth development strategy.

While youth engagement in policy campaigns can strengthen the IOC's policy work, youth engagement beyond tokenism (Arnestein, 1969; Hart, 1992) requires additional resources. These resources include staff with youth development skills to

work with youth and support them in policy advocacy activities, providing transportation to meetings and policy activities, time and materials for training and skill-building, and in some cases, financial resources to provide stipends. The engagement must also be purposeful: devoting time to building relationships between adults and youth and among youth, providing emotional support to youth in all areas of their life (e.g. family, school, court involvement, relationships with peers), and presenting opportunities for learning and leadership. These activities must be conducted in a way that counters the adultism and racism that youth experience on a daily basis. IOCs can enhance youth engagement through increasing awareness of and taking purposeful action against these macro-level factors in their work.

Implications for public health practitioners

The findings of this study also have implications for public health practitioners. First, providing training on the policy change process, policy advocacy, community organizing, and leadership development for youth and may increase youth participation in the policy change process. This is aligned with previous literature, which recommended trainings on policy advocacy for community members and public health practitioners (Israel et al., 2010; Dilley et al., 2009; Minkler et al., 2008; Spenceley et al., 2006; Galer-Unti et al., 2004). Skills-based training will be strengthened by providing structures to connect policy makers and youth and community members and opportunities for youth and community members to practice skills. Public health practitioners often have strong connections with local health departments. This can be one example of an opportunity to provide a structure, such as a youth advisory board for a city, county, or state health department. In order to address social determinants of health, having youth participation

in policy making in institutions with which they engage, such as schools, police, or juvenile justice systems may lead to policies that address social determinants of health inequities.

Implications for policy makers

Policy makers can take steps in order to build relationships with youth of color and communities of color by maintaining a presence in the community and by taking time to engage youth. Youth may feel like they cannot have an impact on policy or intimidated by policy makers. However, by meeting with policy makers, some of these barriers of fear are broken down. By simply engaging with youth, either informally or by setting up structures (e.g. a youth board) where they meet regularly with youth, policy makers can help to build these relationships and facilitate the engagement of the voice of low income youth of color in the policy making process.

Policy makers can also impact community and youth engagement in the policy process by addressing issues of distrust. Level of trust between policy makers and their constituents is impacted by policy makers' behaviors such as dividing community groups, having minimal presence in the community except when the media is present, or by not being open about their position on a policy campaign. Having consistent presence and ongoing communication and relationships with community groups can help to address this distrust.

Implications for funders

Foundations can play a role in increasing the voice of youth of color in the policy making process through three mechanisms. First, by understanding and working to address the resulting dynamics of having organizations compete for limited amounts of

funding, funders can increase the likelihood of having organizations work together. One example of how to address this is to provide IOCs with enough financial support to not only cover staff salaries, but also providing financial support to all partner organizations to cover the cost of staff time dedicated to IOC work. Secondly, funders can provide longer-term funding for policy-advocacy campaigns. For example, if a legislative session is two years long, having to apply for a renewal of funding during this time diverts staff attention from the policy advocacy to trying to secure resources. Longer term, such as five year funding cycles can provide much-needed financial support without detracting from policy work. Funders can also address the disproportionate impact on the policy process that is likely to exist between IOCs representing different communities by strategically funding IOCs that represent low-income communities of color and have engagement of youth of color. Lastly, funders can create formats for developing relationships between community members, including youth, community organizations and policy makers. These formats could be informal meet-and-greets or regular meetings. By having youth involved in planning these events, funders can help to insure that they are in such a format to encourage youth to engage with policy makers, not to be intimidated by them further.

Implications for researchers

As described in the limitation section, not all axial coding categories were analyzed and included in this study and further exploration of these coding categories is likely to reveal other meaningful, important findings. Future research will involve looking at these additional coding categories.

The findings presented in this study can inform interventions designed to enhance the practice of IOCs working to advocate for policy change. These interventions may include: the development of structures to facilitate the building of relationships between policy makers and youth, such as youth advisory boards; trainings for youth and other community members on community organizing, leadership, or policy advocacy skills, such as media advocacy; or efforts by funding organizations to provide financial support to IOCs advocating for policy change and providing opportunities to bring together policy makers, IOCs, and youth for discussion of topics that concern youth. These interventions can provide opportunities for evaluation research to determine the effectiveness of these interventions and these strategies.

Another area for future research is to further explicate the relationships IOCs develop with policy makers and the concepts of credibility and trust. While the connection between these concepts was made in this research study, further exploration can clarify these connections, including what are the developmental stages of these relationships and how does the credibility of an IOC and trust policy makers have for an IOC impact its effectiveness in the policy change process.

More research is needed to better understand the perspective of policy makers in the policy making process and how they respond to community members, IOCs, and youth advocating for policy change. What factors increase the likelihood that a policy maker will support a policy goal, from the perspective of policy makers? In order to better understand whose voice is heard in the policy change process, more research is necessary that examines how IOC member and staff race, class, age, and gender impact the effectiveness of groups advocating for policy change.

Chapter 6: Concluding remarks

In examining the experience of three IOCs working on policy change to impact youth, based upon the literature of IOCs, I expected interviews to focus on internal factors, or those that an IOC has control over, such as leadership, decision making, and conflict resolution. While there certainly were some internal factors that were discussed that echoed the literature (e.g., the importance of diversity in membership, having a clearly articulated goal in line with the goals of member of organizations), the greater emphasis on the relationships and connections to other entities, outside of the IOC, was an unexpected finding. This exemplifies the benefit of using a grounded theory approach to data collection and analysis (Glaser and Strauss, 1967; Strauss and Corbin, 1998) which required openness to the story that arises organically from the data, rather than preconceived hypotheses.

