How to Develop and Establish an Effective Program:
One Year Planning Phases as a Key to Success

NATIONAL INDIAN HEALTH BOARD
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Presenters

• The National Indian Health Board (NIHB) and the National Council of Urban Indian Health (NCUIIH) are operating under cooperative agreements with the Indian Health Service to provide training and technical assistance to Tribal and Urban Methamphetamine and Suicide Prevention Initiative partners respectively.

• This webinar represents a joint effort between the two organizations to deliver uniform concepts and materials to all MSPI/DVPI partners.
Learning Objectives

• By the end of this webinar, participants will be able to:
  ◦ Identify at least three vital activities to be completed during a planning year
  ◦ Identify at least three outcomes for a planning year
Agenda

• Welcome & Introductions
• Overview of Program Planning Phases (What is it and what is its purpose)
• Assessment (Importance of community needs assessment)
• Program Planning (The seven basic steps of program planning)
• Pre-Implementation (Transitions from planning to implementation)
• Questions and Closing
Approach

• Making an assumption
  ◦ One year planning phase as part of a larger and longer project or program
  ◦ That certain activities are necessary to accomplish within that one year in order to:
    ◦ Allow for appropriate program planning
    ◦ Ensure successful program implementation
    ◦ Satisfy funder requirements
Overview of Program Planning Phases
What is the Purpose?

- Demonstrate and/or justify the need for more comprehensive services
- Dedicated time for thoughtful and meaningful program planning and design
- Ensure alignment of resources to needs and program
- Lay the foundation for successful program implementation
- Eliminate potential barriers to implementation
What Planning Phases are Not

• Time to engage in normal and routine planning

• Used to explore implementation of an older or an existing program

• Staff hiring period
Paradigm Shift

PLAN ≠ DO
What are the Outcomes for a Program Planning Phase

• Most outcomes will be internal
  ◦ Alterations in internal processes
  ◦ Increase in staff knowledge
  ◦ Increase knowledge of the community
  ◦ Increased buy-in

• Easier to think about the outputs for a program planning phase
  ◦ Assessment results
  ◦ Program plan
Support innovative and new programming

Eliminate confusion between funders and grantees about outcomes & activities

Build a sustainable program

Realistic resource allocation

Dedicate time and resources to a proper assessment

Obtain community input into program design
Program Planning Process

**Assessment**
- Conduct assessment to identify:
  - at-risk populations
  - behaviors
  - factors contributing to risk
  - gaps in services
  - strengths
  - appropriate partners
  - methods to reach community

**Program Planning**
- Identify desired outcomes and activities to produce those outcomes
- Identify staffing and consultant needs
- Identify internal capacity building needs
- Prepare work plan, budget, and evaluation plan for implementation
- Write new policies and procedures
- Engage necessary collaborators
- Create Advisory Board

**Pre-Implementation**
- Hire new staff
- Obtain training for staff
- Create MOUs/MOAs to support implementation
- Create and test program materials
- Write final report on planning phase

Meet with Funder • Meet with Community Leadership • Evaluate Activities
Timelines

4 months

Assessment

6 months

Program Planning

2 months

Pre-Implementation
Assessment

National Indian Health Board

Excellence, Equity, Effectiveness
What is an Assessment?

• What is a Community-Based Assessment or Community Needs Assessment?
  ◦ Process of collecting, analyzing and reporting information about the needs in a community as well as its strengths and assets.
  ◦ Purpose: to identify unmet community needs and plan ways to meet them.
  ◦ Outcomes:
    ◦ Raise awareness
    ◦ Identify and prioritize areas for change
    ◦ Help community act on its own behalf
    ◦ Build skills
Steps in an Assessment

1. Establish Desired Outcomes
2. Identify Tools and Resources
3. Seek Buy-In from the Community

4. Develop Community Partnerships
5. Define the Focus
6. Determine the Data Needed
7. Determine Method(s) for Data Collection
8. Identify the Process of Analyzing Data
9. Determine what to do with Results
1. Establish a Basic Understanding of the Desired Outcomes

