

Health Promotion Strategies: Week 9

Social-environmental change strategies

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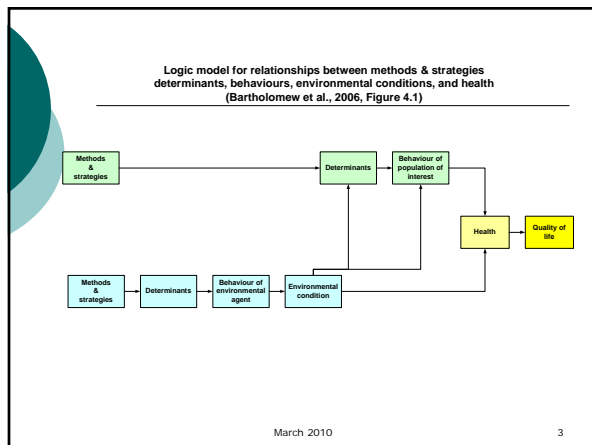
PLEASE NOTE: Some slides have been downloaded (with appreciation) from the Intervention Mapping Online Resource website (at <http://www.sph.uth.tmc.edu/chppr/interventionmapping/>)

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Class agenda

1. Environment-oriented theories
 1. Identifying *environmental conditions* that require changing
 2. Identifying *change agents*
 3. Identifying methods & strategies for *influencing change agents*
2. Introduction to *community development/organization* concepts (to be continued)
3. Checking in on Assignment 2
4. Wrap up & preparation for next week's class

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Class preparation assignment

Develop a conceptual/logic model that identifies/portrays:

1. the socio-environmental conditions that are associated with your chosen issue
2. potential environmental agents who might have an influence on the socio-environmental conditions that are associated with your chosen issue
3. how you might influence these environmental agents

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Influencing environmental factors

- How can we influence the meso and macro ecological levels?
- What theories? What evidence?
- Approaching community organization, organizational change, advocacy & policy through the back door
- Taking a holistic approach to change theories—i.e., they are complementary, synergistic etc..

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Groups: identifying *environmental conditions and change agents*

1. What *environmental conditions* did you identify as needing to be changed—that is, to make a difference re. your chosen issue/problem?
2. What *environmental agents* did you identify as possibly having an influence on the environmental conditions you identified?
 1. What kinds of change agents did you identify?
 2. How did you identify these environmental agents?
3. In what ways might you *influence these environmental agents*?
 1. How did you identify ways to influence the environmental agents?

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Class

- The **role/importance of problem and solution trees**
- Examples of students' **problem and solution trees**
- Change agents** can include: individuals, groups, social networks, coalitions, community members, opinion leaders, policy makers, etc. (see Bartholomew's summaries)

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Groups: socio-ecological analyses

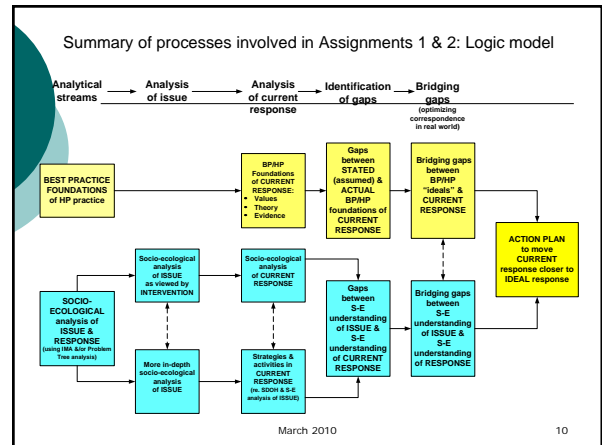
- What were the main results of your **socio-ecological analysis of the issue?**
- How is your **socio-ecological analysis of the issue** related to identifying **environmental change agents?**

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Class: Integration of problem/solution trees (IMA logic model) and socio-ecological analysis of issue

- Identifying (via P/S trees AND via socio-ecol analysis, i.e., at socio-ecol **levels**)
 - environmental conditions:**
 - change agents:**
- influencing change agents:** using influence methods/strategies appropriate for the environmental change agents at each relevant socio-ecol level

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	ASSIGNMENT 1		ASSIGNMENT 2		Identifying "ideal" response in real world	Bridging gap between current and "ideal" response	Action plan to move current response closer to "ideal" response
	Current issue	Current response	Identifying & describing current response (i.e., strategies, activities, processes)	Identifying "gaps" in current response			
Underlying foundations of health promotion practice		Analysis of foundations of current response: •Values •Theorists •Evidence	Identifying gaps between stated/assumed foundations & values, theory, and evidence in actual response		General HP principles that should guide all interventions/responses: 1. Values, theory, evidence (i.e., models/interventions) 2. Multiple synergistic strategies at multiple levels—see Bartholomew et al.) 3. Addressing the social determinants of health	Proposed "bridging of gap" between HP "ideals" and current response	1. Objectives & indicators of success 2. Tasks/activities to achieve objectives 3. Timeline 4. Resources 5. Challenges 6. Evaluation OR 1. Who 2. What 3. How 4. When 5. With what resources 6. With what intended effects
Socio-ecological analyses (May use Intervention Mapping Approach and/or "problem tree analysis")	Socio-ecological analysis of health-related issue	Socio-ecological analysis of current response	The variety of strategies and activities employed in the response, and how these relate to the SDCH at the various levels associated with taking a socio-ecological approach in responding to your selected issue	Identifying gaps between socio-ecological understanding of the response, versus (2) the response—this will identify strengths & weaknesses	Optimizing correspondence between socio-ecological analyses of issue & response—within the constraints of the "real" world of HP practice	Proposed "bridging of gap" between socio-ecological understanding of issue & response	