This focus on relationships is a contribution to the existing literature about IOCs, which emphasizes internal factors. The model presented in Chapter 5 also diverges from policy advocacy literature and toolkits. Policy development and policy advocacy models, while emphasizing activities such as mobilizing individuals and building coalitions, often speak in terms of what a group, once organized, can do as an entity to bring about policy change. The results of this study and the model presented in Chapter 5 instead demonstrate that policy advocacy is a complicated web of relationships with different entities, such as policy makers, community members, the media, community organizations, IOCs, funders, youth, and even opponents, all of whom have a stake and a

role in the policy change process. This shifts the focus of what skills are necessary in order to successfully engage in policy change from skills such as conducting a power analysis or developing talking points to the importance of leveraging the credibility, knowledge, skills, contacts and diversity of IOC staff and members in order to build long-standing, mutually-beneficial relationships with others to accomplish policy advocacy goals.

Another interesting finding of this study was the different ways in which IOCs engage youth – from youth-led models that use policy change as a mechanism for youth development to adult-led groups that consult with youth in the course of the policy change activities. These models each have pros and cons. Youth-led and youth development approaches provide greater voice to youth and are likely to lead to policy change that is most relevant for youth, but these efforts require specific resources, such as staff with specific youth-development skills, financial resources to support youth, infrastructure to assist with transportation, and time for integrating skill-building into the policy change efforts. IOCs that consult with youth require less financial resources on the part of the IOC, which can partner with youth programs, but results in less input by youth during the steps of the policy change process, such as prioritizing the issue on which to work and identifying an appropriate policy strategy to address the issue. This may impact the relevance of the policy change to the lives of young people. Additionally, because this approach does not allow for ownership of the policy advocacy campaign and few opportunities for skill-building and practice, it has less impact on youth development and instead may be viewed (by youth, policy makers, community members) as using youth to deliver a message that has been developed by adults and has

little true resonance with or meaning to young people. These pros and cons must be weighed by a group seeking to engage youth in policy change efforts.

The findings indicate places in the policy process where low-income communities of color, including youth may be at a disadvantage and have less access to the policy making process. First, members of low-income communities may be less likely to participate in policy advocacy activities because they are already over-burdened and focused on those activities essential for survival. Advocating for policy change is not likely to be a high priority, as compared to paying basic expenses or putting food on their family's table. This can make it difficult to demonstrate a base of support among community members to policy makers. Secondly, non-profit organizations in communities of color are likely to depend almost entirely on grant funding. The IOC members, often employees of non-profit organizations and community members, are not likely to be able to provide substantial financial contributions to the IOC, as may be the case in IOCs representing higher-income populations. Reliance on grant funding requires staff to devote large portions of their time to applying for funding, meeting with potential funders, and fulfilling reporting requirements for funders. This detracts from their ability to execute policy advocacy activities and perhaps leading to the need to compromise on policy goals if the goals are not supported or endorsed by their funders. Member organizations of IOCs in low-income communities of color are also likely to be competing for the same limited funds, which may lead to conflict and instability within the IOC. The reliance on grant funding is particularly important in a time of economic recession when these organizations are likely to face dramatic reductions in funding support. This can lead to staff playing multiple roles, leaving little time for policy

advocacy. It can also lead to youth programming being reduced, limiting access to youth to engage in policy advocacy activities. The limited funds can also eliminate the possibility of hiring outside consultants for support on policy advocacy activities that may be outside the skill set of the staff, such as media advocacy, thus impacting the effectiveness of the IOC's policy advocacy campaign.

The findings presented in this study can inform the practice of IOCs working on policy change, public health practitioners, policy makers, funders and researchers. IOCs can strengthen their policy advocacy campaigns by prioritizing the development of relationships with key stakeholders. IOCs are more likely to engage youth or other community members by putting emphasis on skill-building and providing opportunities for those with more experience to train those new to policy advocacy, providing structures for members to practice skills. These activities are likely to keep members engaged in the campaign, enhance relationships among IOC members, and expand membership, thereby expanding the overall network of the IOC and building its credibility. Youth engagement and ownership of a policy advocacy campaign increases the credibility of the IOC among policy makers, provides unique access to policy makers who see youth engagement as a novelty, and can lead to a presentation of the IOC's policy position that gets the attention of policy makers and is particularly meaningful and memorable.

Public health practitioners can support IOCs' policy advocacy work by providing training opportunities on skills related to policy advocacy, such as working with the media, community organizing and leadership development. They can also provide opportunities to bring youth together with policy makers, including representatives of

health departments or municipal officials through a formalized structure, such as a youth advisory board. Finally, providing mechanisms where youth can inform policy development in the institutions that impact their life (e.g. schools, police) can be used as a strategy to address social determinants of health inequities.

Policy makers can look to provide inviting mechanisms for engaging with youth, where fun, relationship-development, and skill-building are emphasized. Policy makers must be cautioned, however, that distrust of policy makers is prevalent in low-income communities of color who often view policy makers as divisive or opportunistic. Being open about their policy position while seeking common ground and having an ongoing presence in low-income communities and communities of color can help to address this distrust of policy makers.

Funders can support the work of IOC by understanding and addressing characteristics of funding structures that are challenges for IOCs, such as lengthy application process, labor-intensive reporting and accountability processes, and situations where IOC members are competing against each other for funds. Funders can provide structured opportunities for bringing policy makers, youth, and IOCs together, while also funding IOCs in such a way where IOC staff members do not need to devote large portions of their time to funding requirements and applications.

Finally, there are numerous questions which researchers can address to better inform the work of IOCs. For example, they could look more closely at: the impact of race, class, age, and gender on the development of relationships between policy makers and IOCs; how trust is developed through IOC credibility (including that of its staff and members); and what policy makers identify as factors that contribute to IOC effectiveness

at advocating for policy change. A community-based participatory research approach to such research, particularly one that engages youth, can be particularly useful in addressing these questions as well as other questions identified by youth.

The Model of Relationships for Policy Change to Reduce Health Inequities and the resulting implications presented above are important contributions to the public health literature about IOCs and policy change as a strategy to address health inequities. This research indicated several ways in which IOCs working on policy change, public health practitioners, policy makers, funders, and researchers can play an important role in the development of policy to address the social determinants of health that contribute to health inequities among youth. This study also presents the advantages and disadvantages to two types of youth engagement in policy change: youth-led campaigns and campaigns that consult with youth and the different impact these two approaches can have on policy change initiatives. The ways in which low-income communities of color and youth of color may have limited access to the policy development process were identified and recommendations to address these differences are discussed. This model can be used by IOCs working on policy change, public health practitioners, policy makers, funders, and researchers to inform their efforts to change policy to address the social determinants of health inequities in youth.