- What do you expect to learn from the assessment ...
  - Strengths vs. needs
  - At-risk populations
  - Factors contributing to risk
  - Issues important to the community
  - Gaps in service
  - Appropriate program partners
  - Methods to reach the community

- Specific to your focus area (i.e. MSPI)
2. Identify Tools and Resources for the Assessment

• Align the desired outcomes with assessment tools and resources
  ◦ In-depth explanations and examples
  ◦ Sample documents and worksheets

• Example Resources:
  ◦ Community Tool Box
  ◦ Centers for Disease Control and Prevention (CDC)
  ◦ UCLA Center for Health Policy Research
  ◦ Missouri Association for Community Action
  ◦ Substance Abuse and Mental Health Services Administration (SAMHSA)
  ◦ Community Action Partnership
  ◦ Loyola University Center for Urban Research and Learning
  ◦ Community Commons
3. Seek Buy-In from the Community

- Engage Tribal leaders, elders, youth, health providers and the general community
- Build platform for a community driven assessment
- Gage feedback on desired outcomes
- Explain why the assessment is important and how it will address issues of concern
- Forms of Communication:
  - Directed meetings
  - Informational flyers
  - PSA’s
  - Social media
  - Community forums
- Continue to actively involve Tribal community members throughout the assessment
Assessment

4. Develop Community Partnerships
5. Define the Focus
6. Determine the Data Needed
7. Determine Method(s) for Data Collection
8. Identify the Process of Analyzing Data
9. Determine what to do with Results
4. Develop Community Partnerships for Assessment

- Identify Stakeholders:
  - Core group of individuals and organizations with vested interest in the assessment.

- Forming Partnerships that ..
  - Pool resources and skills
  - Diversify group to expand reach
  - Added assurance to meeting needs of community

- Assess the individual/organization for capacity of the partnership

- Identify benefits and risks of partnership
5. Define the Focus of the Assessment

• Identify and Prioritize Community Issues
  ◦ Identify behavioral health issues that each of the partners, their families or clients are concerned about

• Define the Roots of the Problem(s)

<table>
<thead>
<tr>
<th>Example Goal</th>
<th>Example Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Examine community behavioral health needs and identify possible community-based program solutions.</td>
<td>1. Examine existing evaluation data from years 1-4 of MSPI program in month one to determine most effective programming/activities.</td>
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<td>2. Conduct four to six focus groups with leaders of community-based health organizations in month two to identify program challenges, success stories, and possible future collaborations.</td>
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<td>3. Disseminate and evaluate 300 surveys completed by community members in month 3 and 4 to identify unmet health needs and possible programmatic solutions.</td>
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</table>
6. Determine the Data Needed

- Articulate the primary questions to be answered

<table>
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<th>Examples:</th>
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<td>1. What local BH services do residents use the most? Least?</td>
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<td>2. Are those services accessible to people?</td>
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<td>3. Which identified issues are most address by local services/programs? Least?</td>
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<td>4. What kinds of associations, networks, clubs, and volunteer groups exist in community?</td>
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<td>5. Among the identified issues, which are currently most important to community members?</td>
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<td>6. Which activities are community members most likely to get involved in?</td>
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6. Determine the Data Needed

- Identify what type of data is needed

- Types of Data
  - Opinions, priorities
  - Aspirations, motivations
  - Level of awareness, knowledge, attitudes or beliefs
  - Behaviors, practices
  - Assets, skills
  - Networks, associations
  - Needs, fears, problems, concerns
  - Services or resources provided
  - Community utilization of services
  - Rates of disease/illness
  - Sale transactions, purchases
  - Policies
  - Pictures/visuals
  - Maps
6. Determine the Data Needed

