

## Social Assessment, Participatory Planning and Situation Analysis

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## PRECEDE-PROCEED

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

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## PRECEDE-PROCEED

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- Predisposing Factor
  - Any characteristic of a person or population  
that motivates behavior prior to the  
occurrence of the behavior
- 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.

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## 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

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## Phase 1: Social Assessment

### Quality of Life

- Subjectively defined problems and priorities of individuals or communities.

#### Social Indicators:

- |                |                |                  |
|----------------|----------------|------------------|
| - Absenteeism  | - Achievement  | - Alienation     |
| - Crime        | - Crowding     | - Discrimination |
| - Happiness    | - Illegitimacy | - Performance    |
| - Unemployment | - Votes        | - Welfare        |

#### Health-Related Quality of Life Measures:

- Healthy Days Measures (BRFSS & NHANES)

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## 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.

Green & Kreuter, *Health Program Planning*, 4th ed., N.Y.: McGraw-Hill, 2005, Ch. 2.

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## 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.”

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Maslow's Hierarchy of Needs



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## 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

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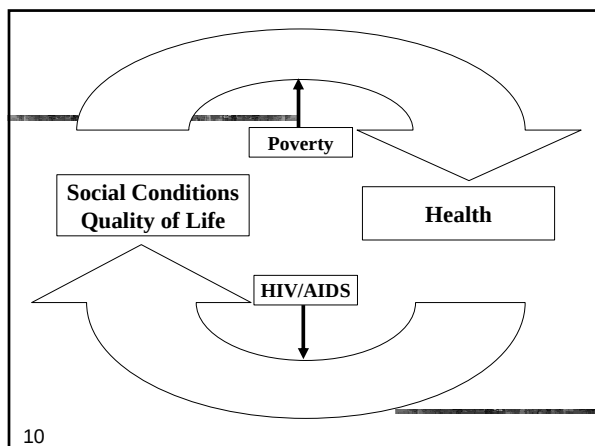
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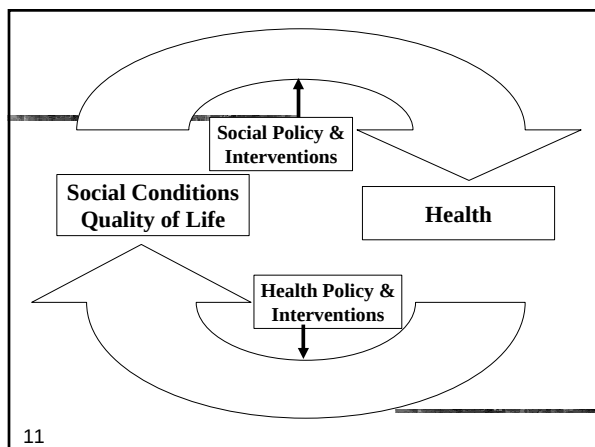
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## Definition of Situation Analysis

- 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.

Gray & Kreuter, *Health Program Planning*, 4th ed., N.Y.: McGraw-Hill, 2005, Ch. 2.

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## Participation

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

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## The Principle of Participation

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



Green & Kreuter, *Health Program Planning*, 4th ed., NY: McGraw-Hill, 2005, Ch. 2.

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## 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.



