Fiscal Management

Grant Writing

Strategic Planning

Needs Assessment

Program Development

Technology Development

Human Resources

Volunteer Management

Surviving an Audit

Program Evaluation

Board Development

Faith-Based Leadership Development

Starting a Nonprofit

Leadership Development

PROGRAM DEVELOPMENT

NATIONAL MINORITY AIDS COUNCIL

Dear Colleague,

On behalf of the National Minority AIDS Council (NMAC), thank you for picking up this manual and taking a step toward increasing your capacity in this struggle. As we enter the third decade of HIV/AIDS, it is more important than ever to develop our skills and knowledge to better serve our communities and our constituents.

NMAC, established in 1987 as the premier national organization dedicated to developing leadership within communities of color to address the challenge of HIV/AIDS, recognizes the challenge before all of us and works to proactively produce and provide skills-building tools to our community. One such tool is the manual that you hold in your hands.

The Technical Assistance and Training Division's mission to build the capacity and strength of community-based organizations, community-planning groups for HIV prevention, and health departments throughout the United States and its territories is supported through a multifaceted approach. This approach includes individualized capacity-building assistance, written information (manuals, publications, and information provided through NMAC's website and broadcast e-mail messages and interactive learning experiences (trainings). All components are integral to providing a comprehensive capacity-building assistance experience, as opposed to offering isolated instances or random episodes of assistance.

After undergoing a revision of existing curricula and publications, and an expansion of our current catalog of subject areas to include more organization infrastructure topics, NMAC is proud to present you with this new manual, Program Development. One of 15 topic areas in which we provide capacity-building assistance, this manual will provide you with detailed information, resources and the knowledge to enhance your capacity to provide much-needed services in your community.

Our hope is that this revised manual will give you the skills and knowledge to increase your capacity and serve your community at a greater level than ever before. Please feel free to contact us if you would like further information on what other services we can provide to you and your community.

Yours in the struggle,

Paul Akio Kawata
Executive Director

Contents

Preface

Organizational Effectiveness

Successful community-based organizations (CBOs) can attribute their success to employing 15 key components that support organizational effectiveness. See the model below.

Ongoing learning and training in each of these areas will allow your organization to meet the needs of your constituents.

For information regarding training in any of these areas, contact the National Minority AIDS Council's Technical Assistance, Training and Treatment Division by telephone at (202) 234-5120 or by e-mail at ta_info@nmac.org.

ORGANIZATIONAL EFFECTIVENESS MODEL

Organizational Effectiveness

Board Development
Faith-Based Leadership Development
Fiscal Management
Grant Writing
HIV Prevention Community Planning
Human Resources
Leadership Development
Needs Assessment
Program Development
Program Evaluation
Starting a Nonprofit
Strategic Planning
Surviving an Audit
Technology Development
Volunteer Management

Introduction

Purpose

Quality program development must be supported by a well-thought-out and documented plan of action. The purpose of this manual is to provide a step-by-step outline of the planning process that communities, groups and organizations should follow to develop action plans and successful programs.

Learning Objectives

Upon completion of this manual, learners should be able to:

✓ Identify the steps and explain the importance of program development.
✓ Explain why program planning is essential to program development.
✓ Describe how knowledge of program development can support community organization design and prevention program implementation.
✓ Explain what a needs assessment determines and how the information it generates can be used in program planning.
✓ Describe what should be included in a needs assessment.
✓ Explain the steps for conducting a needs assessment and describe how this information will be applied in the context of an organization.
✓ Identify who can conduct a needs assessment and prepare a list of possible recommendations.
✓ Explain ways that a program assessment is useful and describe how the assessment can enhance service delivery.
✓ Develop a needs assessment questionnaire.
✓ Explain why mission statements are essential.
✓ Write an effective mission statement.
✓ Explain why program goals are necessary.
✓ Explain how to write realistic, time-framed and measurable goals.
✓ Write realistic, time-framed and measurable goals.
✓ Write attainable program objectives.
✓ Identify the major sources of funding.
✓ Identify ways to develop and improve relationships with funding agencies.
✓ Explain why assigning leadership roles is an essential step in building successful programs.
✓ Understand the different leadership styles and identify styles that support your organization's mission.

PROGRAM DEVELOPMENT

An ongoing, comprehensive planning process used to establish programs supported by a well-thought-out and -documented plan of action.

PROGRAM IMPLEMENTATION

The stage in program planning where you develop procedures for carrying out tasks.

✓ Identify factors that influence good leadership and design activities for implementing leadership-development training and group maintenance roles.

✓ List the characteristics of a good leader.

✓ Explain the relationship between successful programs and competent leadership.

✓ Explain why program design is integral to overall program planning.

✓ Explain the major components of an action plan.

✓ Describe your interventions, outline the services that comprise your interventions and present the activities you will engage in to implement the interventions.

✓ Describe how your interventions will be implemented and by whom.

✓ Explain the importance of program implementation and outline an implementation plan for a program.

✓ Identify the elements of program design necessary to ensure the successful implementation of program activities, and explain why they are important.

✓ Explain program evaluation and describe how it is useful for making programmatic decisions in a program.

✓ Describe the purpose of conducting evaluations and explain how each purpose can impact a program.

✓ Explain impact assessment and identify which areas you would like to have an impact on AIDS/HIV prevention and other sexually transmitted disease-prevention programs.

Pre-training Assessment

This Pre-training Assessment is an opportunity for you to check your knowledge against the information that will be addressed in this manual. Take this test now and again when you have finished the manual. Answers are found on page 91.

Pre-training Assessment

Please circle the following statements either True or False.

1. **True**　**False**　The first step in planning a needs assessment is to decide who will conduct the study.

2. **True**　**False**　A needs assessment identifies the extent and type of existing problems in your community and the services available.

3. **True**　**False**　Outside consultants are the only ones capable of performing a needs assessment.

4. **True**　**False**　Collecting data on historical development helps you understand your community's growth patterns and population distribution.

5. **True**　**False**　Demographic data includes information such as age, characteristics, size, and race.

6. **True**　**False**　A needs assessment determines whether resources are adequate.

7. **True**　**False**　Dividing the responsibilities in creative ways may help in performing a cost-effective needs assessment.

8. **True**　**False**　One of the disadvantages in using volunteers to help with needs assessments is that they may present a biased interpretation of what the community needs.

9. **True**　**False**　A profile of the population you intend to serve should be included in the needs assessment.

10. **True**　**False**　A needs assessment is an essential part of the planning process when designing successful community initiatives.

UNIT 1:

Introduction

Purpose:

This unit explains program development as an ongoing comprehensive planning process used to establish programs.

Learning Objectives:

By the end of this unit, learners will be able to:

✓ Explain the importance of program development.

✓ Explain why program planning is essential to program development.

✓ Describe how knowledge of program development can support community organization design and help implement prevention programs.

✓ Identify the steps and describe the importance of program planning in program development.

I. What Is Program Development?

Program development is an ongoing, comprehensive planning process used to establish projects. Quality program development is supported by a well-thought-out and -documented plan of action. This manual provides a step-by-step outline of the planning process to be used by communities, groups or organizations to develop successful programs. Written in plain language, this is a resource that assists in designing and implementing programs. It is created so that you will understand what a program is designed to do, what steps are required to design the program, what resources are required to implement your plans and what measures can be used to determine whether you have successfully achieved your goals.

Planning is an important step in the program development process. Often when we hear "program planning," we think of a lengthy formal document filled with statistics, charts and technical reports. In fact, planning can be as simple or as complex as you desire, though an elaborate document is usually unnecessary. Nevertheless, you will need a planning strategy that requires identifying goals and objectives, conducting a needs assessment to analyze the situation, setting priorities based upon the needs identified, identifying stakeholders and resources, designing an action plan, implementing that plan and assessing your level of achievement.

GOAL

The final outcome of a long period of activity. Goals describe how the program will affect the target population and should be SMART (specific, measurable, achievable, realistic and time-framed.

ACTION PLAN

The summary of what you and others in your organization will do to achieve your objectives.

PROGRAM PLANNING

A strategy that involves identifying goals and objectives, conducting a needs assessment to analyze the situation, setting priorities based upon the identified needs, identifying stakeholders and resources, designing an action plan, implementing the plan, and assessing the level of achievement.

II. Program Development Pre-test

Directions: Using the scale shown below, indicate your level of proficiency for each of the following as a pre-test assessment.

Level of Proficiency: 1 = No Understanding; 2 = Basic Understanding; 3 = Moderate Understanding; 4 = Full Understanding

Course Objectives	Level of Proficiency Pre-test
Understand the benefits of program planning for program development.	
Identify and define terms used in the program development process.	
Understand the steps in program development.	
Explain the importance of the needs assessment.	
Locate appropriate resources to implement program development activities.	
Develop a networking system for support when carrying out program planning activities.	
Develop mission, goals and objectives statements.	
Organize materials for program development.	
Use the Internet to locate needed resources and appropriate funding sources.	
Understand how to conduct a needs assessment.	
Identify factors associated with good leadership.	
Establish linkages and collaborations with other community change agents.	
Implement sound program design principles.	
Understand the principles of process evaluation.	
Understand the importance of identifying.	
Able to write a SMART goal.	
Able to develop a sound budget.	
Use sound management strategies in developing a staffing plan.	
Able to write a capability statement.	
Can construct intervention timelines.	

III. Why Is Program Development Important?

Program development is essentially a road map, an action plan that provides the guidance needed to develop and build effective community programs. As an action plan, program development is an ongoing and continuous process. Because your program is fluid and likely to change depending on your needs, it should continue to evolve. As we are charting a course for change, program development allows us to document each action or step so that we are able to conduct needed assessments and determine areas where modifications may be needed. In program planning, we identify major needs, set objectives, establish priorities and generally chart a direction for growth and development. Program planning also allows us to identify shortcomings and weaknesses and chart a new course of action should priorities and needs change. Not only does the planning process allow us to keep track of where we have been, but also continues to guide us in the direction we should be going. It tells us where we intend to go next. Equally important in the program planning process is the need to identify stakeholders and develop a sense of mutual ownership in successful goal achievement and outcomes.

IV. Content of the Program Plan

Planning need not be a cumbersome, lengthy process; it should be brief and written in plain language. It should define what the program is designed to do, the resources required and the measures that will be used to determine whether the program is achieving your objectives. The key to success is a systematic, realistic planning effort rather than a glossy, formal planning document.

LEADERSHIP

The process by which an individual causes a group to follow and accomplish certain objectives.

EVALUATION

The systematic collection and analysis of data needed to make decisions. Program evaluation provides information needed to determine the effectiveness of a project for participants, documents that objectives have been met, provides information about service delivery that will be useful to staff and other audiences, and enables staff to make changes that improve program effectiveness.

CAPABILITY STATEMENT

A measure of your organization's ability to achieve its mission, goals and objectives.

INTERVENTION

A collection of activities that make up a program, such as a workshop, a video, a stage show or one-on-one counseling sessions.

V. The Planning Process

The planning process provides the foundation for sound decision-making in setting program priorities and using resources. By necessity it involves gathering, analyzing and interpreting data; identifying community needs, concerns and assets; and communicating the results. Program planning is an ongoing, comprehensive process that is intended to improve effectiveness. Prioritizing needs is a critical part of program planning. Members of planning groups are expected to follow a logical method to determine their highest priority. Planning should reflect an open, candid and participatory process that is inclusive of differences in cultural and ethnic background, perspective, and experiences. Planning produces priorities that are responsive to community-validated needs. Initiatives developed with input from affected communities are likely to be successful in garnering the necessary public support for effective implementation.

Questions to Be Addressed During the Planning Process

Planning Steps	Planning Issues
Conduct Needs Assessment	What HIV/AIDS problems does the community need to address?
	What are the high-risk populations in your community?
	What populations are at greatest risk? What are its met needs? What are its unmet needs?
Develop Goals	What results can be achieved in the next year? In the next three years?
Identify Resources	What resources does the program need to achieve its goals?
	What social networks, educational institutions, businesses or other community-building activities are available to address the problems?
Assign Leadership Tasks	Who will be responsible for each part of the program?
	How will the program be led and coordinated?

Planning Steps	Planning Issues
Implementation, Linkages and Collaborations	What relationship do you need to establish with other social service agencies, community organizations and faith-based organizations? Does this program fit with others? What procedures will keep the program on track?
Identify Funding Sources	Where will the money come from?
Conduct Evaluation	How can you determine whether you have met your objectives?
Program Revision	What changes are needed to improve the program?

VI. Program Development: The Seven-Step Model

Step 1: Conduct Needs Assessment

Tasks: Describe your target audience, identified problem, program planning process and need for your agency to address the problem.

Key Players Responsible: Program planner

Products: Worksheets: Questions to Include in your Questionnaire; Collecting Data on Existing Organizations

Step 2: Develop Mission, Goals and Objectives

Tasks: Develop goals that accurately reflect potential solutions to the problems found during the needs assessment. Establish realistic goals that describe how the program will affect the target population.

Key Players Responsible: Program planner

Products: Worksheets: Write your Mission Statement; Write your Goal Statement

QUESTIONNAIRE

A list of questions to be asked.

MISSION STATEMENT

A sentence that states the fundamental guide for all future program-development decisions and includes: the purpose or needs your group will address, the business of your group, your guiding values, and who will benefit from your work.

Step 3: Identify Funding Sources

Tasks: Determine how much money is needed and develop a list of funding sources.

Key Players Responsible: Executive director; finance expert; grant writer

Products: Worksheets: Resource Identification; Webbing Forms

Step 4: Assign Leadership Tasks

Tasks: Identify perspectives and people who will lead each step.

Key Players Responsible: Department director; executive director

Products: Worksheet: Program Planning Team Roaster

Step 5: Design Program

Tasks: Establish the details of your final program. Identify collaborators. Describe your staffing needs. Determine how you will evaluate it and how much it will cost. Create a budget that includes salaries and benefits, shared costs, program costs, and indirect costs.

Key Players Responsible: Program planner; program planning team and staff

Products: Worksheets: Interventions; Process and Outcome Objections; Intervention Timeline; Collaboration and Coordination; Evaluation Plan; Staffing Plan; Budget

Step 6: Implement Program

Tasks: Conduct media campaign, recruit volunteers, develop collaborations and implement activities.

Key Players Responsible: Program director and staff

Products: Worksheets: Media Campaign; Volunteers; Management

Step 7: Evaluate Program

Tasks: Identify how you will verify documents and qualify program activities and their effects.

Key Players Responsible: Program director or program evaluation consultant

Products: Worksheet: Outcome and Efficiency Questions

UNIT 2:

The Needs Assessment

Purpose:

This unit explains the purpose of conducting a needs assessment and explains how program assessment can be useful in documenting programs and their effects, determining gaps and unmet needs and improving the service delivery in your community. A needs assessment helps determine what programs and services your community needs. It also provides planners with information needed for prioritizing goals according to the identified needs.

Learning Objectives:

By the end of this unit, learners will be able to:

✓ Explain what the needs assessment determines and how this information can be used in program planning.