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The beauty of the IMA

- Over the years, I've struggled to make sense of:
 - community development/organization
 - organizational change/development,
 - advocacy
 - policy
- Now, Bartholomew et al. integrates these strategies: the **socio-ecological approach** requires a mix of strategies

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○ We've already looked at the range of **behaviour-oriented** theories (IMA, Chapter 3)

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Theories focusing on individual (Bartholomew et al., 2006, Table 3.2)

1. **Health Belief Model**
2. **Theory of Planned Behavior**
3. **Transtheoretical Model (Stages of Change)**
4. **Precaution Adoption Process Model**
5. **Social Cognitive Theory**
6. Protection Motivation Theory
7. Information-processing theories
8. Persuasion Communication Model
9. Elaboration Likelihood Model
10. Diffusion of Innovation Theory

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Theories focusing on individual (cont.) (Bartholomew et al., 2006, Table 3.2)

11. Learning theories
12. Goal related theories
13. Habitual behavior
14. Attribution Theory
15. Relapse Prevention Theory
16. Theories of Self-regulation

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Environment-oriented theories of influence & change

At higher ecological levels, all interventions can:

1. Involve an array of methods/strategies
2. Influence a range of sectors/targets
3. Producing a range of actions
4. Resulting in a range of outcomes, effects on individual health behavior & health status, and on the health status of communities (Bartholomew et al., 2006, Figure 4.2)

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Higher socio-ecological level theories of influence/change (Bartholomew et al., 2006, Chap. 4)

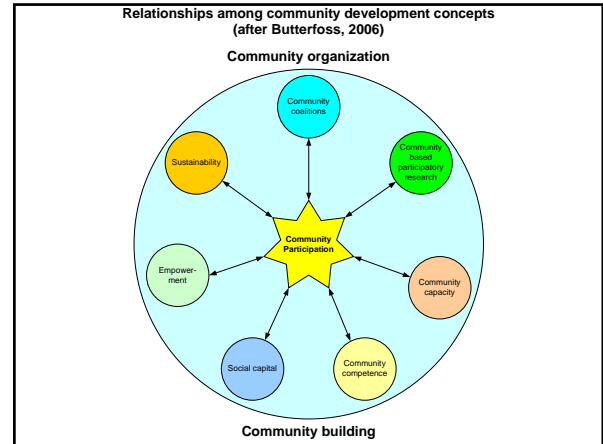
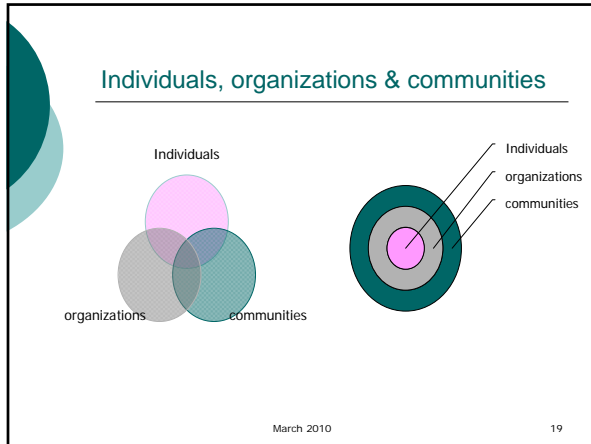
Interpersonal	Organizational	Community	Societal & governmental
Social networks & social support	Organizational development theory	Social norm theories	Public policy 1. Agenda Building Theory (Cobb & Elder) 2. Policy Windows Theory (Kingdon) 3. Advocacy Coalition Framework (Sabatier)
	Diffusion theory & stage theory of organizational change	Paul Freire: conscientization (critical consciousness)	
	Coalition theory (also operates at the community level)	Community organization 1. Social action 2. Social movements 3. Advocacy 4. Media advocacy	