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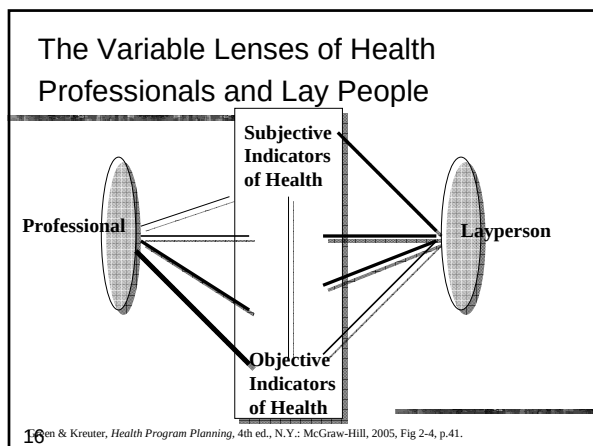
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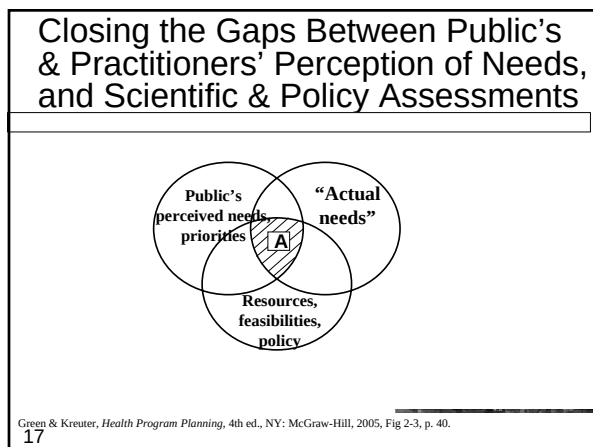
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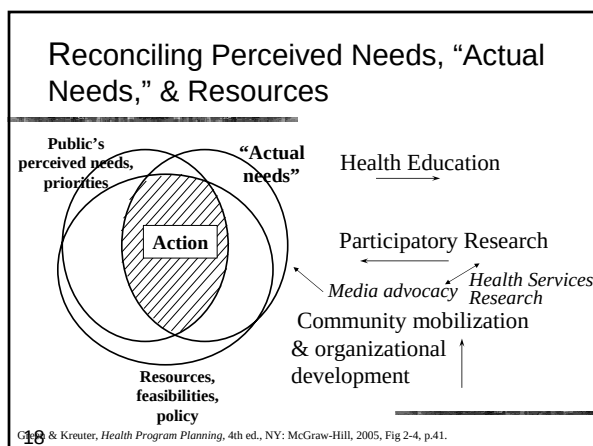
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## Steps in Social Diagnosis

- 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

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## 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

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## 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

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## Strategies for Social Assessment

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

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## 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

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## Asset Mapping

### Primary Building Blocks

Individual Assets  
Skills, talents, experiences  
Individual businesses  
Home-based enterprises  
Personal income  
Gifts of labeled people

Organizational Assets  
Associations of businesses  
Citizens associations  
Cultural organizations  
Communications orgs.  
Religious organizations

### Secondary Building Blocks

Private and Nonprofit Orgs.  
Institutions of higher ed.  
Hospitals  
Social services agencies

Public Institutions and Services  
Public schools  
Police and fire departments  
Libraries  
Parks

### Physical Resources

Vacant land, commercial and industrial structures, housing  
Energy and waste resources

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## Facilitation Steps

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

Source: Gregory Putz. *Facilitation skills: Helping groups make decisions*. Deep space technology company, 1988.

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## Facilitation Steps (continued)

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

Source: Gregory Putz. *Facilitation skills: Helping groups make decisions*. Deep space technology company, 1988.

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## Facilitation Techniques

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

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## Brainstorming

- Free wheeling
  - Group members call out ideas
  - Record ideas on flip chart
- Round robin
  - Each participant offers ideas
  - OK to pass

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## Brainstorming (continued)

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

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## Brainstorming Goal

- Generate as many ideas as possible
- Quantity over quality – for now

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## Brainstorming Guidelines

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

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## Brainstorming Guidelines (continued)

- Encourage participation
- Build on others' ideas
- Be clear and quick

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## Snow Cards

- A type of brainstorming
- Useful for reflection and/or anonymity
- Can be used to show patterns and categories

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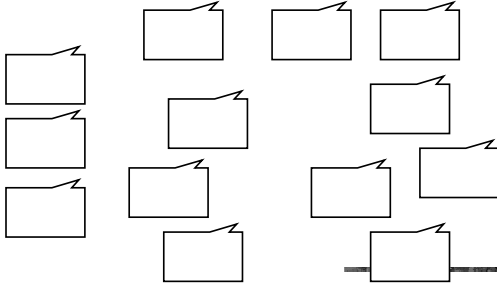
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## How Snow Cards Work



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## Snow Card Procedures

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

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## Snow Card Procedures (continued)

- Read ideas out loud
- Sort ideas
  - Participants
  - Facilitator

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## 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

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## 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!!

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## 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.

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### 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

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### 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

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### Nominal Group: How to Do It

- Record ideas, suggestions, criteria, etcetera on a flip chart
- Number them
- Give each participant 5 cards

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### 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

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### 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

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### 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.

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## 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

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