- Select the types of data that address each primary question

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<th>Type of Data</th>
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<td>1. What local BH services do residents use the most? Least?</td>
<td>Behaviors/opinions</td>
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<td>2. Are those services accessible to people?</td>
<td>Behaviors/opinions/services &amp; resources provided/policies</td>
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<td>3. Which identified issues are most address by local services/programs? Least?</td>
<td>Services &amp; resources provided/utilization of services &amp; resources/opinions</td>
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<td>4. What kinds of associations, networks, clubs, and volunteer groups exist in community?</td>
<td>Level of awareness &amp; knowledge</td>
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<td>5. Among the identified issues, which are currently most important to community members?</td>
<td>Level of awareness &amp; knowledge/opinions &amp; priorities</td>
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<td>6. Which activities are community members most likely to get involved in?</td>
<td>opinions priorities/behaviors</td>
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6. Determine the Data Needed

• Identify Data Sources
  ◦ Where can you get each type of data identified for your priority questions?

• Examples:
  ◦ Tribal Health Department
  ◦ Vital statistics – birth certificates & death certificates
  ◦ Hospital/clinic records
  ◦ Tribal Epidemiology Centers
  ◦ Area Indian Health Boards
  ◦ Tribal Government
  ◦ Schools
  ◦ Tribal Colleges
7. Determine Methods for Collecting Data

- Identify what new data needs to be collected
  - New Data = Primary Data

- Select the appropriate data collection methods
  - Given time, staffing, resources and skills
  - Examples of Data Collection Methods:
    - Asset mapping
    - Focus groups
    - Key informant interviews
    - Surveys
    - Community forums
    - Rapid appraisal techniques

- Keep on track with the decisions made within Steps 5 & 6:
  - Focus of the assessment & goals and objectives
  - Primary questions & types of data needed
8. Identify the Process of Analyzing the Data

• Now that you have the data – what does it mean?

• Acquainting yourself with the process of data analysis allows you to become a good “user” of data

• Understanding your data ...
  ◦ Is your data practical for analysis?
  ◦ Are your data collection methods appropriate?
  ◦ How does the structure of your questions effect the results of the analysis?
  ◦ Do you need help with the analysis?
9. Determine What to do with the Results

• Identify assessment products to effectively communicate the results
  ◦ Examples:
    ◦ Written reports
    ◦ Report summaries/executive summaries
    ◦ Presentations
    ◦ Community forums
    ◦ Recommendations
    ◦ Fact sheets
    ◦ Policy briefs
    ◦ Newspaper articles

• Identify target audiences and present your findings
• Determine next steps...
9. Determine What to do with the Results
Program Planning

7 BASIC STEPS
Step 1: Assemble a Team: Create Advisory Board(s)

• Program Planning is a Team effort!!

• Include local community members and stakeholders (include youth)
  ◦ Make sure that your community’s voice is heard
  ◦ Can provide perspective and Buy-in

• Include program staff, as feasible
  ◦ Staff experience is rich source of information
Step 2: Develop a Plan (of Action)

- Develop a Program Model
  - Identify your blueprint
    - What are your goals, objectives, methods, etc.?
    - Identify the Behaviors, Skills, Knowledge, Attitudes, etc. to evaluate
  - Use a Logic Model
Create a Logic Model

• Why?
  ◦ To help organize, design, implement and evaluate a program
  ◦ To help determine your framework/ structure
    ◦ Inputs/ Resources
    ◦ Outputs/Activities
    ◦ Outcomes (short, med, long)
    ◦ Impact/ Goals
Identify Measurable Objectives

SMART Objectives

• **Specific** - What exactly are we going to do, with or for whom?
• **Measurable** - Is it measurable and can we measure it?
• **Achievable** - Can we get it done in the timeframe, for this amount of money?
• **Relevant** - Will this objective lead to the desired results?
• **Time-framed** - When will this objective be accomplished?
Types of Objectives

• Process: Tell what you are doing and how you will do it
• Outcome: Tell how you will change attitudes, knowledge, or behavior in short term
• Impact: Explain long-term implications of program
Possible Stumbling Blocks

- Writing too many objectives
- Unrealistic expectations
- Can’t show effect of intervention on population served
- Numbers are too small
Inputs / Resources

• Include resources dedicated to or used by program
• Includes, but not limited to:
  ◦ Money
  ◦ Staff, staff time
  ◦ Volunteers, volunteer time
• Example: Attending a Parent Education class for staff training
Activities