Appendix A

Consent, assent forms

**Study ID: HUM00044418 IRB: Health Sciences and Behavioral Sciences Date
Approved: 3/16/2011**

**Coalitions Working to Change Policies that Affect Adolescents:
A Qualitative Study of Three Youth-Serving Coalitions**

Consent Form for an Adult to Participate In Interview

My name is Rebecca Cheezum, and I am a doctoral student in the Health Behavior and Health Education Department in the School of Public Health at the University of Michigan. I am conducting this research in collaboration with my dissertation committee chair, Barbara A. Israel, DrPH, Professor in the Health Behavior and Health Education Department at the School of Public Health at the University of Michigan.

Purpose of Research

The purpose of this dissertation research is to develop a better understanding of the factors that are helpful or problematic to the effectiveness of youth-serving coalitions (networks) to bring about policy change and how youth are involved in the process. Knowing this can help youth-serving organizations and coalitions (networks), funders, and policy makers as they work to improve policies. This may lead to more relevant policies in order to achieve better health for everyone.

Participation

If you agree to participate in this research, you will be interviewed once for approximately one hour. In this interview, I will ask you a series of questions about your experience doing policy advocacy with a youth-serving coalition (network). These questions will include what the network has found challenging or helpful in advocating for policy change and how youth have been engaged in the process. With your permission, this interview will be audio recorded. Please note that your participation, or refusal to participate, will not impact any services you may receive or your affiliation with the network.

Benefits

Although you may not directly benefit from being in this study, others may benefit because the findings from this research may shed light on the factors that are helpful or problematic to the effectiveness of youth-serving networks to bring about policy change and how youth are engaged in the process. This understanding can inform the practices of youth-serving organizations and networks, funders, and policy makers in order for youth-serving networks to successfully impact policies. Also, you will have an opportunity to express your thoughts, feelings, and opinions on a variety of topics during the interview. The results of this research will be reported back to the network of which you are a member. The results will be reported back in such a way that your identity will not be connected to any data.

Risks

I do not expect that participating in this project will cause you any harm or physical discomfort. One possible risk is that the information that you reveal could put your receiving of services or your employment at risk. This risk is mitigated by the fact that your identity will not be connected to any data reported. Also, you may be asked questions that you are uncomfortable answering. Please know that *you do not have to answer any question that you do not want to answer*. Also, all audio files and the interview transcript will always be kept in a secure, locked location. A description of how I plan to maintain confidentiality is described below.

Voluntary Participation

Your participation in this research is entirely voluntary. You may decide against participation before the interview, as well as elect not to answer any questions you'd rather not answer during the interview. You may also discontinue participation at any time, without penalty,

even in the middle of the interview. You may ask me any questions about this study at any time during the process, including after the interview has ended. **Confidentiality**
One of my main priorities is to protect your identity and the information you tell me by providing the strictest confidentiality. Project reports will not use your name or include anything that could identify you. Your name will only appear on this Informed Consent Form. This document will be kept in a locked filing cabinet in my private residence separate from your interview data. For transcription purposes, an identification number will be linked to your name. Any electronic material (text files, digital audio, and video audio files) will be stored on my personal computer in my private residence and the folders will be protected with a password and encryption. These records will be kept confidential to the extent allowed by federal, state, and local law. However, The University of Michigan's Institutional Review Board, which is responsible for monitoring this project, may inspect these records. Other than myself, only members of my dissertation committee will have access to this data. Upon completion of this project, the audio files and notes will be archived in a locked filing cabinet and destroyed after 10 years. All results will be reported in such a way that your identity will not be connected to any data.

Future Use of Data

The information I collect in this study may appear in presentations, papers, articles, or other publications, although your name will never be used.

Documentation of the Consent

One copy of this signed Informed Consent Form will be kept as a record for the project. Also, you will receive a copy of this form to keep.

Compensation

At the end of the interview, you will receive \$20 in cash. If you choose to withdraw from the study, you will still be paid.

Contact Information

If you would like more information about this study, or if you have any questions, please feel free to contact: Ms. Rebecca Cheezum (researcher) at rcheezum@umich.edu, or Dr. Barbara A. Israel (faculty advisor) at ilanais@umich.edu.

Should you have questions about your rights as a participant in this research, please contact the Institutional Review Board, Health Sciences and Behavioral Sciences, 540 E. Liberty #202, Ann Arbor, MI 48104, (734) 936-0933 or toll free, (866) 936-0933, email: irbhsbs@umich.edu.

Consent

I have been informed of the information given above, and I understand that my participation in this research is voluntary. I also understand that I may stop my participation at any time. Rebecca Cheezum has offered to answer any questions I have regarding this project. I hereby consent to participate in this study.

I agree to participate in the study.

Consenting Signature Printed Name Date

Please sign below if you are willing to let this interview be audio recorded.

Signature

Date

Study ID: HUM00044418 IRB: Health Sciences and Behavioral Sciences Date Approved: 3/16/2011

**Coalitions Working to Change Policies that Affect Adolescents:
A Qualitative Study of Three Youth-Serving Coalitions**

Consent Form for an Adult to Participate In Interview

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Purpose of Research

The purpose of this dissertation research is to develop a better understanding of the factors that are helpful or problematic to the effectiveness of youth-serving coalitions (networks) to bring about policy change and how youth are involved in the process. Knowing this can help youth-serving organizations and coalitions (networks), funders, and policy makers as they work to improve policies. This may lead to more relevant policies in order to achieve better health for everyone.

Participation

If you agree to participate in this research, you will be interviewed once for approximately one hour. In this interview, I will ask you a series of questions about your experience doing policy advocacy with a youth-serving coalition (network). These questions will include what the network has found challenging or helpful in advocating for policy change and how youth have been engaged in the process. With your permission, this interview will be audio recorded. Please note that your participation, or refusal to participate, will not impact any services you may receive or your affiliation with the network.

