Social Assessment, Participatory Planning and Situation Analysis

PRECEDE-PROCEED

1. Predisposing, Reinforcing, and Enabling Constructs in Educational/Ecological Diagnosis and Evaluation
   - PRECEDE
2. Policy, Regulatory, and Organization Constructs in Educational and Environmental Development
   - PROCEED

PRECEDE-PROCEED

1. Predisposing Factor
   - Any characteristic of a person or population that motivates behavior prior to the occurrence of the behavior
2. Enabling Factor
   - Any characteristic of the environment that facilitates action and any skill or resource required to attain a specific behavior. Absence of the resource blocks the behavior; barriers to the behavior are included.
PRECEDE-PROCEED

- Reinforcing Factor
  - Any reward or punishment following or anticipated as a consequence of a behavior, serving to strengthen the motivation for or against the behavior

Phase 1: Social Assessment

- Subjectively defined problems and priorities of individuals or communities.

Quality of Life

Social Indicators:
- Absenteeism
- Crime
- Happiness
- Unemployment
- Achievement
- Crowding
- Legitimacy
- Votes
- Alienation
- Discrimination
- Performance
- Welfare

Health-Related Quality of Life Measures:
- Healthy Days Measures (BRFSS & NHANES)

Definition of Social Diagnosis or Social Assessment

- ...the process of determining people’s perceptions of their own needs or quality of life, and their aspirations for the common good, through broad participation and the application of multiple information-gathering activities designed to expand understanding of the community.

Quality of Life

- "the perception of individuals or groups that their needs are being satisfied and that they are not being denied opportunities to pursue happiness and fulfillment."

Social Assessment

- Helps:
  - Identify and interpret the social conditions and perceptions shared at the community or organizational level
  - Make the connection between those conditions/perceptions and health promotion strategies
Definition of Situation Analysis

- A series of steps preceding the actual planning process, to assess the rationale, resources and basis for planning.
- Determining the vision, beyond health outcomes, that might be served by the health program.
- Finding ways to engage and obtain the commitment of other sectors.

Participation

- Essential in social assessment.
- Also important in the overall planning process.
- Community needs to be viewed as and be partners with health professionals.

The Principle of Participation

- People learn better, are more likely to assume ownership and responsibility for, and are more likely to apply and maintain programs or services developed with their active participation than those developed without it.
- Social diagnosis depends for its educational effects on participation.

The Partnership Approach to Social Assessment/Diagnosis

- Paulo Friere described 2 theoretical approaches to community change:
  1. Cultural Invasion – imposing one’s (leader’s) own agenda.
  2. Cultural Synthesis – no imposed priorities/agenda; leaders and people collaborate in the development of priorities and guidelines for action.
The Variable Lenses of Health Professionals and Lay People

Closing the Gaps Between Public's & Practitioners' Perception of Needs, and Scientific & Policy Assessments

Reconciling Perceived Needs, “Actual Needs,” & Resources
## Steps in Social Diagnosis

- Community self-study with maximum feasible participation
- Documentation of quality-of-life concerns
- Decision on priorities
- Development of vision statement and broad goal(s) for program to be planned

## Strategies for Social Assessment

### Assess assets
- Strengths; resources; assets mapping
- Situational analysis—examining resources and conditions that currently exist.

### Assess capacity
- Community readiness/capacity/competence
- Social capital—processes and conditions among people and organizations that lead to accomplishing a goal of mutual social benefit

## Strategies for Social Assessment

- **Social reconnaissance method**
  - Method for determining relevant aspects of the social structure, processes, and needs of a community
  - Interviews with leaders and key informants
    - Identify needs
    - Prioritize needs
    - Organize or mobilize community
    - Studied identified needs
    - Develop plan of action
    - Find resources
    - Action
    - Evaluate
Strategies for Social Assessment

- Group processes
  - Nominal group process
  - Delphi method
  - Focus group
- Survey
  - Beliefs
  - Perceptions
  - Knowledge
  - Attitudes

Conducting a Needs and Assets Assessment

- Collect secondary data (sources of info that already exist in a community)
- Identify info/data still needed
- Collect primary data
  - Which method(s) want/able to use? (Triangulation)
  - Surveys, Interviews, Focus Groups, Delphi Technique, Nominal Group Process, Analysis of News Articles
- Map needs/problems and assets*
- Validate & Benchmark
- Prioritize
- Report Findings