• What the program does with inputs to fulfill its mission

• Includes, but not limited to:
  ◦ Strategies
  ◦ Techniques
  ◦ Types of treatment that comprise program’s service methodology

• Example: Providing health screenings to the Homeless
Outputs

• Direct products of program activities
• Measured by volume of work
• Examples include:
  ◦ Number of classes taught
  ◦ Number of counseling sessions conducted
  ◦ Number of participants served
• Intended to lead to desired benefits
Outcomes

• Any Benefits, changes for individuals or populations during, and/or after participation in program

• May relate to:
  ◦ Behavior
  ◦ Skills
  ◦ Knowledge
  ◦ Attitudes
  ◦ Etc.
Goals

• What is the overall purpose of your program or intervention? - A clear solution
• The goal directs all components of the logic model
• Include the intended results in general terms
• Specify the target population you intend to serve
• Example: Improve the health status of AI/AN youth, ages 12-18 in Fairfax County
Reasons to Use a Logic Model

• Make sense/simplify perspectives
• Plan future programming
• Look at the whole picture
• Utilize a common language
• Communication tool
• Write proposals
• Helps reporting standardization
Program Goal: To provide women with instruction, resources and assistance in finding affordable and convenient access to information, services and programs so that they can successfully participate in prevention and early detection of breast cancer.

<table>
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<tr>
<th>RESOURCES</th>
<th>ACTIVITIES</th>
<th>OUTPUTS</th>
<th>OUTCOME</th>
<th>GOAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>YourLibrary</td>
<td>Conduct community classes about breast cancer prevention</td>
<td>Three breast cancer awareness classes offered to community</td>
<td>Women who attend the community classes and/or use the website for information will be more empowered to take steps to prevent breast cancer</td>
<td>Women who attend the class and access the website will take steps to reduce their risk of breast cancer</td>
</tr>
<tr>
<td>Local Public Health Dept</td>
<td>Enhance library web sites about resources (local and national) regarding breast cancer screening and detection</td>
<td>Total number of women attending the classes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Hospital Library</td>
<td>Educate public librarian reference staff in the use of health information resources to answer questions about breast cancer</td>
<td>Use of library website resources regarding health</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local chapter of the American Cancer Society</td>
<td></td>
<td>One in-service instructional session for public librarians about answering health information questions</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Total number of library staff attending the in-service</td>
<td></td>
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</table>
Step 3: Develop a Work Plan Proposal

- A timeline of reference for Steps to implement Program Logic Model Plan
  - Based on your objectives, activities, etc.
  - (may not always be linear)

- Helps to identify staffing and consultant needs
  - Who is responsible for each Task/Goal and When

- Brings a structure to the Plan- Start, Middle, Finish
Step 4: Prepare a Budget Proposal

- Based on determined staffing, goals, and evaluation needs
- Should link to your activities and outcomes
  - Cost to deliver a training
  - Cost of evaluator’s time
  - Supplies needed for events or activities
  - Etc.
Remember to account for internal capacity building needs!!!

- What are your existing assets or resources?
- What are the current staffing needs and their responsibilities
  - Provides an idea of any GAPs
Step 5: Develop Evaluation Plan

What is Evaluation??

- **Evaluation** is the systematic investigation of the merit, worth, and significance of any ‘object’
  - Michael Scriven
Why Evaluate??

- Evaluation for program improvement
- Best use of resources
- Funding agency requirements
- Etc...
Step 6: Develop Evaluation Plan

- Who should be your evaluator?

- Integrated with program planning process
  - Should incorporate into Logic Model

- What is the purpose of the evaluation?
  - i.e. What’s the Question?