Benefits

Although you may not directly benefit from being in this study, others may benefit because the findings from this research may shed light on the factors that are helpful or problematic to the effectiveness of youth-serving networks to bring about policy change and how youth are engaged in the process. This understanding can inform the practices of youth-serving organizations and networks, funders, and policy makers in order for youth-serving networks to successfully impact policies. Also, you will have an opportunity to express your thoughts, feelings, and opinions on a variety of topics during the interview. The results of this research will be reported back to the network of which you are a member. The results will be reported back in such a way that your identity will not be connected to any data.

Risks

I do not expect that participating in this project will cause you any harm or physical discomfort. One possible risk is that the information that you reveal could put your receiving of services or your employment at risk. This risk is mitigated by the fact that your identity will not be connected to any data reported. Also, you may be asked questions that you are uncomfortable answering. Please know that *you do not have to answer any question that you do not want to answer*. Also, all audio files and the interview transcript will always be kept in a secure, locked location. A description of how I plan to maintain confidentiality is described below.

Voluntary Participation

Your participation in this research is entirely voluntary. You may decide against participation before the interview, as well as elect not to answer any questions you'd rather not answer during the interview. You may also discontinue participation at any time, without penalty,

even in the middle of the interview. You may ask me any questions about this study at any time during the process, including after the interview has ended.

Confidentiality

One of my main priorities is to protect your identity and the information you tell me by providing the strictest confidentiality. Project reports will not use your name or include anything that could identify you. Your name will only appear on this Informed Consent Form. This document will be kept in a locked filing cabinet in my private residence separate from your interview data. For transcription purposes, an identification number will be linked to your name. Any electronic material (text files, digital audio, and video audio files) will be stored on my personal computer in my private residence and the folders will be protected with a password and encryption. These records will be kept confidential to the extent allowed by federal, state, and local law. However, The University of Michigan’s Institutional Review Board, which is responsible for monitoring this project, may inspect these records. Other than myself, only members of my dissertation committee will have access to this data. Upon completion of this project, the audio files and notes will be archived in a locked filing cabinet and destroyed after 10 years. All results will be reported in such a way that your identity will not be connected to any data.

Future Use of Data

The information I collect in this study may appear in presentations, papers, articles, or other publications, although your name will never be used.

Documentation of the Consent

One copy of this signed Informed Consent Form will be kept as a record for the project. Also, you will receive a copy of this form to keep.

Compensation

At the end of the interview, you will receive \$20 in cash. If you choose to withdraw from the study, you will still be paid.

Contact Information

If you would like more information about this study, or if you have any questions, please feel free to contact: Ms. Rebecca Cheezum (researcher) at rcheezum@umich.edu, or Dr. Barbara A. Israel (faculty advisor) at ilanais@umich.edu.

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Consent

I have been informed of the information given above, and I understand that my participation in this research is voluntary. I also understand that I may stop my participation at any time. Rebecca Cheezum has offered to answer any questions I have regarding this project. I hereby consent to participate in this study.

I agree to participate in the study.

Consenting Signature Printed Name Date

Please sign below if you are willing to let this interview be audio recorded.

Signature

Date

**Study ID: HUM00044418 IRB: Health Sciences and Behavioral Sciences Date
Approved: 3/16/2011**

**Coalitions Working to Change Policies that Affect Adolescents:
A Qualitative Study of Three Youth-Serving Coalitions**

Parent Consent Form for Youth to Participate In Interview

My name is Rebecca Cheezum, and I am a doctoral student in the Health Behavior and Health Education Department in the School of Public Health at the University of Michigan. I am conducting this research in collaboration with my dissertation committee chair, Barbara A. Israel, DrPH, Professor in the Health Behavior and Health Education Department at the School of Public Health at the University of Michigan.

Purpose of Research

The purpose of this dissertation research is to develop a better understanding of the factors that are helpful or problematic to the effectiveness of youth-serving coalitions (networks) to bring about policy change and how youth are involved in the process. Knowing this can help youth-serving organizations and coalitions (networks), funders, and policy makers as they work to improve policies. This may lead to more relevant policies in order to achieve better health for everyone.

Participation

If you agree to let your child participate in this research, he or she will be interviewed once for approximately 1.5 hours. In this interview, I will ask your child a series of questions about his or her experience doing policy advocacy with a youth-serving network. These questions will include what the network has found challenging or helpful in advocating for policy change and how youth have been engaged in the process. With your permission and your child's assent, this interview will be audio recorded. Please note that your child's participation, or refusal to participate, will not impact any services he/she may receive or his/her affiliation with the network.

Benefits

Although your child may not directly benefit from being in this study, others may benefit because the findings from this research may shed light on the factors that are helpful or problematic to the effectiveness of youth-serving networks to bring about policy change and how youth are engaged in the process. This understanding can inform the practices of youth-serving organizations and networks, funders, and policy makers in order for youth-serving networks to successfully impact policies. Also, your child will have an opportunity to express his/her thoughts, feelings, and opinions on a variety of topics during the interview. The results of this research will be reported back to the network of which your child is a member. The results will be reported back in such a way that your child's identity will not be connected to any data.

Risks

I do not expect that participating in this project will cause your child any harm or physical discomfort. One possible risk is that the information that your child reveals could put his or her receiving of services or his or her employment at risk. This risk is mitigated by the fact that your child's identity will not be connected to any data reported. Also, he/she may be asked questions that he/she is uncomfortable answering. Please know that *your child does not have to answer any question that he/she does not want to answer*. Also, all audio files and the interview transcript will always be kept in a secure, locked location. A description of how I plan to maintain confidentiality is described below.