Asset Mapping

<table>
<thead>
<tr>
<th>Primary Building Blocks</th>
<th>Secondary Building Blocks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual Assets</td>
<td>Organization of Services</td>
</tr>
<tr>
<td>Skills, talents, experiences</td>
<td>Schools</td>
</tr>
<tr>
<td>Individual businesses</td>
<td>Hospitals</td>
</tr>
<tr>
<td>Home-based enterprises</td>
<td>Institutions of higher ed.</td>
</tr>
<tr>
<td>Personal income</td>
<td>Social services agencies</td>
</tr>
<tr>
<td>Gifts of labeled people</td>
<td>Private and Nonprofit Orgs.</td>
</tr>
<tr>
<td></td>
<td>Parks</td>
</tr>
<tr>
<td></td>
<td>Vacant land, commercial &amp; industrial structures, housing</td>
</tr>
<tr>
<td></td>
<td>Energy and waste resources</td>
</tr>
</tbody>
</table>

*Map needs/problems and assets refers to identifying both the needs and assets within a community for effective planning and resource allocation. The asterisk (*) may indicate a note or emphasis on the importance of mapping both aspects.
Facilitation Steps

• What's the issue?
• What are the concerns?
• What are some possibilities to address concerns?


Facilitation Steps (continued)

• What criteria are used to judge them?
• What action items will be selected?
• Do the actions address the issue?


Facilitation Techniques

• Generating ideas
  – Brainstorming
  – Snow cards
• Analyzing and choosing ideas
  – Hand votes
  – Nominal group
  – Force field/"fishbone"
Brainstorming

• Free wheeling
  – Group members call out ideas
  – Record ideas on flip chart

• Round robin
  – Each participant offers ideas
  – OK to pass

Brainstorming (continued)

• Paper
  – Each participant writes ideas on
    index cards
  – Ideas are recorded on flip chart or
    wall

Brainstorming Goal

• Generate as many ideas as possible
• Quantity over quality – for now
Brainstorming Guidelines

• Write down every idea, even “crazy” ones
• Make it fun
• Don’t judge, criticize, or evaluate ideas

Brainstorming Guidelines (continued)

• Encourage participation
• Build on others’ ideas
• Be clear and quick

Snow Cards

• A type of brainstorming
• Useful for reflection and/or anonymity
• Can be used to show patterns and categories
How Snow Cards Work

Snow Card Procedures
- Define the question or issue
- Distribute 20 cards or post-its per person
- Ask each person for up to 5 ideas

Snow Card Procedures (continued)
- Read ideas out loud
- Sort ideas
  - Participants
  - Facilitator
Voting “Yes” or “No”

- Voting may cause us to take a position that may be hard to change.
- Yes-or-no voting discourages conflict and discussion.

Hand Votes: An Alternative

5 – Yes! I agree! No more discussion. Let’s move on…
4 – It’s OK with me. I can support the group.
3 – I’m on the fence. Let’s keep talking.
2 – I really don’t know. I need to talk a lot more.
1 – No way, no how! Forget it!!

Thumbs

- **Up**: I’m enthusiastic and will support it. Let’s move on.
- **Neutral**: I’m not wild about it, but I can support it and will do so publicly.
- **Down**: I disagree and can’t support this.
Using Hands/Thumbs

• Gauge the group’s need for moving on or more discussion
• Encourage “win-win” compromises and solutions
• Use conflict and disagreements in a healthy way

Nominal Group Votes

• Encourage expression of everyone’s opinion
• Ensure privacy and avoid “peer pressure”
• Reach a decision everyone can support
• Move on to action

Nominal Group: How to Do It

• Record ideas, suggestions, criteria, etcetera on a flip chart
• Number them
• Give each participant 5 cards
Nominal Group: How to Do It (continued)

• Assign one card to each of top 5 ideas

• Give 5 points to best idea, 4 to next, etcetera (e.g., Idea #14, 5 points)

• Facilitator tallies votes and reports to group

Shortening the List: Dot Votes

• Two sets of dots for each participant
  – 5 red
  – 3 blue

• Vote for 5 top choices (or all 5 red dots for best one)

• Then, vote for 3 top choices

Analyzing Data Collected

■ Participation is important in interpretation.
■ Stay focused on the purpose.
■ Look for connections.
■ Identify themes and connect them to theory and research.
■ Promote trust.
## Importance of Social Assessment

- Provides opportunity for community ownership of the initiative
- Helps put health problem into perspective among other problems and concerns
- Gives ultimate program outcomes or targets meaning for other sectors and non-health agencies, thus gaining their support
- Helps the program compete for resources among demands on the community’s resources
- Health is not an end in itself