✓ Describe what should be included in a needs assessment.

✓ Explain the steps in conducting a needs assessment and describe how this information will be applied in the context of your organization.

✓ Explain who can conduct a needs assessment and prepare a list of possible recommendations.

✓ Explain ways that a program assessment can be useful and describe how the assessment can enhance service delivery.

✓ Develop a needs assessment questionnaire.

I. What Is a Needs Assessment?

A needs assessment determines what programs and services your community needs. This assessment is an essential part of the planning process when designing successful community initiatives. It also provides planners with the information needed to prioritize goals according to identified needs. The needs assessment determines:

✓ What needs exist in the community.
✓ What group (who) needs the services.
✓ What other programs and services already exist to address the problem.
✓ How the user community is changing.
✓ Whether resources are adequate.

II. Steps in Assessing Needs

What Are the Steps in the Needs Assessment?

The four steps in the needs assessment process require that you determine who will conduct the study, what kind of information needs to be collected, how the information will be collected and how the information will be used.

The following should be included in the needs assessment process:

✓ An overview of your community.
✓ A profile of the population you intend to serve (your "target" population).
✓ A risk profile of the target population that includes information on risk factors for HIV infection, substance abuse and/or related problems.
✓ Data on the current trends of the HIV/AIDS epidemic in your community, especially HIV transmission and new HIV infections. For example:
  – Local data on relevant risk behaviors, such as use of alcohol and other drugs, use of injection drugs, prevalence of sexually transmitted diseases and use of condoms.
  – Other data related to safer sex practices.
  – Other local epidemiological data related to HIV transmission.
✓ An assessment of resiliency and protective factors. Include information on individual protective factors, family protective factors and community protective factors.

✓ Current capacity of local service providers. You should examine or determine what services are already available in your community.

✓ Unmet needs. Identify the gaps in community services that you intend to fill.

✓ Relevant services needed by your target population. Identify other services needed by your target population, such as transportation, educational/vocational/employment services and child care.

Before performing a needs assessment, you must decide who will conduct the study. A needs assessment study can be carried out by outside consultants and volunteers. Available resources, your time frame and your comfort level with performing research may influence your decision.

Outside consultants have expertise in conducting research studies. They provide objectivity in the needs assessment process by offering an outsider's view. Since consultants are experienced at performing research, this option can make better use of your limited time. The primary disadvantage of using outside consultants is the cost. Consultants are your most expensive option.

Using volunteers from the community is another possibility. Volunteers don't cost anything. However, one of the disadvantages in using volunteers to help with needs assessments is that they may present a biased interpretation of what the community needs. Thus, it is important to select volunteers who reflect a broad cross-section of the community. In addition, it may be difficult to find volunteers who are willing to devote their time to this process and who have previous experience in this type of research.

> **BUDGET**
>
> Exhibits that provide justification for all subcontract expenses, listed by line item.

You need to weigh the pros and cons for each method and decide which will be the most effective approach for your organization. Often, budget is the major factor restricting your choices. It may be a good idea to use a combination of these methods. For example, you might hire a consultant to help you set up the needs assessment study, but then use volunteers to actually implement the study. Dividing the responsibilities in creative ways may help in performing a cost-effective needs assessment.

A needs assessment helps you identify the extent and type of existing problems in the community, the services available and the unmet needs. In even simpler terms, a needs assessment is a process to determine the need, which can be defined as the gap between the problem and the efforts, resources and programs that exist to deal with the need.

You must also decide what you hope to learn about your community and what kind of information you plan to collect. For example, do you hope to perform a broad-based study or one that is focused on your problem? Some of the categories of information you may be interested in collecting include:

Historical development: To help you understand how the community became what it is today and to provide insight into the kinds of resources you need to collect and those that you need to weed out.

Geographical and transportation information: To help you understand your community's growth patterns and population distribution.

Demographic data: To help you recognize which groups make up the population of your community, identify population distribution changes, and collect information such as age, characteristics, size, race and transience of the population.

Economic data: To help you identify your community's economic base.

Social, cultural, educational and recreational organization: To help you determine your community's values and social patterns.

Ways to Conduct a Needs Assessment: Choosing the Approach

Community Forums and Hearings

This approach is designed around a series of public meetings and relies on information from key groups and individuals within the general population.

Advantages:

✓ Easy to arrange.
✓ Least expensive approach.
✓ Educates attendees.
✓ Describes needs to public to obtain validation.
✓ Allows citizen input.
✓ Data easily available at low cost.

Disadvantages:

✓ Attendees may not represent the population in need of services.
✓ Attendees' perceptions of need may be incorrect.
✓ Can turn into a "gripe" session.
✓ Can raise expectations too high.

Social Indicators

This approach is based on inferences, estimates of need drawn from descriptive data found in public records, and reports such as crime statistics, employment and disease.

Advantages:

✓ Vast existing data pools.
✓ Low cost.
✓ Flexible design.
✓ Foundation on which to build other needs assessments.

COMMUNITY FORUMS

A means of collecting information about the needs of the community through a series of public meetings. They may rely on information from both key informants and people in the general population.

SOCIAL INDICATORS

An approach to data collection that relies on inferences, estimates of need drawn from descriptive data found in public records, and reports such as crime statistics, employment, poverty indicators and health status.

Disadvantages:

✓ Must verify with other evidence that need really exists.
✓ Data are only indirect measures of need.
✓ Personal or class bias of researchers can be introduced.
✓ Few indicator series have been developed; therefore, specialized staff skills are required to create them.

Service Provider Surveys

Research is directed at those who actually provide services to a population in your community (administrative program staff at other agencies).

Advantages:

✓ Provides information on problems or service needs which may not be widely recognized.
✓ Validates information on existing community resources.
✓ Helps develop an overview of existing problems.
✓ Simple and inexpensive.

Disadvantages:

✓ Problems identified may reflect cultural or class biases of providers rather than real problems.
✓ Data may reflect needs only of those already being served.
✓ Needs identified may reflect vested interests of providers.

Key Informant Surveys

This research activity collects information from those who are not participants in the service delivery system but who represent and speak for various constituencies in the community, such as clergymen, elected officials, advisory group members and commissioners.

Advantages:

✓ Provides for simple and inexpensive input of many well-placed individuals.
✓ Identifies problems that can become public issues and receive widespread exposure.
✓ Indicates programs likely to be supported — or opposed — by community leaders.
✓ Highlights issues of importance to vocal and active segment of community.

Disadvantages:

✓ Identification of problems may stem from political or personal sensitivity.
✓ May exclude some leaders who should have been included.
✓ May exclude parts of community having no access to a leader.

Surveys

Based on a collection of data from a sample or the entire population of a community, this approach is designed to elicit information from respondents about their needs.

Advantages:

✓ Most scientifically valid and reliable approach.
✓ Most direct way to learn the information on needs of individuals.
✓ Expands way to obtain information found through other techniques.
✓ Flexible costs and timeframe, depending on whether general or target population is surveyed.

Disadvantages:

✓ Most expensive approach.
✓ Individuals chosen may be reluctant to respond.
✓ Requires extreme care in selecting a sample.
✓ Requires specialized research skills.
✓ Can require greatest amount of time.
✓ Choice of methods (person-to-person, mail, telephone) must be clear and applicable to your community.

SURVEY

Research technique based on a collection of data from a sample or the entire population of a community. This approach is designed to obtain information from respondents about their needs

III. Suggestions for Developing a Questionnaire

Your questions and concerns should be clearly addressed in your questionnaire. The wording should be your own, but you might use the following questions to stimulate ideas about what to include in your questionnaire. If you plan to interview several categories of respondents (e.g., youth and adults), you will need to develop a distinct survey for each type. It is extremely helpful to pre-test your questionnaire with several people you know before finalizing it and beginning the interviews.

INTERVIEW

A conversation between two (or occasionally more) individuals in which one party attempts to gain information from the other(s) by asking a series of questions.

Sample Questions

✓ What are the problems that affect residents in your community?

✓ Are any of these problems related to HIV/AIDS or other sexually transmitted diseases?

✓ Are any of these problems related to alcohol or drug abuse?

✓ Which drugs are used the most? The least?

✓ What are the characteristics of alcohol and other drug users (age, habits, hangouts or role models)?

✓ At what age do young people begin engaging in promiscuous sexual behavior?

✓ In what contexts and settings are people more likely to use alcohol and other drugs?

✓ What community norms may exist that promote HIV/AIDS or other sexually transmitted diseases?

✓ What norms and practices exist which help protect individuals from engaging in risky behaviors?

✓ Do patterns of HIV/AIDS exposure and infections reflect ethnic differences?

IV. Researching Existing Programs

You should also perform an inventory of prevention programs and services already operating in your community. In doing so, you should not duplicate the work of others, but look for opportunities to collaborate with other groups and ensure that your efforts complement what is already being done.

Once you have collected information on the extent of the problem, its impact on the community and existing programs and services, planners must decide which problems need the most attention.

In your own words, list some questions you might include in your questionnaire:

_____

_____

_____

_____

_____

How to Design a Questionnaire that Is Easy to Administer and Answer

✓ Include on the first page: identification number; interviewer identity; interviewee address, name and telephone number (for making appointment); introduction; list for contact and outcome; and respondent selection key.

✓ Print questions on one side of paper only.

✓ Make the introduction short, non-threatening and simple.

✓ Ask warm-up questions first. These are the ones that are the least sensitive or most interesting to respondent. For example, length of time at current residence or respondent's opinion about community problems.

✓ Ask demographic questions last. Don't ask them if you don't need the information.

✓ List the questions in a logical sequence.

✓ Use transitions such as "Now, here's a different kind of question…" or "Turning to another subject…" They dispel boredom and allow you to change subjects easily.

✓ Use "Now, here are a few final questions," to indicate the end is in sight.

✓ Do not crowd the questionnaire page with too many questions.

✓ Keep format consistent throughout the questionnaire.

✓ Ask only as many questions as you need. (Twenty questions will take no longer than 10 minutes to answer. A well-spaced 10-page questionnaire takes 30 minutes to answer.)

✓ Use white paper for the body of the questionnaire.

✓ Use colored pages to mark the beginning of different sections for the interviewer, who might have to skip a whole section if it's not applicable to the respondent.

✓ Use symbols to guide the interviewer through the questionnaire (an ellipsis indicates a pause, an asterisk indicates the answer leads to another question, arrows indicate direction, vertical lines separate or group items together).

✓ Write instructions for interviewer in capital letters; box them or put them in parentheses.

✓ Leave room in the left-hand margin for coded column and response numbers.

✓ Provide several lines to answer open-ended questions.

✓ Line up responses vertically. This makes it easier to respond and input.

✓ Use horizontal listing of responses when several questions have identical response categories.

✓ Use small dots (…) to guide the eye across the page toward the space for answers.

✓ End the questionnaire with "Thank you."

Source: Public Management Institute, 358 Brannan Street, San Francisco CA 94107, (415) 896-1900.

Collecting Data on Existing Programs and Services

Name: _____

Contact Person: _____

Telephone Number: _____

E-mail: _____

Address: _____

Project Title: _____

Project Description: _____

Audience Targeted by Project: _____

Does program have a clear non-use policy and message?   ❏ Yes ❏ No

Services Provided (Check all that apply)

❏ Prevention ❏ Intervention ❏ Both ❏ Education ❏ Legislative Action
❏ Referral ❏ Networking ❏ Alternative Funding ❏ Activities ❏ Training
❏ Treatment ❏ Counseling ❏ Skill Building ❏ Programs for Related Problems
❏ Support Group

Notes: _____
_____
_____
_____

Source: Public Management Institute, 358 Brannan Street, San Francisco, CA 94107, (415) 896-1900.

UNIT 3:

Developing Mission, Goals and Objectives

Purpose:

This unit explains the purpose of conducting a needs assessment and how program assessments can be useful in documenting programs and their effects, determining gaps and unmet needs, and improving the service delivery in your community. A needs assessment helps you determine what programs and services your community needs. It also provides planners with information needed for prioritizing goals according to the needs identified.

Learning Objectives:

By the end of this unit, learners will be able to:

✓ Explain why mission statements are essential.

✓ Write an effective mission statement.

✓ Explain why program goals are necessary.

✓ Explain how to write realistic, time-framed and measurable goals.

✓ Write realistic, time-framed and measurable goals.

✓ Write attainable program objectives.

I. The Mission Statement

After completing a needs assessment, you will have the information you need to develop reasonable goals. You should establish goals that accurately reflect potential solutions to the problems found during the needs assessment. After successfully completing the needs assessment, you should be ready to define the underlying assumptions and expectations on which the program depends for its success. You should be able to answer the questions of "how" and "why" the program's concept will bring about the intended results. Once stakeholders have agreed on the basic premise of the program, they should develop a formal mission statement. The program mission is the fundamental guide for all future program-development decisions. The mission statement must be written so that it reflects the ideals of the people working in and for your organization. Everyone should feel ownership in, value and be committed to the mission of the organization.

The mission statement should be brief, clear and concise. It should state the organization's name, that it is a nonprofit, the type of organization, what it does, for whom and where.

Example: BMCC is a community-based, 501(c)(3) nonprofit agency committed to reducing the incidence of HIV/AIDS by delivering comprehensive education and outreach services to all Jacksonians infected and affected by HIV/AIDS.

Effective mission statements have four parts:

✓ Purpose or needs that the your group will address
✓ The business of your group
✓ Your guiding values
✓ Who will benefit from your work

Purpose

Usually indicates a desire to effect a change in status and identifies the problems or conditions to be changed. It generally focuses on outcomes and results. Key words are reduce, improve, decrease, increase and enhance.

Example: To reduce the incidence of HIV/AIDS.

Business

This statement outlines your business activity or program. It should include action words such as provide and may include linking words such as by or through.

Example: By educating and advocating HIV/AIDS prevention.

Values

This statement communicates what your group members hold in common and are attempting to implement. It is the basic shared belief of an organization.

Example: We are committed to reducing the incidence and spread of HIV/AIDS.

Beneficiaries

This part of the mission statement identifies who will receive the services and who will benefit from the implementation of those services.

Example: Among high-risk populations.

Your Mission Statement Should:

✓   Communicate your purpose in a way that inspires support and ongoing commitment.
✓   Motivate those who are connected to the organization.
✓   Articulate a concept in a way that is convincing and easy to grasp.
✓   Use proactive verbs to describe what you do.
✓   Be free of jargon.
✓   Be short enough so that anyone connected to the organization can readily repeat it.

Mission Statement Exercise

Write your mission statement. Be sure to include the purpose, business, guiding principle(s) and beneficiaries.

Purpose: _____

_____

Business: _____

_____

Guiding Principles: _____

_____

Beneficiaries: _____

_____

II. Setting Goals

Establishing realistic goals that describe how a program will affect its target population is essential to solving the identified problem. You must develop specific strategies to achieve those goals based on evidence about methods that have demonstrated success with the program's target population.