Voluntary Participation

Your child's participation in this research is entirely voluntary. You and/or your child may decide against participation before the interview, as well as elect not to answer any questions he or she would rather not answer during the interview. He or she may also discontinue participation at any time, without penalty, even in the middle of the interview. You or your child may ask me any questions about this study at any time during the process, including after the interview has ended. **Study ID: HUM00044418 IRB: Health Sciences and Behavioral Sciences Date Approved: 3/16/2011 Confidentiality**

Confidentiality

One of my main priorities is to protect your child's identity and the information he or she tells me by providing the strictest confidentiality. Project reports will not use your child's name or include anything that could identify your child. Your child's name will only appear on this Informed Consent Form. This document will be kept in a locked filing cabinet in my private residence separate from your interview data. For transcription purposes, an identification number will be linked to your child's name. Any electronic material (text files, digital audio, and video audio files) will be stored on my personal computer in my private residence and the folders will be protected with a password and encryption. These records will be kept confidential to the extent allowed by federal, state, and local law. However, The University of Michigan's Institutional Review Board, which is responsible for monitoring this project, may inspect these records. Other than myself, only members of my dissertation committee will have access to this data. Upon completion of this project, the audio files and notes will be archived in a locked filing cabinet and destroyed after 10 years. All results will be reported in such a way that your child's identity will not be connected to any data.

Future Use of Data

The information I collect in this study may appear in presentations, papers, articles, or other publications, although your name will never be used.

Documentation of the Consent

One copy of this signed Informed Consent Form will be kept as a record for the project. Also, you will receive a copy of this form to keep.

Compensation

At the end of the interview, your child will receive \$20 in cash. If you or your child choose to withdraw from the study, your child will still be paid.

Contact Information

If you would like more information about this study, or if you have any questions, please feel free to contact: Ms. Rebecca Cheezum (researcher) at rcheezum@umich.edu, or Dr. Barbara A. Israel (faculty advisor) at ilanais@umich.edu.

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Custodial Parent’s Consent

My son/daughter and I have read the assent form and understand his/her role in the project. I, therefore, give my permission for my son/daughter to participate in this study. I understand that if I have any questions at any time, I can contact Ms. Rebecca Cheezum (researcher) at rcheezum@umich.edu or Dr. Barbara A. Israel at ilanais@umich.edu.

The University of Michigan Institutional Review Board oversees this research project. If you have questions regarding your rights as a research participant, you may contact the University of Michigan Health Sciences and Behavioral Sciences Institutional Review Board, 540 E Liberty St., Ste 202, Ann Arbor, MI 48104-2210, (734) 936-0933 or toll free, (866) 936-0933, email: irbhsbs@umich.edu.

Signature of Custodial Parent or Guardian Printed Name (Date)

Please sign below if you are willing to let this interview be audio recorded.

Signature (Date)

Study ID: HUM00044418 IRB: Health Sciences and Behavioral Sciences Date

Approved: 3/16/2011

Appendix B

Observation Checklist

Coalitions Working to Change Policies that Affect Adolescents:

A Qualitative Study of Three Youth-Serving Coalitions

Network Meeting Observation Form Instructions

Description of observation checklist:

The purpose of the checklist is to document internal dynamics of the network (IOC). As these dynamics of a meeting may change over time, there is a column for three different time periods. Each time period should last 20 minutes. Therefore, Time 1 starts at the beginning of the hour, Time 2 starts at the 20 minute mark, and Time 3 starts at the 40 minute mark. One checklist should be used for each hour of the meeting. (If meeting lasts longer than one hour, you will have more than one checklist for the meeting.)

Directions:

Heading:

At the top of the observation form, indicate the name of the meeting, time start for this worksheet, and the # checklist for this meeting (e.g. if a meeting is three hours long, there will be three checklists, marked #1, #2, and #3, with the time each worksheet is started indicated).

Membership attendance

1. Membership

1a. – 1d. Indicate the number of people for the category indicated.

1e- Indicate the number of males and number of females

1f - Estimate the proportion of race/ethnicities represented. (I.e. 40% of those present are African American, 50% are White, 10% are Asian)

1g Indicate, if possible, the types of organizations represented, and the number of people or proportion from each type of organization (e.g. government institution, community-based organization, school)

Participation

2. How many people are actively engaged. Describe how they are involved as directed.

Check one: Everyone, Most, A lot, Some, Only a few

2a. Describe qualitatively any pattern. (E.g. 2-3 people participating throughout meeting, which everyone else stays quiet.)

Decision Making

3. Circle yes or no

3a. Describe (in words) the decision made

3b. Circle, as appropriate. (From Johnson, D. W., & Johnson, F. P. (1997). *Joining together: Group theory and group skills* Allyn and Bacon Boston, pp. 282-287).

Authoritarian, without group discussion – the designated leader makes all the decisions without consulting the group members in any way.

Expert member – Decision by expert

Averaged member opinions – This method consists of separately asking each group member his or her opinion and then averaging the results.

Decision by authority, after discussion – Many groups have an authority structure that clearly indicates that the designated leader makes the decisions. The designated leader calls a meeting of the group, presents the issues, listens to the discussion until he or she is sure of what the decision should be, and then announces the decision to the group.

Minority control – A minority- two or more members who constitute less than 50% of the group – can make the group's decisions in several ways, some legitimate and some illegitimate.

Majority control – Discuss an issue only as long as it takes 51% of the members to agree on a course of action. Indicate if vote is taken.

Consensus – everyone agrees on the same course of action. Indicate that facilitator asked if there is consensus but that a vote is not taken.

Other – {describe how decision was made}

3c. Circle, as appropriate, describe if possible

3d. Any other observations about decision making (e.g. was it a heated discussion, were members unengaged, were members' opinions heard by each other)

Leadership

4a. Who is facilitating meeting – name, position

4a1. Is the person facilitating the same as the president, chair, CEO, etc? If no, please explain.

4b. What is their leadership style?

(From Johnson, D. W., & Johnson, F. P. (1997). Joining together: Group theory and group skills Allyn and Bacon Boston, p. 183)

Autocratic leaders - dictate orders and determine all policy without involving group members in decision making

Democratic leaders – set policies through group discussion and decision, encouraging and helping group members to interact, requesting the cooperation of others, and being considerate of members' feelings and needs

Laissez-faire leaders -- do not participate at all in their group's decision making processes

4c-4i. Circle, as appropriate

4j. Other observations about leadership

Conflict resolution

5. Circle, as appropriate

5a. Describe qualitatively

5b. Any other observations about conflict resolution

Communication

6a-6d Circle, as appropriate

6e. Any other observations about communication

Trust

7a. Please check any component of trust (as conceptualized by Johnson & Johnson, 1997) that is observed. Please state, if possible, who exhibits this component. If necessary, use Person A and Person B, etc. in order to indicate a dynamic between multiple people.