- What tools relate to your outcomes?
  - No need to re-invent the wheel, if feasible
  - Select and/or Develop Collection Procedures and Instruments to be used
Process vs Outcome Measures of Evaluation

- Process measures include many aspects of your program
  - Members who participate
  - Planning products
  - Media coverage
  - Financial resources
  - Services ultimately provided
  - Community actions
Example Process Measures

Implementation

• Measures aspects of the program process (participants, interactions, activities, etc)
  ◦ Number of participants
  ◦ Number of sessions conducted/ service provided
  ◦ Advisory Board meeting outcomes
  ◦ Planning/ Curriculum products
  ◦ Satisfaction/ Experience (usefulness, appropriateness, etc)
  ◦ Challenges/ Strengths
Process vs Outcome Measures of Evaluation

- Outcome measures include effects of Program
  - Change in behavior
  - Changes in health practices
Example Outcome Measures

**Impact**

- Any benefits/changes during and/or after program participation
  - Hope measurement
  - Ethnic/Multi-cultural Identity
  - Self-esteem
  - Alcohol use/SA knowledge
  - Identification/awareness of Meth or Suicide %
  - Anything based off of curriculum objectives
  - Satisfaction (usefulness, appropriateness, etc)

**Baseline data collection (pre-program)**
Data Collection Method/ Types

• Quantitative
  ◦ Examples- Test, Surveys

• Qualitative
  ◦ Examples- Focus Groups, Interviews, Photos/ Videos, Surveys
Step 7: Engage Necessary Collaborators

- Who/What is needed to help bring about success
- Building a Solid Base of Support
- How to engage
- Coordinating facilities and on-site events
Other Steps:

• Development of Policies and Procedures
  ◦ May require updates to current organizational/departmental P & P
  ◦ Leads to better adoption of strategy/change
  ◦ New mandate requirements put in place

• Pilot testing your evaluation tool(s)
Pre-Implementation
Purpose of Pre-Implementation

• Transition from planning to implementation

• Shift back to program performance paradigm
  ◦ Get back into ‘DO’ mode
Staffing

• Hire new staff or transition planning staff to implementation staff
• Obtain training for staff
• Vet consultants (for evaluation or implementation)
  ◦ Create consultant contracts
Collaborations

• Create MOUs/MOAs to support implementation

• Advisory Boards
  ◦ Define new role/purpose for advisory board
  ◦ Create new advisory boards (client advisory board, youth advisory board, provider advisory board, etc.)

• Create referral network to support program implementation and behavior change
Materials Development

- Facilitators Materials
- Online Materials
- Social Marketing
- Recruitment
- Evaluation Materials
- Participant Materials
- Audio Visual Materials
Rolling Out Materials

Design 

Develop 

Test 

Refine 

Go Public
Other Pre-Implementation Activities

- Locating space and resources to perform activities
- Having staff practice with program materials
- Market the program
- Update community leadership as to plans moving forward
- Complete cultural adaptations or components
- Begin looking for other resources to sustain the program
  - Or create new programming based upon assessment results
Final Planning Phase Report

• Helpful
  ◦ For new staff
  ◦ Submit as final deliverable
  ◦ Provide to stakeholders as evidence of work
  ◦ Use in other grant applications

• To include:
  ◦ Process and results of assessment
  ◦ Outline of program plan
  ◦ Established collaborations and partnerships
  ◦ Success and challenges
  ◦ What is remaining for implementation
Ready for Implementation

Meet with Funder • Meet with Community Leadership • Evaluate Activities
• Community Toolbox, http://ctb.ku.edu/en
• Centers for Disease Control and Prevention (CDC), http://www.cdc.gov/nccdphp/dch/programs/healthycommunitiesprogram/tools/change.htm
• UCLA Center for Health Policy Research, http://healthpolicy.ucla.edu/Pages/home.aspx
• Loyola University Center for Urban Research and Learning, http://www.luc.edu/curl/
• Community Commons, http://www.communitycommons.org/
• CDC’s Prevention Training Centers, http://nnptc.org/
In Closing

• Planning phases are wonderful opportunities to connect with the community and create something new

• A good assessment is key

• Involvement and communication of community, leadership, partners, consultants, funder, and a full staff are important

• Planning phases are not meant for program implementation

• AND…
Ready to Go!!!!
Questions & Comments
Thank you!

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