Next, state your program's ultimate objectives in measurable terms. This sets the stage for analyzing program results later on. The project goal statement should be the driving force behind the project. It should be the cornerstone against which everything done on the project is measured. A good project goal statement is SMART:

✓ Specific
✓ Measurable
✓ Achievable
✓ Realistic
✓ Time-framed

✓ **Specific:** A specific goal is usually better than a general goal. The specific goal should be as precise and detailed as possible, stating exactly what the project aims to achieve. It should be phrased using action words such as "plan," "construct" and "execute." A specific goal should answer the questions who, what, where, when, which and why. As an example, a general goal would state, "Get your education." A specific goal would state, "Get accepted and enroll in a four-year university and take at least twelve hours of classes per semester."

✓ **Measurable:** If you cannot measure it, you cannot control it. In other words, a goal must be quantifiable. The goal statement is a yardstick for the project; if the goal is completed, the project is a success. Measuring progress keeps you focused on the goal. A good way to measure your goal is to ask questions such as "How much?" and "How many?" and "How will I know when my goal is accomplished?" There are usually several temporary or small measurements that can be built into your goal. Since words such as "improve," "increase" and "reduce" can be misinterpreted; whenever you include them, be sure to incorporate the ways in which they will be measured. For example, you may want to state the number of persons targeted for services. It is also important to avoid jargon because this also is easily misinterpreted. When your progress is measured properly, it becomes easier to stay on track and meet target dates.

✓ **Agreeable:** Your goal should be achievable, acceptable and agreed upon. You should be able to recognize its strong points and weak points. These things can be used to increase your level of achievement. Everyone in the organization does not have to agree that the project is essential and pleasing. But those who have made a commitment to

the project must agree that the project is needed. Recognizing goals that are of significance to you amplifies your likelihood of accomplishing them. You can achieve almost any aim when you set specific and measurable goals. Those goals that you thought were impossible soon become possible.

✓ **Realistic:** A goal must correspond to a task that you have the motivation and capability to complete. A goal must be doable. Do not plan to do something if you cannot follow through. In addition, make sure you set your goals high. The higher the goal, the greater the motivation, and the greater the motivation, the higher your chances of completion. But, make sure the skills required to perform the work are obtainable. A good way to determine workable goals is to look back on past projects and see whether they were possible, or so farfetched that they would never have worked.

✓ **Time-framed:** A goal must have a beginning and an end. Very little is ever accomplished without a deadline, and one of the easier parts of setting a goal is establishing the deadline. This is particularly true of work that is piled on top of everything else you do on a daily basis. Building the delivery deadline into the project goal keeps it in front of the team and lets members of the organization know when they can expect to see results.

Exercise: Set Your Organization's Goal Using the SMART Technique

Write your organization's goal: _____

_____

_____

Characteristic	Variables to Achieve	Your Goal
Specific	✓ Who — is involved? ✓ What — do we want to accomplish? ✓ Where — is the program located? ✓ When — do we expect to complete? ✓ Which — requirements and constraints? ✓ Why — specific reasons, purpose or benefit of accomplishing the goal?	
Measurable	✓ How much or how many?	
Agreeable	✓ Do team members agree with the goal?	
Realistic	✓ Is it doable?	
Time Frame	✓ Timeline	

III. Developing Objectives

People tend to think of goals and objectives as the same thing. But in planning, these words carry different meanings. A **goal** is the final outcome of a long period of activity. It sets the directions for the work to be performed. An **objective** is a specific accomplishment to be achieved during a given period. It helps attain the goal by translating a general purpose into a series of specific, manageable steps. For example, the basic question in developing objectives for preventing HIV/AIDS is, "What quantifiable results can be achieved in the near future?" In effect, the objectives associated with a given prevention goal are really the milestones that must be attained in reaching that goal.

Objectives are written in quantifiable terms so there is no question about when and whether they have been achieved. For example, if an HIV/AIDS-prevention program proposes to distribute materials to at-risk groups, it is useful to specify a set number of at-risk people designated to receive the literature. Without a target number, the objective might be perceived as fulfilled if two-dozen people received brochures or seen as unmet even though half the community received the pamphlets.

Setting Goals Identifies the Amount of Work Needed

Specifying a quantifiable target to reach in a given amount of time also helps planners select objectives that are realistic and attainable. By using specific numbers, a list of objectives identifies exactly how much work has to be completed to meet your goals.

Setting Objectives Allows You to Divide the Work into Manageable Amounts

Dividing the work into manageable amounts will help planners identify the resources required and establish deadlines for obtaining them.

Setting Objectives Requires Careful Thought

Begin with a goal that has a high priority for the community. List all the short-term conditions that must be attained to reach that goal. Next, select those results from the list that can be achieved during the first six months of the program's operation; during this process, it is better to underestimate rather than overestimate what can be accomplished. When this short list of results is completed, select the results that could not be achieved during the first six months but could be achieved during the first 12 months. This produces a list of six- and 12-month objectives; items on the list that cannot be achieved during the first year are

classified as long-term objectives. Compare each six-month and 12-month objective against the following checklist:

✓ Does the objective specify a single quantifiable result?
✓ Are there ways to determine that the quantifiable result has been met?
✓ Does achievement of the objective contribute to meeting the goal?
✓ Can the objective reasonably be achieved within the timeframe allowed?
✓ Is achievement of the goal likely, given resources available for the program?

If the answer to any of these questions is "no" or "maybe," planners should modify the lists of six-month and 12-month objectives until all the objectives can pass the checklist. Repeat the process for each of the goals identified during the previous planning step. This can be time-consuming, but it's worth it because the result is a thoroughly considered, reasonable time-table of planned accomplishments. The effort exerted in the systematic process of developing objectives often reaps important benefits in terms of adequate resources, financing and community support for your program. It will also increase morale among team members who know they are approaching — or exceeding — the results targeted during planning.

UNIT 4:

Identifying Funding Sources

Purpose:

This unit offers effective strategies for identifying funding sources to support programmatic mission, goals and objectives. The success of your program may very well depend on the ability to obtain resources. You may not be able to obtain all the resources you need through voluntary contribution or networking, so some resources will have to be purchased. It is important early on to identify sources from which you will be able to get the money needed to successfully implement your program.

Learning Objectives:

By the end of this unit, learners will be able to:

✓ Identify major sources of funding.

✓ Identify ways to develop and improve relationships with funding agencies.

I. Funding Sources

The success of your program may very well depend on the ability to obtain resources to support programmatic mission, goals and objectives, so identifying funding sources is a very important step in the program planning process. You may not be able to obtain all the resources you need through voluntary contributions or networking, so some resources must be purchased, which is why funding sources are critical to success. These include foundations; local, state and federal government; and other benevolent organizations. Other sources for funding community programs include community fund-raising, foundation grants, and government grants and contracts.

Generally, it takes at least 12 months to obtain funding, so it is important to identify early on the sources early on from which you hope to receive the money needed to successfully implement your program. However, first you have to determine how much money is needed. See Unit 6 for more information on developing a budget.

II. Community Fund-Raising

Local fund-raising can take a variety of forms, from requests for donations from community businesses, organizations, clubs and philanthropies to direct mail addressed to concerned citizens. Successful nonprofits specify exactly how the requests will be used to provide services to the community since local donors prefer to know how their money will be used and what needs it will alleviate.

Community fund-raising is initiated in a process called webbing. Webbing consists of building a network of supporters for your organization. (See page 44 for a sample webbing form.) Generally, you will need to determine who your supporters are, whom they know and what they can do for you. Proposal writing skills coupled with a web of contacts and advocates can make the difference between success and failure. Complete a data contact form for all possible supporters. (See page 33 for a sample Resource Identification Form.) This way you will have readily available a bank of resources that can be used to solicit resources and support from the community.

Once you have identified people, organizations, businesses or groups that can serve as resources, you should communicate with them to identify the kind and amount of resources and services they would be willing to offer in support of your program. Webbing

GRASSROOTS FUND-RAISING

Efforts to raise money on a broad basis from individuals or groups from the local community. Usually an organization's own constituents — people who live in the neighborhood served by or are clients of the agency's services — are the sources of these funds. Grassroots fund-raising activities include membership drives, raffles, auctions, benefits and a range of other activities.

DONORS

Groups or organizations that provide an additional source of funding and other resources for your program and may including foundations; local, state and federal organizations; and individuals.

can also help you identify non-monetary resources such as speakers, support groups and sources of referrals for your program.

You should also develop relationships with funding agencies. There are a number of methods that can be used to develop relationships. When attempting to raise money through grant proposals, it is very important to build peer-to-peer relationships. You should attempt to build a relationship with the decision-maker, although the funder representative may have considerably more power. Most decision-makers want to be treated as a peer. Each decision-maker is unique, with his or her own standards, priorities, interests and degrees of power in the grant-making decision. Your task is to determine who in the organization has decision-making authority and how, in a non-obstructive fashion, you can obtain that person's support.

Initiating the first contact can sometimes be difficult and perhaps a little awkward. You should attempt to present your organization in its best light. This means proof-reading your letters and proposals, spelling names correctly, tracking who works at what foundation and so forth. However, remember no program is perfect; you should be honest and list the areas that need improvement as well as your strengths. When acknowledging weaknesses, mention your strategies for overcoming them and your plans for improvement. Professionalism means treating everyone with courtesy, regardless of job title or status.

Below are some ways to develop and improve relationships with funding agencies:

✓ Write letters to donors.
✓ Attend workshops and other training opportunities that donors sponsor.
✓ Communicate with donors over the phone or by e-mail to discuss some of your major needs.
✓ Attend conferences at which donor representatives are scheduled to speak.
✓ Send notes, questions or suggestions to the sponsors.
✓ Order specialized publications about the sponsors.
✓ Get sponsors' e-mail addresses and send them notes containing information in which they might be interested.
✓ When possible, obtain donor travel schedules to determine availability of representatives to speak to your organization.
✓ Ask the representatives to serve as project advisors or member of your board.
✓ Acquire samples of the most successful programs they have funded.
✓ Ask them to review a proposal you are considering submitting for funding.
✓ Ask them to provide technical training for your organization.
✓ Send them a copy of any of your organization's noted accomplishments or special publicity.
✓ Have your name or agency added to their mailing lists.
✓ Ask them to share with you the most common reasons they reject requests for support.
✓ Ask them what they look for in a good program (how they measure success).
✓ Ask them to mentor you or refer you to someone who will be able to support your organization's growth and development.
✓ Ask them to review your needs assessments and determine if the identified needs fit in their philanthropic mission.

GRANT

A financial assistance award made to an organization in the name of a principal investigator to assist the organization in conducting research or other programs as specified in an approved proposal. A grant — as opposed to a cooperative agreement — is used whenever the awarding office anticipates no substantial programmatic involvement with the recipient during the performance of the activities.

III. Foundation Resources

If you are unable to acquire all of the needed resources to operate your program from local sources, you may need to obtain additional funding from foundation and government grants. Many foundations are interested in assisting community-based organizations in developing and expanding their programs to meet local needs. But obtaining funding from these resources can be very competitive.

Sample Resource Identification Form

Exercise: Developing data on existing programs and services

Practice completing the form yourself. Make modifications to the form to meet your specific program needs and send to people, organizations or business representatives identified and placed in your resource identification bank. Add other information to this form as you deem necessary.

Name of Organization or Group ⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

Name of Contact Person ⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

Telephone Number ⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

Address ⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

Project Title ⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

Project Description ⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

Audience Targeted by Project ⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

Service is Primarily: ❏ Prevention ❏ Intervention ❏ Both

Service Involves:

❏ Education ❏ Legislative action ❏ Referral ❏ Networking ❏ Outreach
❏ Funding ❏ Skill building ❏ Treatment ❏ Support group ❏ Counseling
❏ Related programs ❏ Other (specify) ⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

Notes ⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯⎯

Source: Public Management Institute, 358 Brannan Street, San Francisco CA 94107, (415) 896-1900.

Sample Webbing Form

Instructions: Answer these questions as completely as you can. The information you provide is confidential and will be used only to help us expand our fundraising base. Return this form to _____

by _____. Thank you for your help.

1. List five people, organizations or businesses that you feel can afford to make a donation, contribution or gift to our organization.

    a. _____

    b. _____

    c. _____

    d. _____

    e. _____

2. Would you be willing to speak with any of the names listed above on our behalf? If yes, please identify which one(s). _____

    _____

3. If applicable, are any of your customers or suppliers known to be involved in local philanthropy efforts?   ❏ Yes   ❏ No

    If yes, which one(s)? _____

4. Have you ever helped this organization or any other receive a gift of more than $500?   ❏ Yes   ❏ No

    Please describe _____

5. Of what social, fraternal, athletic, civic or other clubs are you a member?

    _____

6. What is your educational background (college, date of graduation, degrees)?

    _____

7. To what church or synagogue do you belong? _____

    _____

8. Please list any corporate and/or philanthropic memberships or directorships you hold. _____

    _____

9. What is your home address? _____

    _____

Source: 1980 Public Management Institute, 358 Brannan Street, San Francisco CA 94107, (415) 896-1900

Foundations seldom fund unsolicited financial requests, so personal contact and relationship-building are crucial to improving your likelihood of getting support. It is not uncommon for foundations to request a brief letter telling who you are, what your plan is and how much funding you are requesting. If foundations find merit in your proposal letter, they will then request a fully developed application. Your proposal letter, generally two to three pages in length, should at a minimum include the following:

✓ The problem you are addressing as supported by your needs assessment.
✓ The solution you propose in terms of goals and objectives.
✓ Documentation of your ability to implement the proposed objectives.
✓ The extent to which your financial need matches your request.
✓ Documentation that you will implement a systematic evaluation to determine that your efforts made a difference.

You should be specific in your request and identify what resources you are seeking. Generally, foundations and other private sector philanthropic organizations like to see that you are leveraging requested support with resources you also receive from the local community.

> **REQUEST FOR PROPOSAL (RFP)**
>
> When the government issues a new contract or grant program, it sends out RFPs to agencies that might be qualified to participate. The RFP lists project specifications and application procedures. Although an increasing number of foundations use RFPs in specific fields, most still prefer to consider proposals that are initiated by applications.

IV. Government Sources

Government sources have a much more formal application process. The government will publish, through a request or solicitation, programs and activities it will support. In these notices, the government provides information on eligibility, program duration, activities and services that you may provide, level of funding, and the procedures for awarding grants and contracts. Generally, government funding agencies require that all proposal applications include the following standard sections:

✓ **Proposal Summary:** Appearing at the beginning of the proposal, the summary should be clearly and concisely written and include summary statements about your organization's capability, statement of problems, objectives, activities to be implemented, evaluation efforts and the total cost of the project.
✓ **Institutional Background and Qualifications:** This is where you "toot your own horn." However, the section should be clear and concise without overloading the reader and should include:
  – When, how and why the organization was founded.
  – Purpose, goals and mission of the organization.
  – Past and present activities.
  – Accomplishments and outcomes of activities.

- – Size and characteristics of your constituency.
- – Your funding resources and their positive comments on your work.
- – Internal or external evaluation of your program.
- – Letter of support or endorsement.
- – Audit or other financial statement.
- – Proof of nonprofit status.
- – Board resolutions to authorize requests.