Openness is the sharing of information, ideas, thoughts, feelings, and reactions to the issue the group is pursuing

Sharing is the offering of your materials and resources to others in order to help them move the ground toward goal accomplishment

Acceptance is the communication of high regard for another person and his contributions to the group's work.

Support is the communication to another person that you recognize her strengths and believe she has the capabilities she needs to manage productively the situation she is in.

Cooperative intentions are the expectations that you are going to behave cooperatively and that every group member will also cooperate in achieving the group's goals. (*may not be observable*)

This information can be used in this table as part of the analysis.

	High acceptance, support, and cooperativeness	Low acceptance, support, and cooperativeness
High openness and sharing	Person A Trusting confirmed Person B Trustworthy confirmed	Person A Trusting Disconfirmed Person B Untrustworthy No risk
Low openness and	Person A Distrusting	Person A Distrusting

sharing	No risk	No risk
	Person B Trustworthy Disconfirmed	Person B Untrustworthy No risk

(From Johnson, D. W., & Johnson, F. P. (1997). Joining together: Group theory and group skills Allyn and Bacon Boston, p. 124)

7b. Any other observations about trust

Other notes

8. Any other observations? These may be related to physical environment, interactions observed during breaks, etc.

Post meeting reflections

9a – 9i Check, if appropriate

9j- 9l Qualitative response

Network Meeting Observation Form: Meeting name or purpose _____ Time start: _____ Form #: _____

	Time 1	Time 2	Time 3
Membership attendance			
1. Who is present?			
1a. Total number present			
1b. Staff			
1c. Adults			
1d. Youth (age 16-24)			
1e. Gender breakdown	____ # Male, ____ # Female	____ # Male, ____ # Female	____ # Male, ____ # Female
1f. Race/ethnicity breakdown (estimate)			
1g. Organizational representation (estimate) (e.g., governmental institution, CBO, school)			
Meeting participation			
2. How many people are actively engaged (e.g. speaking, nodding, taking notes) Please describe as appropriate	__ Everyone __ Most __ A lot __ Some __ Only a few	__ Everyone __ Most __ A lot __ Some __ Only a few	__ Everyone __ Most __ A lot __ Some __ Only a few
2a. Is there a pattern to who is participating and who is not? (e.g., adults participate, youth silent) If so, please describe			

Network Meeting Observation Form: Meeting name or purpose _____ Time start: _____ Form #: _____

Decision Making	Time 1	Time 2	Time 3
3. Has a decision been made during this time period	Y / N	Y / N	Y / N
3a. What was the decision?			
3b. How was the decision made? (Circle one; describe if other) <i>From Johnson & Johnson, 2009</i>	Authoritarian Expert member Averaged member opinions Decision by authority, after discussion Minority control Majority control Consensus Other?	Authoritarian Expert member Averaged member opinions Decision by authority, after discussion Minority control Majority control Consensus Other?	Authoritarian Expert member Averaged member opinions Decision by authority, after discussion Minority control Majority control Consensus Other?
3c. Were decisions recorded? (e.g. minutes, poster paper?)	Y / N/ Don't Know If yes, describe:	Y / N/ Don't Know If yes, describe:	Y / N/ Don't Know If yes, describe:
3d. Other notes about decision making			
Leadership	Time 1	Time 2	Time 3

Network Meeting Observation Form: Meeting name or purpose _____ Time start: _____ Form #: _____

4a. Who is facilitating the meeting? (Give name, position)			
4a1. Is the person facilitating the meeting the same as the CEO/President/Chair?	Yes No (explain):	Yes No (explain):	Yes No (explain):
4b. What is their leadership style?	Autocratic Democratic Laissez-faire	Autocratic Democratic Laissez-faire	Autocratic Democratic Laissez-faire
4c. Does the leader/facilitator make clear statements	Y / N	Y / N	Y / N
4d. Does the leader/facilitator draw others out, encourage others to speak?	Y / N	Y / N	Y / N
4e. Does the leader appear to listen to others?	Y / N	Y / N	Y / N
4f. Is the leader/facilitator forceful?	Y / N	Y / N	Y / N
4g. Do other members take on leadership behaviors? If so, how?	Y / N	Y / N	Y / N
4h. Do youth take a leadership role? If yes, please describe.	Y / N	Y / N	Y / N
4i. Does the leader summarize decisions made?	Y / N	Y / N	Y / N
4j. Other notes about leadership	Time 1	Time 2	Time 3

Network Meeting Observation Form: Meeting name or purpose _____ Time start: _____ Form #: _____

Conflict resolution			
5. Were there any conflicts evident during this period of meeting? If yes, please describe	Y / N	Y / N	Y / N
5a. If yes, how were conflicts resolved? Please describe. (e.g. discussion, appeared unresolved)			
5b. Other notes about conflict resolution			

Network Meeting Observation Form: Meeting name or purpose _____ Time start: _____ Form #: _____

Communication	Time 1	Time 2	Time 3
6a. Was the purpose of the meeting clearly communicated?	Yes / Somewhat/ No	Yes / Somewhat/ No	Yes / Somewhat/ No
6b. Was there two way communication between leader/facilitator and other participants?	Yes / Somewhat/ No	Yes / Somewhat/ No	Yes / Somewhat/ No
6c. Was there two way communication between youth and adults?	Yes / Somewhat/ No	Yes / Somewhat/ No	Yes / Somewhat/ No
6d. How was information communicated during this time period? (Circle all that apply; please describe any other method)	Verbal Handouts Notes on board/newsprint Audio/visual materials Other:	Verbal Handouts Notes on board/newsprint Audio/visual materials Other:	Verbal Handouts Notes on board/newsprint Audio/visual materials Other:
6e. Other notes about communication:			