✓ **Statement of the Problem:** This is the most important part of the proposal. This is where you document a need for your services. You should provide detailed information on your target community and its unmet needs. Your proposal will be judged on the extent to which you demonstrate knowledge of and experience with your community. It tells the funding agency why you want the resources. This information should include:
  - – The needs assessment and other available statistics on your target population.
  - – Your agency mission, goals and objectives.
  - – Something on which you can have an impact during the course of the grant.
  - – Language that focuses on clients or constituents rather than the problems of your organization.

✓ **Program Objectives:** Objectives should be stated in measurable terms and should be quantifiable. Objectives should be written using concrete terms such as "to increase" or "to reduce" rather than "to provide" or "to create." They should be written in numerical form, defining the population served and stating the time when the objectives will be met.
  - – **Example:** To reduce by 15 percent within 12 months the number of youth between ages 15 and 18 in Central High who are engaging in unprotected sex.
  - – **Example:** To increase the number of people being tested for HIV/AIDS in Ouachita County by 10 percent within 12 months

✓ **Implementation Plan:** In this step describe the methods you propose to use to achieve your objectives. You should present a reasonable scope of activities that you will be able to achieve, as well as timelines for program milestones. Generally, strategies you pro-pose should be documented using "best practices" and national standard curricula models that have been documented as being successful.

✓ **Evaluation:** Evaluation must be planned carefully and must be initiated at the begin-ning of the project. Funding agencies expect you to have given considerable thought to the evaluation process. You should, to the extent possible, detail the evaluation process to provide feedback to whoever supports your project.

✓ **Budget:** Be as specific as possible when preparing the budget. Funding organizations generally provide budget documents with applicable guidelines that must be adhered to. Funding agencies want you to be as accurate as possible and propose, to the best of your ability, a true cost of the proposed project. If you have made a sincere effort to estimate costs at the outset, the funding agency will probably be receptive to any modi-fication. You should explain costs, including a brief justification or explanation of any un-usual budget items.

Tips For Winning Government Proposals

✓ Search sources for funding opportunities including the Federal Register, Commerce Business Daily and newspapers.

✓ Place your organization on mailing lists.

✓ Download application forms from government websites. There you can also find application forms, program-funding guidelines, literature and other information.

✓ Seek additional support to leverage project activities from local sources, including local government agencies.

✓ Designate one person to be responsible for coordinating your group's proposal. He or she will ensure that all the parts of the proposal are completed, the requisite numbers of copies are provided and the proposal is delivered on time.

✓ Seek advice, if needed, on the preparation of your proposal from the designated contracting officer. You will find contact information in the program application.

✓ Read the request or solicitation for proposals carefully and send any questions about its contents to the contracting officer as soon as possible.

✓ Review your proposal very carefully to ensure that you have provided all the information requested by the agency.

The following checklist is often required for government-funded programs. Check your proposal to make sure that you have included each of these items.

Proposal Checklist of Generally Required Information

✓ Original application and copies (including completed attachments)

✓ Cover page (must use the page included in the RFP document)

✓ Table of contents for your proposal document

✓ One-page abstract (includes project's intent and outline of methodology)

✓ Narrative section, to include
  – Need for project
  – Experience and ability to deliver proposed service
  – Program design
  – Implementation plan
  – Program outcomes

✓ Budget
  – Budget Narrative

✓ W-9

✓ Signed board resolution for state contract providers

✓ Articles of incorporation

✓ IRS tax-exemption letter

✓ Résumés and position descriptions for key staff

✓ Copy of most recent audit along with a financial statement if the applicant is a private nonprofit. (If your organization is not required to submit an audit or your agency has not performed an audit, please submit an explanation to this effect.)

✓ A list of other sources of funding coming to the organization and their intended purpose

UNIT 5:
Assigning Leadership Tasks

Purpose:

This unit explains the importance of assigning competent people to handle key leadership tasks. Effective community program leadership requires continuous attention to a number of complex issues, but the essential ingredient for strong leadership is having the skills to help the group progress toward meeting its goals.

Learning Objectives:

By the end of this unit, learners will be able to:

✓ Explain why assigning leadership roles is an essential step in building successful programs.

✓ Identify the different leadership styles and the styles that will support your organization's mission.

✓ Describe factors that influence good leadership and design activities for implementing leadership-development training and group maintenance roles.

✓ List the characteristics of a good leader.

✓ Explain the relationship between successful programs and competent leadership.

Program planning requires many different phases and the use of a wide range of skills and perspectives. A program should never be the creation of just one person. The program planner, no matter how experienced, needs to bring in people with other areas of expertise. The planner also needs agency-wide perspectives and support for proposed programs. Both finance and fund-raising perspectives will be needed at various stages in the process.

Leadership can be defined in many ways. For example, a working leadership is the process by which an individual causes a group to follow and accomplish certain objectives. There are many factors that influence good leadership. A good leader must be committed to achieving the goals of the organization and able to guide and inspire others. A good leader must also have good communication and listening skills because the mission of the group must be clearly communicated to a wide range of people and organizations. A leader must be able to tell the group exactly what is needed and explain the goals and objectives. A good leader must also be able to listen to the group's feedback, thus eliciting new ideas and gaining an understanding of what members of the group are thinking. Good leadership requires constant attention to a number of difficult issues.

There are many leadership styles. A good leader will choose the leadership style that is closely related to him/her. The first leadership style is **democratic**. Under a democratic leadership, group members use their own knowledge and experience to reach a decision. The challenges and answers are discussed and managed by the members of the group, and the entire group must be committed and agree to the action. The entire team must become involved.

The second leadership style is **counseling**. Under this style of leadership, members of the group share their thoughts and ideas. They consult with the leader and contribute information and ideas. They give their opinion of ideas presented by the leader and by others in the group. The leader makes the final decision. Therefore, the leader manages the problems and provides answers.

The third leadership style is **convincing**. Under this style, the leader must be able to convince team members that they are able to accomplish their goal. The leader has to be able to explain the advantages and disadvantages of his or her orders. This style allows the leader to convince group members and gain their support. He or she is required to give an order, convince the team as to why the order was good and be able to eliminate any doubts that may arise.

The fourth leadership style is **command**. Under this style, the leader tells the group what to do or accomplish. He or she has to ensure that the problem is understood and is immediately taken care of. The main role of the leader in this style is to advise or direct. The group member's role is to understand what is expected and do as he or she is told. This leadership style requires no feedback and is not concerned with the opinion of the group it is a style frequently seen in the military. The goal of the leader is to give an order and make sure it is executed.

The essential ingredient for leadership is possessing the skills to help the group progress toward meeting its goals. Leaders must continuously inspire, guide and reward their team. On any given day, program leaders must call upon many skills to handle the wide variety of situations that invariably arise. Adding to the challenge, as an organization evolves and grows it requires different capabilities from its leaders.

Effective community program leadership requires continuous attention to a number of complex issues. True leadership is strategic and addresses long-term issues, not just short-term crises.

I.   Factors that Influence Good Leadership

In addition to knowing what leadership style to use, you should be aware that several factors will influence how well you lead.[1]

✓ **Your commitment.** Commitment is a combination of confidence and motivation. To be an effective leader, you must be committed to achieving a vision and have enough motivation to initiate the action required.

✓ **Your willingness to be democratic.** People will better understand the program's vision and be more committed to working toward accomplishing that vision when a democratic leadership style is used.

✓ **Good communication and listening skills.** As a leader, you must clearly communicate the program's mission, goals and objectives. You must also be a good listener, willing to accept suggestions and ideas for incorporation into final decisions.

✓ **Your competence.** Your competence is the product of the skills gained from education, training and experience. Good leaders also make use of the skills of people around them.

✓ **Your support of others.** A good leader supports others working to achieve a vision. Teamwork is the key ingredient of successful leadership.

In conclusion, a good leader must be committed to the program or cause, as democratic as possible, a good communicator and listener, willing to make use of competent people, and able to support others.

---

1. D. Fessler, *Facilitating Community Change: A Basic Guide,* La Jolla, CA: University Associates, 1976.

Leadership Styles

Name the four leadership styles.

1. _____

2. _____

3. _____

4. _____

Which of these leadership styles will work most effectively in your organization? Why?

_____

Tasks for Group Leaders and Group Members

✓ **Initiating activity:** Suggesting new ideas, new approaches and new ways of organizing material or offering solutions.

✓ **Seeking information:** Asking others to supply needed information or to clarify data on hand.

✓ **Seeking opinions:** Asking others to evaluate ideas or procedures already suggested.

✓ **Giving information:** Providing the group with facts or experiences relevant to the question at hand.

✓ **Elaborating:** Building on an idea already suggested so that it will better meet the needs of the group.

✓ **Coordinating:** Relating various ideas so that they become a connected whole.

✓ **Summarizing:** Restating briefly the important contributions made by the group so that none will be overlooked, and bringing the group together in its thinking.

✓ **Testing feasibility:** Applying the ideas to real-life situations to pre-test their effects and anticipate and avoid mistakes.

✓ **Testing for consensus:** Asking for group opinions in a tentative manner to determine whether the group is ready to make a decision.

Source: D. Fessler, *Facilitating Community Change: A Basic Guide,* La Jolla, CA: University Associates, 1976.

Group Maintenance Roles for Group Leaders and Group Members

✓ **Encouraging:** Being sincere, warm and friendly to others and encouraging them to participate by being positive about their contributions. This includes thoughtful consideration of both the merits and weaknesses of contributions made by the less outspoken members of the group.

✓ **Gatekeeping:** Making it possible for individuals to be brought into the discussion by asking for their ideas or opinions and, in some cases, by restraining more vocal members so that others have a chance to talk.

✓ **Standard setting:** Expressing standards or criteria for group operation that will help the group arrive at a decision objectively.

✓ **Expressing group feelings:** Summarizing how the group seems to feel about an issue.

✓ **Diagnosing:** Determining sources of difficulty and proposing appropriate next steps.

✓ **Compromising:** Achieving group agreement by providing compromises for opposing points of view, raising questions whose answers will eliminate misunderstanding and offering to modify your own position.

✓ **Harmonizing:** Easing negative feelings with humor or by shifting to a broader point of view.

✓ **Consensus testing:** Sending up a "trial balloon" to test a possible group consensus.

✓ **Following:** Serving as an interested listener while others are talking.

Source: D. Fessler, *Facilitating Community Change: A Basic Guide,* La Jolla, CA: University Associates, 1976.

Nonfunctional Roles for Group Leaders and Group Members

✓ **Being aggressive:** Deflating the status of others, disapproving of their contributions or joking aggressively about them.

✓ **Blocking:** Voicing opposition unreasonably or being stubbornly resistant.

✓ **Seeking recognition:** Calling attention to yourself by boasting, name-dropping or mentioning personal achievements.

✓ **Self-confessing:** Expressing personal feelings that have no bearing on the group or its task.

✓ **Being a playboy/playgirl:** Making a visible display of noninvolvement in the group's activity by whispering, writing notes, engaging in horseplay or reading something not relevant to the task at hand.

✓ **Dominating:** Asserting authority or superiority over the group by giving direc-
tions, interrupting others or flattering members.

✓ **Seeking help:** Taking advantage of the group meeting to try to solve a personal
problem or to gain sympathy.

✓ **Pleading special interests:** Cloaking your own prejudices by claiming to speak
for "the housewife," "the small farmer" or "the general public."

Source: D. Fessler, *Facilitating Community Change: A Basic Guide,* La Jolla, CA:
University Associates, 1976.

II. Create a Program Planning Team

As someone who is involved in HIV prevention, you already have some knowledge of what
contributes to the epidemic. You may also be a member of your target population, which
gives you different insights into which critical issues to address. The strongest programs,
however, are drawn from eliciting a number of perspectives. Each will analyze and under-
stand a different aspect of the target population, what contributes to their behaviors around
HIV and what would be an effective and appropriate response. We therefore recommend
that you organize a "program-planning team" to expand the problem definition and back it
up with research and experience. This team will be responsible for conducting a full needs
assessment of your target population and assisting throughout the planning process.

III. Program Planning Team Roster

Every perspective is valuable, but involving too many people can make it difficult to focus
on a single program, solution or agenda. Choose your team carefully. Try to achieve a diver-
sity of voices, all working towards the same goal: helping your target population. In an ideal
situation, you would be able to include:

✓ **Program Planners:** Members of your staff and volunteers who help develop programs are the core of every program-planning team. Include people who have used a variety of intervention styles to solve problems. Additionally, find people who have program planning experience in other fields for this target community, or who have experience planning in this field for other communities.

✓ **Members of the Target Population:** This is mandatory! One of the most important group of voices, the people who will be receiving services must always be included in the development of any program. And do not forget to include HIV-positive people in your group. As members of the target population who have sero-converted, they can offer a valuable perspective on your approaches and priorities — on what works and doesn't. Also, remember that some of our work includes preventing re-infection, as well as working with people who may be positive but who have not yet been tested.

✓ **Researchers:** Anyone who has conducted research on members of your population can help assemble people for interviews and focus groups, which is particularly helpful if you have limited funding. In addition, researchers can assist in developing evaluation tools and interpreting the information you gather. Valuable research comes not only from people who have worked directly on HIV issues, but also from psychological, behavioral and marketing perspectives.

✓ **Service Providers:** People who do not plan programs but who are responsible for administering services, such as teachers, ministers, medical professionals and mental health care workers, can provide valuable insight on your target population. They have practical experience on overcoming barriers and solving problems related to your community.

What does the team do?

The program planning team looks at the detailed information about your target audience and the problem you have defined. The team will determine why your target audience continues to engage in risky behavior or doesn't access services. They will analyze possible ways to address the problem and determine which is most likely to succeed, as well as what is possible.

The key questions the team should answer include:

✓ Which high-risk segment of the target audience will be specifically targeted and how?
✓ Changing which behavior of the target audience will directly reduce its risk of HIV transmission?
✓ What are the key factors affecting the behavior you wish to change?
✓ How will you influence these factors?

What if I can't pull together a whole team?

The main goal is to get a variety of perspectives. You should focus on meeting with groups of people who don't frequently work together or who come from different backgrounds. This will foster dynamic conversations, perhaps some conflicts — and the best possible solutions. However, you can also simply consult people who offer different perspectives, meeting with them individually and then assembling their input later. Some people who don't have time to participate as a team member may have useful information in a written form that they are willing to send to you. Others may have more than one perspective to offer. For example, one of your clients may have planned programs before, or an outside program planner may have experience gathering and interpreting research. Your primary job as the key program planner is to get the support you need to assure that you can successfully complete every step in this process.

Program-Planning Team

Who	Tools They Will Bring to the Team	Name
Program planners	Knowledge of the target audience. Experience in community programming. Knowledge of program design in other communities and/or about other relevant issues in the target community.	
Members of the target population	Own perspective. Personal insight into target audience. Insight into potential response to programs.	
Researchers	Research-backed insight into target audience. Experience developing evaluation tools.	
Service providers	Hands-on experience providing other services to target community. Insight into community needs.	