Network Meeting Observation Form: Meeting name or purpose _____ Time start: _____ Form #: _____

Trust	Time 1	Time 2	Time 3
<p>7a. Trust Please check any component of trust (as conceptualized by Johnson & Johnson, 1997) that is observed. Please state, if possible, who exhibits this component. If necessary, use Person A and Person B, etc. in order to indicate a dynamic between multiple people.</p>	<p>__ Openness _____ _____ __ Sharing _____ _____ __ Acceptance _____ _____ __ Support _____ _____ __ Cooperative intentions _____ _____</p>	<p>__ Openness _____ _____ __ Sharing _____ _____ __ Acceptance _____ _____ __ Support _____ _____ __ Cooperative intentions _____ _____</p>	<p>__ Openness _____ _____ __ Sharing _____ _____ __ Acceptance _____ _____ __ Support _____ _____ __ Cooperative intentions _____ _____</p>
<p>7b. Other notes about trust:</p>			
<p>8. Other notes for this time period</p>			

Network Meeting Observation Form: Meeting name or purpose _____ **Time start:** _____ **Form #:** _____

9. Post-meeting reflections: *(Note: From A Handbook of Structured Experiences for Human Relations Training, p. 30)*

Check all that apply.

() 8a. There was much warmth and friendliness

8j. Observer feelings experienced

during the observation:

() 8b. There was much aggressive behavior

() 8c. People were uninterested and uninvolved

() 8d. People tried to dominate and take over

8k. Hunches, speculations, and ideas about

meeting observed

() 8e. Much of the conversation was irrelevant

() 8f. Those at meeting were strictly task-oriented

() 8g. The members were very polite

8l Other post meeting notes: (continue on

back, if necessary)

() 8h. There appeared to be much underlying irritation

() 8i. Group worked on their process issues

Appendix C
Recruitment Materials

Recruitment – Interview email scrip for adults

1st Email text:

My name is Rebecca Cheezum, and I am a doctoral student in the Health Behavior and Health Education department at the University of Michigan School of Public Health. For my dissertation research, I have been doing a series of case studies about youth-serving networks that are working to bring about policy change. The goal of this dissertation research is to develop a better understanding of the factors that are helpful or problematic to the effectiveness of youth-serving networks to bring about policy change and how youth are engaged in the process. This understanding can inform the practices of youth-serving organizations and networks, funders, and policy makers in order for youth-serving networks to successfully impact policies. One of the IOCs with which I have been partnering is (name of network) . I received your name and contact information from (contact or person who provided contact information) as someone who is a member or involved with (name of network). I am asking if you would be interested in participating in a one on one interview. During this interview, we will talk about factors inside and outside of your network that have been helpful or challenges to (name of network) achieving its policy advocacy goals. This group meeting will take approximately 1.5 hours. You will receive \$20 for participating in this one on one interview. Please let me know if you are interested in participating in this one on one interview. I truly appreciate you considering participating in this research. If you have any questions about this group interview or my dissertation research, please feel free to email me rcheezum@umich.edu or call me at 617-838-0079. I will give you a call to follow upon this email.

Recruitment – Interview email for youth

1st Email text:

My name is Rebecca Cheezum, and I am a doctoral student in the Health Behavior and Health Education department at the University of Michigan School of Public Health. For my dissertation research, I have been doing a series of case studies about youth-serving networks that are working to bring about policy change. The goal of this dissertation research is to develop a better understanding of the factors that are helpful or problematic to the effectiveness of youth-serving networks to bring about policy change and how youth are engaged in the process. This understanding can inform the practices of youth-serving organizations and networks, funders, and policy makers in order for youth-serving networks to successfully impact policies. One of the IOCs with which I have been partnering is (name of network) . I received your name and contact information from (contact or person who provided contact information) as someone who is a member or involved with (name of network). I am asking if you would be interested in participating in a one on one interview. During this interview, we will talk about factors inside and outside of your network that have been helpful or challenges to (name of network) achieving its policy advocacy goals. This group meeting will take approximately 1.5 hours. You will receive \$20 for participating in this one on one interview. Please let me know if you are interested in participating in this one on one interview. I truly appreciate you considering participating in this research. If you have any questions about this group interview or my dissertation research, please feel free to email me rcheezum@umich.edu or call me at

617-838-0079. I will give you a call to follow upon this email. I am also attaching a copy of a parental consent form. I will need to have this form signed by both you and your parent in order for you to participate in the focus group interview. I will give you a call to follow up on this email.

Interview telephone script for adults.

I am calling you about an email I sent on (date of email) . As I mentioned in the email, I am a
doctoral student at the University of Michigan in the department of Health Behavior and Health Education at the School of Public Health. For my dissertation research, I am doing a series of case studies about youth-serving networks that are working to bring about policy change. I hope that the results of my research will inform the practices of youth-serving organizations and networks, funders, and policy makers in order for networks to successfully impact policies. For this research, I am working with (name of network) . I am calling to invite you to participate in a one on one interview as part of my research. This interview will take about 1.5 hours. You will receive \$20 for your participation in this research at the end of the interview. Is this something you would be willing to do? Do you have any questions about what I am asking you to do? [If interested, I will about his/her availability for 3- 4 times in order to assist in scheduling the interview.]

Interview telephone script for adults.

I am calling you about an email I sent on (date of email) . As I mentioned in the email, I am a doctoral student at the University of Michigan in the department of Health Behavior and Health Education at the School of Public Health. For my dissertation research, I am doing a series of case studies about youth-serving networks that are working to bring about policy change. I hope that the results of my research will inform the practices of youth-serving organizations and networks, funders, and policy makers in order for networks to successfully impact policies. For this research, I am working with (name of network) . I am calling to invite you to participate in a one on one interview as part of my research. This interview will take about 1.5 hours. You will receive \$20 for your participation in this research at the end of the interview. Is this something you would be willing to do? Do you have any questions about what I am asking you to do? [If interested, I will about his/her availability for 3- 4 times in order to assist in scheduling the interview.] [if participant did not participate in focus group interview, in which case a form is already signed, the following will be read:] I have emailed you a copy of a parental consent form and a youth assent form. I will need to have this form signed your parent and you will need to sign the assent in order for you to participate in the interview. I can send thee forms again to you now.