Sometimes planners find themselves in situations where they are responsible for doing everything from planning to fund-raising to implementation, with a little client advocacy thrown in for good measure. In other organizations, it is very clear which individual is responsible for the different aspects of every program. In either case, you need to be able to identify whom to include in the planning process to get the information and support you need.

In certain situations, one person plays all the roles listed in the chart above. In that case, it is critical to seek feedback from others and ask any questions needed to obtain a

full assessment of the problem. You may be surprised at the different assumptions that underlie a person's response based on background and area of expertise. All these assumptions are valuable and worth bringing to the surface.

The chart below will help you identify where to go for the needed planning perspectives, based on some "typical" patterns for agency growth and staffing in most minority HIV/AIDS service organizations.

Where to Find the Key Players at Volunteer Groups and Small, Medium and Large Agencies

	Volunteer Group:	Small Organization:	Mid-Sized Organization:	Larger Organization:
	All volunteer, small organization.	One to five full-time staff, all focused on program activities.	Three to 20 full-time staff whose roles are more specialized; emphasis on centralization.	Full-time staff of 15+; emphasis on decentralization, staff empowerment.
Program Planner	Ad-hoc Program Committee (all volunteers)	Program Staff	Program Manager	Program Director
Financial Expert	Ad-hoc Program Committee (all volunteers)	Program Supervisor	Office/Finance Manager	Program Director with support tools provided by Finance Director or Finance Director w/support/ input from Program Director
Grant Writer	Ad-hoc Fund-raising Committee and/or (hired) Grant Writer	Program Supervisor	Program Manager. and/or (hired) Grant Writer	Program Director with support provided by Development Director, or Development Director with support/ input from Program Director

UNIT 6:

Program Design

Purpose:

This unit details the characteristics of an effective program design. Program design includes development of major programmatic efforts, activities and services to be implemented, and a work plan of the project-specific objectives and key action steps.

Learning Objectives:

By the end of this unit, learners will be able to:

✓ Explain why program design is integral to overall program planning.

✓ Describe the major components of an action plan.

✓ Describe your interventions, outline the services that comprise your intervention and present the activities you will engage in to implement the interventions.

✓ Describe how your interventions will be implemented and by whom.

I.   The Action Plan

Before implementing program activities, you need an action plan, which is the summary of what you and others will do to achieve your objectives. It includes major educational efforts and activities on state and local levels to help change the situation you described in your needs assessment and to achieve the desired results/impact. This is also referred to as the "program design." In this section, you should:

✓ Describe your intervention, outline the services that comprise your intervention and present in detail the activities you have chosen to implement.
✓ Describe how your intervention will be implemented and by whom.
✓ Include a work plan with project-specific objectives and key action steps that are specific and measurable. At a minimum, the work plan should include:
  – A problem statement
  – Goals
  – Objectives for each goal
  – Key action steps for each objective
  – The people responsible for each action step
  – Target completion dates
  – Methods for evaluating each objective
✓ Describe how and from where the participants will be recruited and enrolled in your project.
✓ Describe how you will keep participants engaged in your project. Will you provide incentives? What kind? Why? How many? When? How?
✓ Provide plans to resolve potential recruiting problems, including how you intend to handle lack of participation.
✓ If you will exclude any individuals from participating in your project, clearly describe any "exclusionary criteria" and why you will use them.
✓ Discuss how target population and community members were involved in determining which interventions are needed in the community and how services were prioritized.
✓ Describe how members of the target population will have ongoing input into project implementations and how they will participate in project activities and leadership, which may include members of advisory boards or other groups.
✓ Describe how you will involve community members and leaders in your project on an ongoing basis, and clearly describe any commitments from them to provide ongoing support for your project.

In designing projects, use the following checklist to make sure your program:

✓ Describes educational methods, actions, events and activities.
✓ Relates events/activities to objectives and desired changes in clientele behavior.
✓ Includes innovative, stimulating and varied techniques.
✓ Provides opportunities for clientele to practice and use what they learn.

PROGRAM DESIGN

The road map of your intervention plan; it provides a description of your proposed intervention, a mechanism to tie process and outcome objectives to your program design, intervention action timelines, identification of needed collaborations or partnerships, your plan for collaboration, your evaluation plan, a staffing and training plan, and your proposed budget.

SCOPE OF WORK

Exhibits consisting of process and outcome objectives, a staffing plan, an evaluation plan and a collaboration management plan, and organizational capability.

✓ Suits the participation and learning style of the target clientele.

✓ Reflects logical, sequential connections between events, each one building on another.

✓ Includes dates, time schedules and deadlines.

✓ Identifies the various responsibilities of staff members.

  ✓ Commits necessary resources and supports cooperation.

  ✓ Connects to other major programs and takes advantage of existing planned events.

  ✓ Includes plans for marketing and promoting the program.

  ✓ Provides opportunities for continual feedback as well as for evaluation at key points.

  ✓ Is cost-effective.

II. Program Design Planning

An Intervention Description Worksheet (see below) serves as a guide for program implementation and as a needed source document for a grant writer. In the sections that follow, you will design your intervention plan. This plan provides a description of your proposed intervention, a mechanism to tie process and outcome objectives to your program design, intervention activities timelines, identification of needed collaborations or partnerships, the plan for collaboration, the evaluation plan, staffing and training plan, and the proposed budget. These tools provide the foundation for the essential components of your proposed program.

Intervention Description Worksheet

Design Objective

✓ What is a shorthand description/name for you intervention?

✓ Describe your intervention.

✓ How long will each intervention last?

✓ Where do you intend to offer the intervention?

✓ How will you document that you have completed the intervention?

✓ Will this intervention lead participants to utilize any other services at the organization? Which ones?

✓   Will this intervention lead participants to utilize services at any other organiza-
    tion? Which ones?
✓   What is the methodology and theory behind this intervention?
✓   What barriers/price/negative politics will this intervention overcome?
✓   What product benefits will this intervention promote?

Process Objective

✓   How many times will this intervention occur in one grant year?
✓   When will you begin offering this intervention?
✓   When will you complete this intervention?
✓   How many members of your target audience do you intend to have attend
    each intervention?
✓   How many participants in total do you intend to have participate in your
    intervention in one year?
✓   Who will be responsible for achieving this objective? (Give their name and
    job title.)
✓   How will you document participation in this intervention?

Outcome Objective

✓   What behavioral change is the goal of the intervention?
✓   What about the behavior do you intend to change? (For example, the number
    of people engaging in this behavior, the frequency that an individual engages
    in this behavior.)
✓   How many people who participated in your intervention and then engaged
    in the desired behavioral change would it take for the outcome objective to
    be successful? (Give numbers or percentage of total.)
✓   How will you measure this change? What evaluation tools will you use?
    Against hat baseline will you measure your success?
✓   When will you complete this outcome objective?
✓   Who will be responsible for achieving this objective? (Give their name
    and job title)

III. Intervention Activities Timeline

For each intervention, write a timeline of the activities required to make it happen. Include here formative research stages, recruitment, hiring, training, materials development, etc. Include no more than one intervention per sheet. (Note that this timeline layout is for one year, divided into four quarters.)

Intervention Activity	Person Responsible	When?			
		Q1	Q2	Q3	Q4
1)					
2)					
3)					
4)					
5)					
6)					
7)					
8)					
9)					
10)					

IV. Collaboration and Coordination

You may decide that your program can have greater impact by joining with other groups or organizations having similar missions, goals and objectives. It is important to understand the nature and extent of possible collaborations among service providers. Collaborating/coordinating partners should first complete the Agency Capability Assessment Questionnaire. This information should be provided to your grant writer to the grant writer. You will also need to draw up a Memorandum of Understanding (agreement of the actual grant application) before you begin the collaboration.

Agency Capacity Assessment Questionnaire

- ✓ What is the purpose of this collaboration?

- ✓ Who will be the contact person at the partner agency?

- ✓ Have these organizations collaborated or coordinated services before? How and when?

- ✓ Why was this particular partner chosen for collaboration/coordination on this program?

- ✓ What gaps in organizational resources will be filled by the collaborating partner?

- ✓ Explain how the collaboration will work.

- ✓ Which objectives, interventions and/or activities will be jointly developed, delivered and evaluated?

- ✓ What is the timeframe for this collaboration? Is it ongoing or will the relationship have a beginning and an end?

- ✓ What staff, consultants or volunteers at each agency will work together and how?

- ✓ How will this work be coordinated?

- ✓ If the partners are to share financial resources, what will be the subcontract arrangements and amounts?

- ✓ How will the money be spent by the partner agency (personnel, shared costs, direct program costs, agency overhead)?

- ✓ How will the shared staff be managed/supervised?

V. Evaluation Plan

Complete one worksheet for each process objective and one worksheet for each outcome objective.

Process Objective:

Question
(What question will your evaluation seek to answer?)

Data
(What kinds of data will be collected?)

Source
(At what points will data be collected?)

Collection Method
(What methods or instruments will be used to collect data?)

Baseline
(What comparison group or baseline will be used, if any?)

Success
(What result constitutes a successful outcome?)

Evaluator
(Who will conduct the evaluation?)

Use
(How will the evaluation data and results be used?)

Audience
(How will the results be reported and to whom?)

VI. Staffing Plan

When developing your staffing plan, be specific about who is going to be in charge of each part of the program you have designed. You should break down the program into clear elements, figure out how much time each step will take and how much staff time you will need to get it running. You should create job titles and descriptions and detail each person's responsibility for every element of the program. This is also the time to start thinking about what skills are needed in each job to make it successful.

Many people are hired because of their knowledge and/or relationship with particular communities. While this works in many cases, there are times when it is more important to hire people because of their skills, even if they have no prior experience with the target community. It is important to identify this kind of priority early because it will help you make decisions later about where to advertise a job, how to list job requirements and how to describe the job to potential applicants. You should also try to anticipate potential disagreement from the community you serve over hiring choices, especially when you select applicants from outside your target audience.

You can also use information about skills and experience in the program planning process to anticipate training needs, based on candidates' experience (or lack thereof). Training will probably cost money and certainly take some time. You should factor this into your program's timeline and budget.

Instructions: Complete the following information for each staffer needed for the program. This includes people currently on staff who are going to be working on the program and people who are going to be hired. (All staff responsible for parts of a program should be included in a program plan and a grant proposal).

✓ What is the job title for this position?

✓ If s/he is already on staff or if a candidate has already been identified, fill in his/her name and attach resume.

✓ If it's a staff position, is it full-time, three-quarter- time, half-time, other?

✓ If a consultant, how many hours worth of work will be needed?

✓ When will the consultant be involved in the program? (Give answer in months or contract-year quarters.)

✓ If it's a staff position, what is his/her annual salary?

✓ Briefly describe this person's role in the program and the amount of time per week s/he will devote to the task.

✓ What will be his/her primary responsibilities?

✓   With whom will s/he be working?

✓   Will s/he supervise anyone?

✓   Will s/he be responsible for any part of the coordinating or collaborating relationships?

✓   What role will s/he play in evaluating the program?

✓   What qualifications are required or preferred for this hire?

✓   What types of training will the new staff member need to succeed in this position?

VII. Budget

When you create an intervention activities plan and develop program objectives, you generate many numbers, such as the amount of time needed for a workshop, the number of people you need to hire, how many people you expect to reach, etc. Ask someone in the finance department to calculate the costs of each of these steps and requirements as a basis for creating a budget.

Your accountant and program planner should talk through the budget for every proposed program. The budget document will be used in grant applications. It's also a good idea to create a couple of different program scenarios at different levels of funding, so you'll be prepared if you don't get all the funding you apply for. You'll also have more options if you have to apply to several smaller funding sources to amass enough to create your program. Don't wait until after you've completed the plan and sold everyone on it to discover there's no way that you can reasonably do it or it doesn't fit the grant proposal.

There may be items in your plan where you made assumptions that an accountant can't account for or doesn't agree with. For example, if you say that a staff member will handle a particular activity, are you assuming that you will hire someone who is already trained to do that, or have you included time and money in your plan for training? When you indicated you will conduct a workshop, did you think about where the workshop would take place and whether you need to include space rental costs in your budget? Did you calculate the amount of time it would take someone to supervise staff? To complete a report? To meet with collaborators? To develop a brochure?

In determining your budget, you will have to take into consideration the costs of program staff, consultant, intervention operations and program capital costs. The worksheets below provide simple and easy-to-follow tables to help you determine cost allocations for projected expenses.

Major components of your budget:

✓ Personnel costs
✓ Intervention operating costs
✓ Program capital costs
✓ Site and facilities costs

Personnel Costs

Instructions: List all direct program staff needed to implement your program. You do not need to include supporting/shared staff (program director, receptionist, etc.)

Title	Full-Time Equivalent (FTE)	Salary	Dates
1.			
2.			
3.			

Shared

4. Program Director

5. Administrative Assistant

Shared Staffing Notes:

In the space below, indicate anything unusual about the shared/supporting staff needs of your program (e.g., the receptionist will be asked to schedule counselor appointments). _____

_____

Consultants

List all consultants needed to implement your program

Title	Number of Hours/Days	Rate	Dates
1.			
2.			
3.			

FTE Calculation

To verify that your estimated FTEs are sufficient to the program, use this table to compare available hours needed.

Hours: Activity 1	+	_____
Hours: Activity 2	+	_____
Hours: Activity 3	+	_____
Hours: Activity 4	+	_____
Hours: Training	+	_____
Hours: Program Planning	+	_____
Total Hours Needed for Program		_____
Total Hours		_____
Weekly hours x weeks (40 x 52 = 20820)	-	_____
Subtract Vacation Hours Days x hours (10 x 8 = 80)	-	_____
Subtract Sick Hours Days x hours (12 x 8=72)	-	_____
Subtract Holiday Hours Holiday x hours (9 x 8=72)	-	_____
Subtract Staff Meetings Monthly hours x months (6 x 12 = 72)	-	_____
Subtract Supervision Hours Weekly hours x weeks (1 x 50 = 50)	-	_____
Total Hours Available for Program		_____

Intervention Operating Costs

Direct Intervention Costs

Instructions: List all direct program costs needed to implement your program (e.g., advertising, printing, food, travel, condoms). You do not need to include supporting/shared costs (e.g. rent, general supplies). Include only one intervention per worksheet.

Budget Category	Item Name	Cost	Number
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Shared Cost Notes:

In the space below, indicate anything unusual about the space and/or materials needs of your program (e.g., training sessions will be held for 100 participants — may need to rent space to accommodate). If no notes are listed, the standard allocation rates will be applied. _____

_____

Program Capital Costs

Equipment Costs

List all new equipment needed to implement your program (e.g., computers)

Item	Purpose/For What Interventions?	Cost	Number
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Site and Facilities Costs:

Describe below any new site(s) and/or facilities the proposed program requires:

_____

_____

_____

Note: If you want to create contingency budgets for various levels of program activity, please use a separate worksheet for each level.

UNIT 7:
Program Implementation

Purpose:

This unit explains the procedures for carrying out program tasks. Planning must include the development of procedures that ensure the success of your activities when the unexpected occurs. Key factors to be considered in program implementation include the role of the media, recruiting volunteers, implementing sound management practices, supervising staff and volunteers, establishing accountability mechanisms, and developing collaborations.

Learning Objectives:

By the end of this unit, learners will be able to:

✓ Explain the importance of program implementation and outline an implementation plan for a program.

✓ Identify the elements of program design that ensure successful implementation of program activities and explain why they are important.

I.   Program Implementation

For the program implementation, you must develop procedures for carrying out tasks. By now, you should have determined the goals, objectives and activities that your organization will be implementing. You also should have identified and acquired the necessary resources and your leadership structure should be in place. While it is impossible to ensure that nothing will go wrong, you should have a reasonable amount of assurance that everything will operate well. However, you should be prepared for unforeseen flaws and for flukes to occur. Therefore, planning must also include the development of procedures that ensure the success of your activities when the unexpected occurs. Once you have secured community and financial support, delegate tasks to ensure the program's successful initiation and establish a viable structure for its continued operation.

The following elements will help ensure the success of your program activities.

Conduct a Media Campaign

The media are a vast and powerful sector of industry that includes television, radio, newspapers, magazines, other mass-circulation print vehicles and outdoor advertising. For the HIV/AIDS-prevention public, information outreach can include weekly shopper's magazines, newsletters, business publications, periodicals distributed by organizations, newsletters from major employers, school/college newspapers and closed circuit television. It is important that you establish a good working relationship with the media in your community, as this is a very effective way of reaching a large audience. Assign someone to work with the press to ensure it receives a uniform message and image of your program. Newspapers, radio and television stations are key resources for reaching a large audience. It is your goal to present the best possible image to the media. We recommend the following basic points:

Involve media professionals in planning your media campaign. Like other people, they prefer to be involved from the beginning and to feel their opinions are valued, not just the access they provide to media time and space.

✓   Develop a media contact list
✓   Establish a relationship with the media. Concentrate on those media outlets your target population is most likely to see, hear or read.

Developing relationships with the media is labor intensive. Below are some ways to enhance your effectiveness in working with the media.

✓   Start with a media plan that includes a variety of strategies.
✓   Respond quickly and competently to media queries and deadlines.
✓   Plan media activities over time, rather than doing just one event at a time. This helps ensure that your message continuously garners public support.

✓ Track media results; report successes and plans for improvement.

✓ Recognize the contributions of the media by sending letters, notes and e-mails.

✓ Be polite. Establish a rapport by talking with reporters on a first-name basis. Keep in touch if possible.

✓ Be informative and accurate. Always strive to be truthful. Do not be afraid to say, "I don't know," or "I will get back to you later with the information." If you make a mistake, correct it as soon as possible. Do not blow up over minor typographical errors; however, significant errors should be called to the attention of editors or reporters in a courteous telephone call, meeting or letter.

✓ Be consistent. If you use a statistic once, do not contradict it later.

✓ Use every opportunity to make a positive point and tell reporters about your organization's achievements.

✓ Keep to your message. Reporters are almost always on a tight deadline and allocate only a few moments to listen to information about your program. So it is important that your responses are definitive and positive. Use secondary points or qualifications for the remainder of your answer.

✓ Be responsive. Print and broadcast deadlines must be met. Not meeting media deadlines means not being included in a story and missing an opportunity to present the mission of your organization to more people.

Recruit, Train and Support Volunteers

Good volunteers are hard to find. You should provide support for your volunteers to promote loyalty, dependability and dedication. You should provide them with training, supplies, instructions and other support needed to do the job well. You should make yourself available to answer their questions and resolve problems. Recognize the contributions of volunteers. A personal thank-you or handwritten note goes a long way. Whenever possible, use a public gesture such as an award ceremony, a speech or a press release to say "thanks for a job well done." Volunteers should be made to feel that they are a part of the organization. People are more likely to volunteer if they know:

✓ Their specific duties.

✓ The amount of time they must commit to the effort.

✓ The location of the job.

✓ The project goals and objectives.

✓ The training requirements and commitments.

✓ The travel requirements.

From your needs assessment, you have already determined the types of programs required to accomplish your goals. To determine the number of volunteers needed, you should list your program activities and identify the number of people needed to carry out each task. Create a recruitment plan and develop a written volunteer job description.

Implement Sound Management Practices

There are some basic management principles for success. These include:

✓ **Strengthen systems and processes.** View your organization as a collection of inter-dependent systems and processes. Appropriate staffing, equipment and funding are necessary to provide quality services. Good supervision is important for the success of your program. Managers should understand how problems occur and how to handle them, thus strengthening the organization as a whole.

✓ **Encourage staff participation and teamwork.** Identifying and solving problems is not just a job for managers and supervisors. Every employee should be a part of the team and empowered to work toward recommending improvements and solving problems.

✓ **Improve communication and coordination.** All staff members, including volunteers, should work together to improve quality by sharing information freely and coordi-nating their activities.

✓ **Demonstrate leadership commitment.** When leaders are committed to good quality, employees accept it as a guiding principle for their own work.

Supervise Staff and Volunteers

You must always provide supervision to ensure implementation of all services. A good supervisor

✓ Listens to employee concerns, complaints and suggestions.
✓ Communicates to employees using clear, concise and consistent messages.
✓ Respects employees and never belittles, talks down to, berates or mistreats them.
✓ Holds staff responsible for the work they do and the way they behave by providing adequate supervision to ensure implementation of all directives.

Emphasize Accountability

Accountability is a very important element — and this includes financial accountability. You should have in place a mechanism to plan for troubleshooting and for resolving crises and disputes.

Foster Collaboration

There is real value in developing partnerships with local and state providers of services and communities. Successful programs take on the daunting task of communicating, collaborating and cooperating with other providers in the community. This task requires cultural sensitivity, competency, respect and much time. Productive collaborations can

lend strength to your program, which can sometimes mean the difference between success and failure. Successful collaborations:

✓ Facilitate strategic planning.
✓ Help prevent duplication of cost and effort.
✓ Maximize scarce resources.
✓ Integrate diverse perspectives to foster appreciation and understanding of the community.
✓ Provide comprehensive services based on client needs.
✓ Increase clients' accessibility to health services.
✓ Provide a liaison for clients unwilling to seek services from government organizations.

Many factors influence the success of collaborative efforts. The following factors are necessary for successful collaborations:

✓ Mutual respect, trust, purpose and understanding.
✓ Appropriate representation from all affected segments of the population.
✓ Member buy-in and ownership in the development and outcome of the process.
✓ Constant and ongoing communication among members.

Tips for Program Contents

✓ Provide educational awareness on the problems of HIV/AIDS as it relates to youth and young adults in the community.
✓ Provide activities for youth who may otherwise be engaging or experimenting in unprotected sexual behaviors.
✓ Provide referrals and support services for residents affected by the HIV/AIDS virus.
✓ Offer training for professionals, paraprofessionals or volunteers associated with identifying dysfunctional.

Source: Public Management Institute, 358 Brannan Street, San Francisco, CA 94107, (415) 896-1900.

UNIT 8:

Evaluation

Purpose:

This unit explains how to evaluate and assess programs. Evaluation is designed to verify, document and quantify activities and their efforts. This unit offers a four-step approach to evaluation that includes identifying goals and desired outcomes and conducting process assessment, outcome evaluation and impact assessments.

Learning Objectives:

By the end of this unit, learners will be able to:

✓ Explain program evaluation and describe how it is useful in making programmatic decisions about a program.

✓ Describe the purposes of conducting evaluations and explain how each purpose can impact a program.

✓ Explain impact assessment and identify the areas where one would be likely to have an impact in an AIDS/HIV- and other sexually transmitted disease-prevention program.

This unit offers program planners information about evaluating and assessing their community program using a straightforward, four-step approach. Evaluation addresses the following questions:

✓ What do we want to accomplish?
✓ What are we doing to accomplish it?
✓ What have we accomplished?
✓ What are we trying to change?
✓ How will we know whether we are successful?

Program evaluation is not designed to be judgmental or to assess personal competence or individual performance. In general, evaluation is designed to verify, document and quantify activities and their effects. Often, although program staff believes that a program works because common sense shows it to be successful and they've watched it succeed, it's important to go by more than just anecdotal evidence of success. Instead, use the structured steps outlined below to:

✓ **Verify.** Often "common sense" turns out to be wrong. There are many cases where what initially seems to make a lot of sense may not in fact be the case when you get it down in black and white.
✓ **Document.** Whether it is to funding agencies, other practitioners in the area or lay audiences, documentation provides evidence of accomplishments and results.
✓ **Quantify.** While you may have some general knowledge of what is going on, it is important to use numbers for support if you're trying to show that there is a problem.

For example, you may know there is a problem with AIDS/HIV in the community but not know exactly how many people are infected with the virus. Surveying community residents using a sexual-behavior questionnaire would provide the information you need to verify, document and quantify community sexual behavior.

Evaluation is labor-intensive. It is critical that you create a step-by-step work plan for conducting the evaluation. At a minimum, an evaluation of a community program will require that the following functions be performed:

✓ **Evaluation Planning:** Formulating the overall evaluation instruments.
✓ **Data Collection:** Administering questionnaires, conducting interviews, observing program operations or reviewing or entering data from existing data sources.
✓ **Data Coding:** Collating the information, ensuring that it is accurate and translating collected data for analysis.
✓ **Data Analysis:** Conducting statistical analysis.

Evaluation is the systematic collection and analysis of data needed to make decisions, a process in which most well-managed programs engage from the outset. Evaluation of HIV/AIDS-prevention education can identify program effects, help staff and others find out whether their programs have an impact on participants' knowledge or attitudes about HIV/AIDS, forestall participants' indulgence in unprotected sex, or reduce the incidence of HIV/AIDS infection.

DATA CODING

Collating information, ensuring that it is accurate and translating collected data for analysis.

DATA ANALYSIS

Conducting statistical analysis.

I.   Conducting Evaluations

Evaluations serve many purposes. The most common reasons for program evaluation include:

✓ **Project management.** Administrators are often most interested in keeping track of program activities and documenting the nature and extent of services delivered. Evaluation can provide program staff or administrators with information such as participant characteristics, program activities and allocation of staff resources in program cost. Analyzing information of this type helps staff make short-term corrections to the direction of planned future programs.

✓ **Staying on track.** Evaluation can help to ensure that program activities continue to reflect program plans and goals. This type of evaluation can help strengthen service delivery and maintain the connection between program goals, objectives and service.

✓ **Project efficiency.** Increased efficiency can enable a program to serve more people, offer more services or target services to those whose needs are greatest. Evaluation can help streamline service delivery or enhance coordination among various program components, lowering the cost of services.

✓ **Project accountability.** Evaluation for accountability involves evaluation results from outside of program operations. The methods used in accountability evaluation must be scientifically defensible.

✓ **New program development and dissemination.** Evaluating new approaches is very important to program development. Developers of new programs need to conduct methodological evaluations of their efforts before making claims to potential users.

The Evaluation Process

1. Identify goals and desired outcomes: What were the primary goals of the project? What did you hope to accomplish?

The primary goals of your program(s), such as increasing knowledge about HIV/AIDS or increasing community involvement, should target identified populations. Important questions you should consider include:

✓ Whom are you trying to reach (e.g., teachers, minorities, parents, general public)?
✓ What outcomes are desired?
✓ What do you hope to accomplish?

2. Conduct process assessment: What did you do?

In this step, describe the activities undertaken to accomplish an objective or to bring about the desired outcome.

Purposes of process assessment

✓ Monitoring your activities helps organize program efforts.
  – It helps prevent parts of the planned program from being forgotten or neglected.
  – It helps the program use resources where they are needed (for example, not spending most of the money on only one activity or target group).
  – It provides information to help manage the program and change or add to activities.
✓ The information in a process assessment provides data for accountability to any parties interested in your efforts (e.g., administration, funding sources).
✓ A process assessment provides information relevant to why the program worked or did not work. By providing information on what was done and who was reached, you may discover reasons for achieving outcomes or for failing to achieve them.
✓ A process assessment can help you decide whether you are ready to assess the effects of your program. For example, if a program has existed for only a short time and you have implemented only the first activity of a seven-activity program, it is unlikely that successful outcomes would be reached. Therefore, it may be premature to assess the outcomes of your program.

A process assessment centers around two related sets of issues: target groups and the intended and actual activities of the program.

Target groups. Key questions addressed include: Who were the intended target groups? Were they prioritized in any way?

Activities. There are also important questions that need to be asked about the activities, such as:

✓ **Who** was supposed to do what to whom, and when was it to be done?
✓ **What** about the staff that delivers the services? How many staff members? Which staff? What kinds of qualifications and training do they need to carry out the services?
✓ **What** is the staff is asked to do (e.g., hold classes, show movies, model behavior)?
✓ **Who** are the target groups (e.g., male students, teachers) of the activity?
✓ **When** and **where** will the activity occur (e.g., during school assemblies, after school)?

The more clearly these questions are answered, the more useful the process assessment will be. Information or data should be collected to answer the following questions:

✓ What activities were included in the program?
✓ How many activities were carried out, and with which target audiences?
✓ Who was missing?

✓ What topics were presented?

✓ What activities or topics were not carried out?

✓ What did the participants think of the program and its activities? Was it interesting, useful or a waste of time?

3. Conduct an outcome assessment:. What were the immediate effects of a program?

Often, the "bottom line" of program assessment is what the effects of a program were. There are two types of assessment related to effects. **Outcome assessment** looks at the short-term effects. **Impact assessment** looks at the long-term or ultimate effects. Outcome assessment is concerned with measuring the immediate effects of a program on the recipients of service. It attempts to determine the direct effects of the program, such as the degree to which the program increased knowledge about HIV/AIDS.

You should ask, "What identifying evidence is involved regarding the extent to which the outcomes were achieved?" Evidence includes changes in the number of referrals, an increase in the number of students attending an activity, and increased publicity about the dangers of HIV/AIDS and other sexually transmitted diseases. Outcome measures should be closely linked to objectives.

There are several potential sources of information you can use for an outcome assessment:

✓ **Questionnaire.** Questionnaires are commonly used to measure outcomes, but the questions used must be chosen with care. For standardized instruments, the reliability coefficient is an index of stability and consistency. A reliability coefficient can range from 0 to 1.0. The higher the value of the reliability coefficient, the more stable the measure. Generally, a reliability coefficient between 0.6 and 0.9 is considered good. If a commonly used measure is available for an objective that you want to measure and it has acceptable reliability and validity, then it is usually better to use that measure than to make up one of your own. Other sources of data for outcome assessment include archival data and ratings by others.

✓ **Archival data.** Archival data is information that has been collected, such as medical records, school grades and school attendance records.

✓ **Ratings by others.** For certain purposes, it may be useful to obtain information about a participant from other sources, such as ratings of a child by a parent or ratings of students by teachers. Permission from the individual to be rated may need to be obtained.