Appendix D

Interview Questions

Coalitions Working to Change Policies that Affect Adolescents:

A Qualitative Study of Three Youth-Serving Coalitions

A dissertation by Rebecca R. Cheezum

Adult interview questions:

1. Please tell me about your network's policy advocacy goals.

Probes: Please describe its policy issues.

Please describe its policy advocacy goals.

2. Please describe some of the activities that your network has done to bring about a policy change?

Probes: Some examples might be talking with policy makers, organizing your IOC, testifying before boards, holding public meetings or rallies.

3. How, if at all, has your network worked with youth to bring about policy change?

7a. What has worked well in engaging youth?

7b. What, if any, challenges has your network faced in engaging youth?

7c. How, if at all, has engaging youth helped you in achieving your policy advocacy goals?

4. What, if any, factors within your network have made it easier or would have made it easier for your network to achieve its policy advocacy goals? (e.g. leadership, members' skills, availability of resources, how decisions are made)

3a. How did these internal factors help your network achieve its policy advocacy goals?

3b. How, if at all, has your network attempted to enhance these helpful factors that are internal to your network?

- 3c. How, if at all, have youth been involved in the efforts to enhance these helpful internal factors?
- 3d. How, if at all, do these internal factors affect the way in which youth are involved in your policy advocacy efforts?
5. What, if any, factors within your network have made it more challenging for your network to achieve its policy advocacy goals? (decision making practices, financial resources)
- 4a. How did these internal factors make it challenging for your network to achieve its policy advocacy goals?
- 4b. How, if at all, has your network attempted to address these internal challenges?
- 4c. How, if at all, have youth been involved in the efforts to address these internal challenges?
- 4d. How, if at all, do these internal challenges affect the way in which youth are involved in your policy advocacy efforts?
6. What, if any, factors outside your network (e.g economy, political context, school schedules) have made it easier for your network to achieve its policy advocacy goals?
- 5a. How did these factors help your network achieve its policy advocacy goals?
- 5b. How, if at all, has your network attempted to enhance these helpful factors that are external to your network?

5c. How, if at all, have youth been involved in the efforts to enhance these helpful external factors?

5d. How, if at all, do these external factors affect the way in which youth are involved in your policy advocacy efforts?

7. What, if any, factors outside of your network (e.g economy, political context, school schedules, discrimination) have made it more challenging for your network to achieve its policy advocacy goals?

6a. How did these external challenges make it more challenging for your network to achieve its policy advocacy goals?

6b. How, if at all, has your network attempted to address these external factors?

6c. How, if at all, have youth been involved in your network's efforts to address these external challenges?

6d. How, if at all, do these external challenges affect the way in which youth are involved in your policy advocacy efforts?

Additional probes to be used with any question:

- Please give me an example of that?
- Please give me an example from your network's last policy advocacy campaign?

Coalitions Working to Change Policies that Affect Adolescents:

A Qualitative Study of Three Youth-Serving Coalitions

A dissertation by Rebecca R. Cheezum

Youth interview questions:

1. Please tell me about your network's policy advocacy goals.

Probes: Please describe your network's policy issues.

Please describe your network's policy advocacy goals.

2. Please describe some of the activities that your network has done to change policy?

Probes: Some examples might be talking with policy makers, building your IOC, testifying before boards, holding public meetings or rallies.

3. Please tell me a little bit about what it has been like working on these policy advocacy activities?

3a. What is it like working with adults to achieve your network's policy advocacy goals?

3b. What has worked well in working with adults to achieve your network's policy advocacy goals?

3b. What, if any, problems have youth in your network faced in working with adults to achieve your network's policy advocacy goals?

3c. How, if at all, has working with adults helped your network in achieving its policy advocacy goals?

4. What, if any, things within your network have made it easier for your network to achieve its policy advocacy goals? (e.g. leadership, members' skills, availability of resources, how decisions are made)
 - 4a. How did these internal factors help your network achieve its policy advocacy goals?
 - 4b. How, if at all, has your network attempted to enhance these helpful internal factors?
 - 4c. How involved have youth been in the efforts to enhance these helpful internal factors?
 - 4d. How, if at all, have these helpful internal factors affected the way you and/or other youth are involved in your policy advocacy efforts??
5. What, if any, factors within your network have made it more problematic for your network to reach its policy advocacy goals? (decision making practices, financial resources)
 - 5a. How did these internal factors make it challenging for your network to achieve its policy advocacy goals?
 - 5b. How, if at all, has your network attempted to address these internal challenges?
 - 5c. To what extent, if at all, have youth been involved in any efforts to address these internal challenges?
 - 5d. How, if at all, do these internal challenges affect the way in which youth are involved in your network's policy advocacy efforts?

6. What, if any, factors outside your network (e.g. economy, political context, school schedules) that made it easier for your network to achieve its policy advocacy goals?
 - 6a. How did these factors help your network achieve its policy advocacy goals?
 - 6b. How, if at all, has your network attempted to enhance these helpful factors that are external to your network?
 - 6c. How, if at all, have youth been involved in the efforts to enhance these helpful external factors?
 - 6d. How, if at all, do these extent do these external factors affect the way in which youth are able to be involved in your network's policy advocacy efforts?

7. What, if any, factors outside your network (e.g. economy, political context, school schedules, discrimination) have made it more challenging for your network to achieve its policy advocacy goals?
 - 7a. How did these external factors make it more challenging for your network to achieve its policy advocacy goals?
 - 7b. How, if at all, has your network attempted to address these external challenges?
 - 7c. How, if at all, have youth been involved in your network's efforts to address these external challenges?
 - 7d. How, if at all, do these external challenges affect the way in which youth are involved in your policy advocacy efforts?

Additional probes to be used with any question:

- Please give me an example of that?
- Please give me an example of that from your last policy advocacy campaign?

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