4. Conduct an impact assessment

Impact assessment concerns the ultimate effects desired by a program. In AIDS/HIV and other sexually transmitted disease prevention programs, the ultimate effects (or the areas one would like to impact) include: reduction in numbers of STDs (prevalence), reduction in the rate of needle-sharing among active drug users (incidence), and increase in the number of clients seeking HIV/AIDS counseling.

Types of Questions Asked in a Process, Outcome or Efficiency Evaluation

Process Evaluation Questions

✓ How many awareness sessions did the program offer participants last year?
✓ How many staff members did you train to implement HIV/AIDS awareness/ prevention education?
✓ With how many other groups are we collaborating on our program?

Outcome Evaluation Questions

✓ How effective is the HIV/AIDS educational awareness program in keeping participants from engaging in unprotected sex?
✓ Are fewer women engaging in risky behaviors (e.g., alcohol or drug use) related to AIDS/HIV?

Efficiency Evaluation Questions

✓ Which strategy is most cost-efficient: AIDS/HIV educational and information awareness, condom distribution to at-risk populations or peer-to-peer counseling?
✓ Which program — peer-to-peer or adult-taught refusal-skills training — results in the greatest reduction in risky sexual behaviors?

Real

Place an O by the outcome question(s) and an E by the Efficiency question(s).

_____ 1. Does participation in our peer-counseling program reduce the reported unprotected sexual behaviors?

_____ 2. Which recruitment approach yields at the least cost the most volunteers to work on the crisis hotline?

_____ 3. Did radio advertising and community flyers do the best job of advertising our community drug-free day?

_____ 4. Overall, how valuable was the HIV/AIDS education training experience to you?

II. Helpful Tools

Maintaining Confidentiality

Collecting data from human subjects can be a very sensitive matter, so it is essential that your program implement measures to ensure confidentiality for participants. Organizations that use federal funds to collect information directly from children must obtain parental consent. Informed consent ensures that a person is aware of what information is being collected and gives his or her permission for it to be part of the data collection.

What risk to subjects can arise when you evaluate a program? First, there is the risk that damaging information about individuals may become known to project staff or even made known publicly. There is the risk that information that was supposed to be held in confidence may be used in ways that hurt individuals or groups of respondents. There is also the risk that some respondents may react poorly to questioning.

The best way to protect evaluation subjects is to ensure them anonymity by not obtaining any identifying information during data collection. This approach has the added benefit of decreasing the chances that respondents will give inaccurate answers. From the evaluator's standpoint, it is better to promise confidentiality. This means that each respondent is assigned a number that is used in data collection.

> **DATA COLLECTION**
>
> Administering questionnaires, conducting interviews, observing program operations, or reviewing or entering data from existing sources.

Assurance of Confidentiality of Survey Data

Statement of Policy

_____ is firmly committed to the principle that the confidentiality of individual data obtained through surveys must be projected. This principle holds whether or not any specific guarantee of confidentiality was given at the time of interview (or self-response), or whether or not there are specific contractual obligations.

Procedures for maintaining confidentiality:

✓ All employees involved in surveys or evaluations shall sign this assurance of confidentiality.
✓ Employees shall keep completely confidential the names of respondents, all information or opinions collected in the course of interviews, and any information about respondents learned incidentally during data collection. Employees shall exercise reasonable caution to prevent access by others to survey data in their possession.
✓ Survey data containing personal identifiers shall be kept in a locked container or a locked room when not being used each working day in routine survey activities. Reasonable caution shall be exercised in limiting access to survey data to only those persons who are working on the specific project and who have been instructed in the applicable confidentiality requirements for that project.

✓ Ordinarily, serial numbers shall be assigned to respondents prior to creating a machine-created record, and identifiers such as name, address and Social Security number shall not, ordinarily, be a part of the machine record.

✓ When records with identifiers are to be transmitted to another party, such as for key punching or key taping, the other party shall be informed of these procedures and shall sign a form assuring confidentiality.

✓ At the end of the period of performance, the evaluation director shall arrange for proper storage or disposition of survey data, including any particular requirements for storage disposition.

Pledge

I hereby certify that I have carefully read and will cooperate fully with the above procedures. I will keep completely confidential all information arising from surveys concerning individual respondents to which I gain access. I will not discuss, disclose, disseminate or provide access to survey data and identifiers except as authorized. I will devote my best efforts to ensure that there is compliance with the required procedures by personnel whom I supervise. I understand that violation of the privacy rights of individuals through such unauthorized discussion, disclosure, dissemination or access may make me subject to criminal or civil penalties. I give my personal pledge that I shall abide by this assurance of confidentiality.

Signature: _____

Source: Muraskin, L. *Understanding Evolution: The Way To Better Prevention Programs,* 1993.

Sample Scoring Sheet

This sheet can be used to assess the completeness of your program development efforts.

Section/Rating Criteria	Points	Score
✓ Cover Letter	0	❏ Check if okay
✓ Summary of Abstract	5	_____
❏ Does the summary clearly identify the applicant(s)?		
❏ Does it include information regarding the specific need(s) to be addressed and the specific objective(s) to be achieved?		
❏ Does it mention the total project cost and the amount of funding that is being requested?		

Section/Rating Criteria	Points	Score
✓ Applicant Capability	30	_____

❑ Does the Applicant credibly state its purpose, programs, target populations and major accomplishments?

❑ Does there appear to be credible community support for the proposed program?

❑ Does the Applicant appear well-managed and fiscally secure?

Section/Rating Criteria	Points	Score
✓ Target Population and Problem	15	_____

❑ Does the Applicant provide solid evidence supporting its claims about the nature, size and scope of the problem to be addressed?

❑ Does the Applicant describe a compelling problem that matches the priorities of the RFP?

❑ How well does the Applicant appear to know the target population and the specific behaviors and co-factors that put it at risk?

Section/Rating Criteria	Points	Score
✓ Needs Assessment	30	_____

❑ Is the described need supported by the target population profile and problem statement?

❑ Does the described need have a clear relationship to the Applicant's mission and goals?

❑ Does the proposed project meet the described need in a meaningful way?

❑ Does the needs assessment specify what portion of the defined gap in services the project will fill?

❑ Does the needs assessment adequately specify what approaches the Applicant will take to overcome any barriers to access?

Section/Rating Criteria	Points	Score
✓ Goals and Objectives	10	_____
Does the goal statement:		
❏ Directly relate to HIV prevention?		
❏ Reflect the funder's program goals and priorities?		
Are the objectives:		
❏ Specific and measurable? (Can they be quantified? Can they be measured?)		
❏ Appropriate and realistic? (Do they address an identified need? Can it be accomplished?)		
❏ Time-phased? (Do they specify a target date for completion?)		
✓ Program Plan	40	_____
❏ Do the interventions discussed in the proposal derive logically from the needs assessment?		
❏ Is it clear which intervention is associated with which process and outcome objectives?		
❏ Is it clear how the proposed interventions will change audience behaviors or address one or more of their educational needs?		
❏ Is it clear who will perform specific activities and when they will be performed?		
❏ Given projected resources, are the proposed activities feasible?		
✓ Staffing and Organization Plan	10	_____
❏ Is the staffing plan realistic given the objectives and program plan? Are the FTEs and salary ranges reasonable?		
❏ Does the Applicant currently have the staff resources to successfully implement the project? If not, will it be able to hire the needed staff?		

Section/Rating Criteria	Points	Score
❏ Are the division of responsibilities and lines of supervision clearly defined?		
❏ Are the responsibilities and qualifications of all project positions clearly defined? Do they correspond to the activities outlined in the program and evaluation plans?		
❏ Are the training needs of staff clearly defined and adequately addressed?		
❏ Are the roles of consultants and volunteers involved in the project clearly specified?		
✓ Evaluation	20	_____
❏ Does the evaluation plan clearly describe how the accomplishment of each process and outcome objective will be measured?		
❏ Does the evaluation section state what information will be collected in the evaluation process and how it will be collected?		
❏ Does the evaluation plan state who will be responsible for collecting the data and who will interpret it?		
❏ Does the evaluation plan discuss how the information and conclusions will be used to improve the program?		
✓ Budget Justification	0	_____
❏ Does the budget reflect the objectives and overall scope of work? Is it realistic? Are cost-per-unit of service or cost-per-client estimates in line with the RFP guidelines?		
❏ Do expenses seem reasonable? Are the justifications and formulas clear?		
❏ Do the budgeted shared and overhead costs seem reasonable?		
❏ What does the budget say about the fiscal and administrative capacity of the Applicant?		
TOTAL	200	_____

Answers to the Pre-training Assessment

The following answers to the Pre-training Assessment are designed to provide a brief recapitulation of the material in this manual.

Post-training Assessment

1. **True**   (**False**)   The first step in planning a needs assessment is to decide who will conduct the study.

2. (**True**)   **False**   A needs assessment identifies the extent and type of existing problems in your community and the services available.

3. **True**   (**False**)   Outside consultants are the only ones capable of performing a needs assessment.

4. (**True**)   **False**   Collecting data on historical development helps you understand your community's growth patterns and population distribution.

5. (**True**)   **False**   Demographic data includes information such as age, characteristics, size, and race.

6. (**True**)   **False**   A needs assessment determines whether resources are adequate.

7. (**True**)   **False**   Dividing the responsibilities in creative ways may help in performing a cost-effective needs assessment.

8. (**True**)   **False**   One of the disadvantages in using volunteers to help with needs assessments is that they may present a biased interpretation of what the community needs.

9. (**True**)   **False**   A profile of the population you intend to serve should be included in the needs assessment.

10. (**True**)   **False**   A needs assessment is an essential part of the planning process when designing successful community initiatives.

APPENDIX A:
Glossary

Action plan: The summary of what you and others in your organization will do to achieve your objectives.

Archival data: Data that have been collected, such as medical records, school grades and school attendance records.

Budget: Exhibits that provide justification for all subcontract expenses, listed by line item.

Capability statement: A measure of your organization's ability to achieve its mission, goals and objectives.

Community forums: A means of collecting information about the needs of the community through a series of public meetings. They may rely on information from both key informants and people in the general population.

Data analysis: Conducting statistical analysis.

Data coding: Collating information, ensuring that it is accurate and translating collected data for analysis.

Data collection: Administering questionnaires, conducting interviews, observing program operations, or reviewing or entering data from existing sources.

Donors: Groups or organizations that provide an additional source of funding and other resources for your program and may including foundations; local, state and federal organizations; and individuals.

Evaluation: The systematic collection and analysis of data needed to make decisions. Program evaluation provides information needed to determine the effectiveness of a project for participants, documents that objectives have been met, provides information about service delivery that will be useful to staff and other audiences, and enables staff to make changes that improve program effectiveness.

501(c)(3): The section of the US tax code that defines nonprofit, charitable and tax-exempt organizations; 501(c)(3) organizations are further defined as public charities, private operating foundations and private nonprofit foundations.

Goal: The final outcome of a long period of activity. Goals describe how the program will affect the target population and should be SMART (specific, measurable, achievable, realistic and time-framed.

Grant: A financial assistance award made to an organization in the name of a principal investigator to assist the organization in conducting research or other programs as specified in an approved proposal. A grant — as opposed to a cooperative agreement — is used whenever the awarding office anticipates no substantial programmatic involvement with the recipient during the performance of the activities.

Grassroots fund-raising: Efforts to raise money on a broad basis from individuals or groups from the local community. Usually an organization's own constituents — people who live in the neighborhood served by or are clients of the agency's services — are the sources of these funds. Grassroots fund-raising activities include membership drives, raffles, auctions, benefits and a range of other activities.

Implementation plan: A step in program planning where you describe the methods that will be used to achieve objectives.

Intervention: A collection of activities that make up a program, such as a workshop, a video, a stage show or one-on-one counseling sessions.

Interview: A conversation between two (or occasionally more) individuals in which one party attempts to gain information from the other(s) by asking a series of questions.

Key informant survey: A research activity that seeks information from those who are not participants in the service delivery system but who represent and speak for various con-stituencies in the community, such as clergymen, elected officials, advisory group members and commissioners.

Leadership: The process by which an individual causes a group to follow and accomplish certain objectives.

Mission statement: A sentence that states the fundamental guide for all future program-development decisions and includes: the purpose or needs your group will address, the business of your group, your guiding values, and who will benefit from your work.

Needs assessment: An appraisal to determine what programs and services your community needs. It provides planners with the information required to prioritize goals according to those identified needs.

Objective: A specific accomplishment to be achieved during a given period of time. An objective helps attain goals by translating a general purpose into a series of specific, manageable steps.

Outcome assessment: Analysis used to determine the effects of a program; primarily concerned with the effects of a program on the recipients of service.

Outcome objectives: An important program development component where you determine 1) the behavior changes targeted by the intervention, 2) the number of individuals with behavior change in the desired direction, 3) how you will measure this change, 4) the timelines for the behavioral change, and 5) who will be responsible for achieving the objective.

Process assessment: A description of the activities undertaken to accomplish an objective or to bring about a desired outcome.

Program design: The road map of your intervention plan; it provides a description of your proposed intervention, a mechanism to tie process and outcome objectives to your program design, intervention action timelines, identification of needed collaborations or partnerships, your plan for collaboration, your evaluation plan, a staffing and training plan, and your proposed budget.

Program development: An ongoing, comprehensive planning process used to establish programs supported by a well-thought-out and -documented plan of action.

Program implementation: The stage in program planning where you develop procedures for carrying out tasks.

Program planners: Members of your staff and volunteers who help to develop programs.

Program planning: A strategy that involves identifying goals and objectives, conducting a needs assessment to analyze the situation, setting priorities based upon the identified needs, identifying stakeholders and resources, designing an action plan, implementing the plan, and assessing the level of achievement.

Questionnaire: A list of questions to be asked.

Request for Proposal (RFP): When the government issues a new contract or grant program, it sends out RFPs to agencies that might be qualified to participate. The RFP lists project specifications and application procedures. Although an increasing number of foundations use RFPs in specific fields, most still prefer to consider proposals that are initiated by applications.

Scope of work: Exhibits consisting of process and outcome objectives, a staffing plan, an evaluation plan and a collaboration management plan, and organizational capability.

Service providers: People who are responsible for administering services in your community.

Service provider survey: A survey of those who actually provide services to a population in your community.

Social indicators: An approach to data collection that relies on inferences, estimates of need drawn from descriptive data found in public records, and reports such as crime statistics, employment, poverty indicators and health status.

Statement of the problem: A component of a proposal where you document need and provide detailed information on your target community and its unmet need.

Survey: Research technique based on a collection of data from a sample or the entire population of a community. This approach is designed to obtain information from respondents about their needs

APPENDIX B:
Frequently Asked Questions

1. **What is program development?**
   Program development is an ongoing, comprehensive planning process used to establish programs. Quality program development is supported by a well-thought-out and -documented plan of action. Program development provides a step-by-step process that will enable you to understand what a program is designed to do, what steps are required to design the program, what resources are required to implement your plans and what measures can be used to determine whether you have successfully achieved your goals. Program development is essentially a road map, an action plan that provides the guidance needed to develop and build good community programs. As an action plan, program development is an ongoing and continuous process.

2. **What is program planning?**
   In program planning, we identify major needs, set objectives, establish priorities and generally chart a direction for growth and development. Program planning also allows us to identify shortcomings and weaknesses and chart a new course of action should priorities and needs change. Not only does the planning process allow us to keep track of where we have need, it also continues to guide us in the direction we should be going. It tells us where we intend to go next. Equally important in the program planning process is the need to identify stakeholders and develop a sense of mutual ownership in successful goal achievement and outcomes.

3. **Who should be on a program planning team?**
   Every perspective is valuable, but too many people can make it difficult to focus. Choose your team carefully. Try to achieve a diversity of voices, all working toward the same goal of helping your planners, members of the target population, researchers and service providers.

4. **What does the program planning team do?**
   The program planning team looks at all the details of your target audience and the problem you have defined. It determines why your target audience either continues to engage in risky behavior or why it doesn't access services. The team examines possible ways to address the problem and determines which is most likely to succeed, as well as what is really possible. Key questions to be answered by the team include:
   - ✓ Which high-risk segment of the target audience will be specifically targeted and how?

✓ Changing which behavior of the target audience will directly reduce their risk of HIV transmission?

✓ What are the key factors affecting the behavior we wish to change?

✓ How will we influence these factors?

The planning process is needed to build a foundation for decision-making in setting program priorities and using resources. By necessity, it involves gathering the data, analyzing and interpreting the data, identifying community needs and assets, selecting critical community needs and concerns and communicating the results. Members of planning groups are expected to follow a logical method to determine their highest priority. Planning should reflect an open, candid and participatory process that focuses on priorities and is responsive to community needs.

5. What are the steps in the program development process?
The steps in the program development process are: 1) the needs assessment, 2) mission, goals and objectives statements, 3) resource identification, 4) assigning leadership tasks, 5) developing program design, 6) developing a plan for implementation, and 7) completing the program evaluation.

6. What is a needs assessment?
A needs assessment determines what programs and services your community needs. This assessment is an essential part of the planning process when designing successful community initiatives. It also provides planners with the information needed for prioritizing goals according to identified needs. The needs assessment determines:

✓ What needs exist in the community.

✓ Which group (who) needs the services.

✓ What other programs and services already exist to address the problem.

✓ How the user community is changing.

✓ Whether resources are adequate.

7. How do I determine the best approach to use in conducting a needs assessment?
Several approaches can be used to collect the information needed in the needs assessment. These approaches are summarized below:

✓ **Community forums and hearings:** This approach is designed around a series of public meetings and relies on information from key informants and individuals within the general population. Some advantages of this approach include its low cost and short time requirement. It also offers a way to educate the public about your proposed services and allows citizen input into the formulation of strategies and services.

✓ **Social indicator:** This approach is based on inferences, estimates of need drawn from descriptive data found in public records, and reports such as crime statistics, employment and disease status. The approach is often used because it makes use of a vast pool of existing data, is low-cost and has a flexible design.

✓ **Service provider survey:** This approach targets those who actually provide services to a particular population in your community.

✓ **Key informant surveys:** This approach collects information from those who are not participants in the service-delivery system but who represent and speak for various constituencies in the community, such as elected officials, advisory group members and commissioners.

✓ **Survey:** This approach is based on a collection of data from a sample or entire population of a community and is designed to elicit from respondents information about their needs.

8. How do I write a mission statement?

The program mission provides the fundamental guide for all future program development decisions. The mission statement must be written such that it reflects the ideals of the people working in and for the organization. It should state the organization's name, the fact that it is a nonprofit, the type of organization, what it does, where and for whom. Effective mission statements have four parts: 1) the purpose or needs that the group addresses, 2) the business of the group, 3) guiding values, and 4) who will benefit from its work.

9. What is the role of a good leader?

A working leadership is the process by which an individual causes a group to follow and accomplish specific objectives. There are many factors that influence good leadership. A good leader must be committed to achieving the goals of the organization. He or she must be able to guide and inspire others. A good leader must also have strong communication and listening skills, because the group's mission must be clearly communicated in order to garner support and funding. A leader must be able to tell the group exactly what is needed, including detailing goals and objectives. A good leader is able to listen to the group's feedback and is open to new ideas. Good leadership requires constant attention to a number of difficult issues.

10. How do I raise money for new equipment?

Most donors (foundations, corporations and individuals) are not really interested in the needs of the organization, but in meeting the needs of the community the organization serves. So when you ask for funding, emphasize that the new equipment will benefit those you serve and explain how it will accomplish this.

11. What is a foundation?

A foundation is an entity that is established as a nonprofit corporation or charitable trust, with the principal purpose of making grants to unrelated organizations or institutions or to individuals for scientific, educational, cultural, religious or other charitable purposes. This broad definition encompasses two foundation types: private foundation and public foundations. The most common distinguishing characteristic of a private foundation is the fact that most of its funds come from one source, be it an individual, family or corporation. A public foundation, by contrast, normally receives its assets from multiple sources, which may include private foundations, individuals, government agencies and fees for service. Moreover, a public foundation must continue to seek money from diverse sources in order to retain its public status.

12. Where can I find information about government grants?

The following is a list of publications and websites that are useful in seeking government funding:

✓ **FirstGov (www.firstgov.gov)** is the first-ever government Web portal to provide the public with easy, one-stop access to all online US federal government resources, including government grants information.

✓ **The Catalog of Federal Domestic Assistance (www.cfda.gov)** is a searchable database of information about federal assistance programs.

✓ **Notices of Funding Availability** appear in the Federal Register, printed each business day by the US government, and are available for online searching. You can search by broad subject categories or by agency at www.ntia.doc.gov.

✓ **The National Endowment for the Arts (www.nea.gov)** supports learning in all areas of the arts.

✓ **The National Endowment for the Humanities (www.neh.fed.us)** supports learning in all areas of the humanities.

✓ **The U.S. Department of Agriculture Nonprofit Gateway (www.usda.gov/nonprofit.htm)** includes links to federal websites and information about grant programs, sorted by cabinet department and federal agency. Visitors can also use this portal to search Notices of Funding Availability in the Federal Register.

✓ **Community of Science (COS) Funded Research Database (www.cos.com)** allows you to search grants made by the National Institutes of Health (NIH), National Science Foundation (NSF), US Department of Agriculture (USDA), Small Business Innovation Research (SBIR) and the Medical Research Council (MRC) in a variety of ways. You can search grants by key word, geography, institutional recipient, award amount, date, agency, investigator departments and more. Registration is required, but it is free.

This list came from Robert J. Dumouchel's Government Assistance Almanac, an annual publication by Omnigraphics Inc.

13. Why conduct a program evaluation?

Evaluation is the systematic collection and analysis of data needed to make decisions. Program evaluation provides information needed to determine the effectiveness of a program for participants, documents that program objectives have been met, provides information about service delivery that will be useful to program staff and other audiences, and enables program staff to make changes that improve program effectiveness.

14. What is program implementation?

In the program implementation, you develop procedures for carrying out tasks. Before beginning program implementation, you should determine the goals, objectives and activities that your organization will implement. You should also identify and acquire resources, and your leadership structure should be in place. While it is impossible to ensure that nothing will go wrong, you should be prepared for some flaws and flukes to occur. Therefore, planning must also include the development of procedures that ensure the success of your activities when the unexpected occurs. Once community and financial support have been secured, stakeholders should delegate tasks to ensure the program's successful initiation and establish a viable structure for its continued operation.

15. What is the difference between HIV infection and AIDS?

HIV infection can last for many years without symptoms or the development of AIDS. AIDS occurs when the damage to the immune system becomes severe and immune deficiency leads to infections or cancer. Not everyone infected with HIV has AIDS.

16. Are AIDS reports required by law?

Yes. AIDS was declared a disease dangerous to the public health by regulation. Physicians, other health care providers and health care facilities are required to report AIDS cases.

17. Which agency receives AIDS reports?

AIDS is reported directly and only to the HIV/AIDS surveillance programs of state public health departments. States report AIDS cases to the Centers for Disease Control and Prevention (CDC) without identifiers, for inclusion in national AIDS data sets.

18. How is AIDS defined?

AIDS stands for acquired immunodeficiency syndrome. An HIV-infected person receives a diagnosis of AIDS after developing one of the CDC-defined AIDS indicator illnesses. An HIV-positive person who has not had any serious illnesses also can receive an AIDS diagnosis on the basis of certain blood tests (CD4+counts). A positive HIV test result does not mean that a person has AIDS. A diagnosis of AIDS is made by a physician using certain clinical criteria (e.g., AIDS indicator illnesses). The AIDS case definition is used for surveillance purposes so that all states and territories define an AIDS case in the same way. The CDC created the first case definition in 1983. The case definition was changed in 1985, 1987 and 1993, as new information about HIV and HIV infection became available.

19. Where can I go to get HIV/AIDS program funding information?

HIV/AIDS program funding information is available from the following sources:

✓ **CDC National Prevention Information Network Funding Database**
www.cdcnpin.org
P.O. Box 6003, Rockville, MD 20849-6003
(800) 458-5231

✓ **US Department of Health and Human Services Health Resources and Services Administration (HRSA) HIV/AIDS Grants and Grant Resources**
hab.hrsa.gov/about/contact.htm
Office of Communications, 5600 Fishers Lane, Rockville, MD 20857
(301) 443-3376

✓ **US Department of Health and Human Services National Institutes of Health (NIH) Guide for Grants and Contracts**
www.nih.gov/od/oar
Office of AIDS Research, NIH Building 2, Room 4E12, Bethesda, MD 20892
(301) 496-0357

✓ **US Department of Health and Human Services Office of Minority Health**
www.hivinfo@omhrc.gov
Office of Minority Health Resources Center (OMHRC),
Attn: EDN P.O. Box 37337 Washington, D.C. 20013-7337
(800) 444-6472

✓ **US Department of Health and Human Services Substance Abuse and Mental Health Services Administration (SAMHSA)**
www.mentalhealth.org/cmhs/HIVAIDs/about.asp
The Center for Mental Health Services HIV/AIDS Program

20. Where can I go to get additional information about program development?

Program development information may be obtained from the following sources:

✓ Bright Ideas 2001: Innovative or Promising Practices in HIV Prevention and HIV community Planning: Second Edition (March 2001) www.cdc.gov/hiv/pubs/brightideas.pdf
✓ CDC Business Responds to AIDS and Labor Responds to AIDS Programs www.cdc.gov/hiv/hivinfo/brta.htm
✓ HIV Prevention Among Injection Drug Users www.cdc.gov/idu/
✓ Learning From the Community: What Community-Based Organizations Say About Factors that Affect HIV Prevention Programs (October 10, 2001) www.cdc.gov/hiv/aboutdhap/perb/cbo.pdf
✓ Replicating Effective Programs Plus www.cdc.gov/hiv/projects/rep/default.htm
✓ The State of Latinos in HIV Prevention Community Planning (March 14, 2002) www.cdc.gov/hiv/pubs/SLCP.pdf

21. Where can I find information about living with HIV or AIDS?

Free referrals and information:
CDC National AIDS Hotline
English: (800) 342-AIDS (2437) [24 hours/day]
Spanish: (800) 344-SIDA (7432) [8 a.m.-2 a.m. EST]
TTY: (800) 243-7889 (deaf and hard-of-hearing) [Monday-Friday 10 a.m.-10 p.m. EST]

Free materials:
CDC National Prevention Information Network
(operators of the National AIDS Clearinghouse)
(800) 458-5231
1-301-562-1098 (international)
P.O. Box 6003
Rockville, MD 20849-6003

Free HIV/AIDS treatment information:
AIDS Treatment Information Service (ATIS)
(800) 448-0440
Project Inform
(800) 822-7422

Drugs undergoing clinical trials:

AIDS Clinical Trials Information Services (ACTIS)

(800) 874-2572

Social Security benefits:

Social Security Administration

(800) 772-1213

APPENDIX C:
Bibliography

The Aspen Institute. *New Approaches to Evaluation Community Initiatives. Volume 1: Concepts, Methods, and Contexts.* 1999. www.aspenroudtable.org/voli/index.htm.

The Aspen Institute. *New Approaches to Evaluating Community Initiatives. Volume 2: Theory, Measurement, and Analysis.* www.aspenroundtable.org/vol2/index.htm.

Bobb, Biehl and Engstrom, Ted W. *Boardroom Confidence.* Sisters, Ore.: Questar Publishers. 1993.

Centers for Disease Control and Prevention. *HIV Prevention Community Planning: Shared Decision Making in Action.*

Centers for Disease Control and Prevention. *Suggested Guidelines for Developing an Epidemiological Profile for HIV Prevention Community Planning.*

A Community's Guide To Tailored Adolescent Program Development. Dallas, Texas: The Family Place. www.familyplace.org.

"Evaluating Comprehensive Community Change." Report of the Annie E. Casey Foundation. Given March 1997 at the Research and Evaluation Conference. www.aecf.org/publications/evaluation/index.htm.

Gibson, Terry L. *Cooperative Extension Program Planning in Wisconsin.* Madison, Wisc.: University of Wisconsin. 2001.

Krotzmann, John and McKnight, John. *Building Communities form the Inside Out: A Path Toward Finding and Mobilizing a Communities Assets.* The Asset-Based Community Development Institute. 1993.

Kubisch, Anne C. *Comprehensive Community Initiatives: Lesson in Neighborhood Transformation.* Shetterforce Online. January/February 1996. www.nhi.org/online/issues/85/compcominit.html.

Linney, J. and Wandersman, A. *Prevention III: A Four-Step Guide to Useful Program Assessment.* Rockville, Md.: Office of Substance Abuse Prevention.

Morrisey, George L. *A Guide to Strategic Thinking: Building Your Planning Foundation.* San Francisco: Jossey-Bass.

Pew Partnership for Civic Change. *Building Healthy Communities.* Charlottesville, Va.

Pitcoff, Winton. *Comprehensive Community Initiatives: Redefining Community Development.* Shelterforce Online. January/February 1998. www.nhi.org/online/issues/97/ccis.html.

Smock, Kristina. "Comprehensive Community Initiatives: A New Generation of Urban Revitalization Strategies." www.comm-org.utoledo.edu/paters97/smock/cciweb2.htm

Statistical Abstract of the United States: 2001. The National Data Book, Washington, D.C. 2001.

US Department of Health and Human Services. *Prevention Plus II: Tools for Creating and Sustaining Drug-Free Communities.* Public Health Service National Clearinghouse for Alcohol and Drug Information. P.O. Box 2345 Rockville, MD 20852.

US Department of Health and Human Services Office for Substance Abuse Prevention. *Prevention Plus III: Assessing Alcohol and Other Drug Prevention Programs at the School and Community Level.* 5600 Fishers Lane, Rockwell II, Rockville, MD 20857.

NATIONAL MINORITY AIDS COUNCIL

National Minority AIDS Council
Technical Assistance, Training and Treatment Division
1624 U Street, NW
Washington, DC 20009
(202) 234-5120
www.nmac.org