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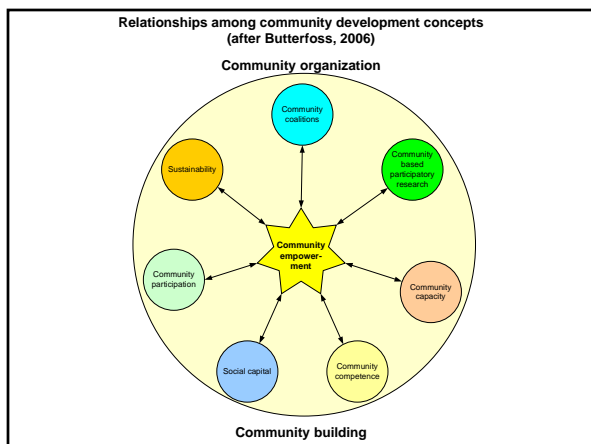
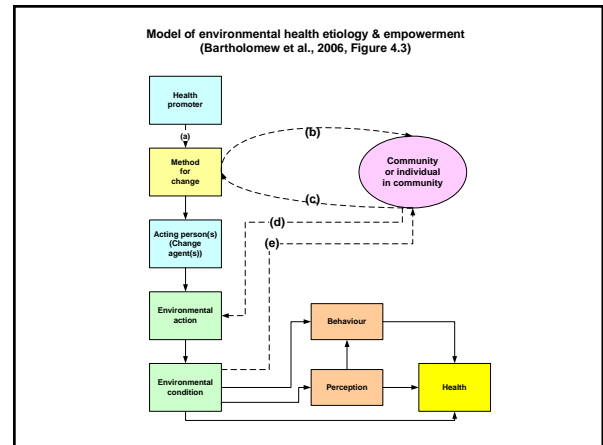
Some dominant concepts in community organization & development

1. Empowerment
2. Community building
3. Community participation (Butterfoss, 2006)
4. Community coalitions (Butterfoss & Kegler, 2002)
5. Community capacity (Norton et al. 2002)
6. Community competence (Eng & Parker, 2002)
7. Social capital (Kreuter & Lezin, 2002)
8. Sustainability (Hur, 2005)
9. Community-based participatory research

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- ### Key concepts: Power & empowerment
- o Different kinds of power at different socio-ecological levels
 - o Typologies of power
 - o Pointing towards concept of "empowerment":
 - underlying all recent conceptualizations of community organization, HP, etc.
 - o Bandura's "collective efficacy"
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- ### Principles of community development
1. Promote active representative citizen participation in decision making so that community members can meaningfully influence decision that affect their lives
 2. Engage community members in problem diagnosis so that those affected may adequately understand the causes of their situation
 3. Help community leaders understand the economic, social, political, environmental, and psychological impact associated with alternative solutions to the problem
 4. Assist community members in designing and implementing a plan to solve agreed upon problems by emphasizing shared leadership and active citizen participation in that process
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Principles of community development (cont.)

- Disengage from any effort that is likely to adversely affect the disadvantaged segments of a community
- Actively work to increase leadership capacity (skills, confidence, and aspirations) in the community development process

Prologue to above principles...
 "The Community Development Society, a professional organization that supports community development as self-determination, espouses the following principles in pursuit of this approach..."
(Community Development Society, 1999; in "The Practice of Local Government Planning," American Planning Association, 2000)

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Interpersonal level theories

- Social networks & social support
- Social capital & social capacity

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Social capital

"...the relationships & structures within a community, Such as civic participation, networks, norms of reciprocity, & trust, That promote cooperation for mutual benefit."
(Putnam, 1995; in Butterfoss, 2006)

"Those specific processes among people & organizations, Working collaboratively in an atmosphere of trust, That lead to accomplishing a goal of mutual social benefit."
(Kreuter & Lezin, 2002)

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Social capital (Kreuter & Lezin, 2002)

- Resource...process...outcome
 - Trust
 - Cooperation
 - Civic engagement
 - Reciprocity
- SC: Bonding and/or bridging

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Mechanisms re. social capital's effect on health (Kawachi & Berkman, 2000; in Bartholomew et al., 2006)

- Influence on health-related behaviour through diffusion of healthy behaviours & social control of deviant behaviour
- Access to services & amenities
- Psycho-social processes, including affective support, & source of self-esteem & mutual respect

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Making use of social capital in public policy: from direct to indirect influence

(http://policyresearch.gc.ca/page.asp?pagenm=rp_sc_final2)

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Community capacity (closely related to "social capital")

"characteristics of communities that affect their ability to identify, mobilize and address social and public health problems"
(Goodman et al., 1998; in Butterfoss, 2006)

"...the interaction of human capital, organizational resources, and social capital within a community, which can be leveraged to increase community problem solving to improve or maintain community well-being."
(Chaskin, 2001; in Bartholomew et al., 2006)

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Community competence (another closely related concept)

"Community competence occurs when various parts of the community collaborate to identify its problems and needs, reach working consensus on goals and priorities, agree on ways and means to implement those goals, and collaborate effectively"
(Eng & Parker, 1994; in Butterfoss, 2006)

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Dimensions of community capacity and related constructs (Norton et al, 2002)

Norton, S. L., McKeown, K. R., Baskin, J. N., Felix, M. R. J., & Torres, A. M. (2002). Community capacity: Concept, theory, and methods. In R. J. DiClemente, R. A. Crosby & M. C. Pagar (Eds.), *Emerging theories in health promotion practice and research*. San Francisco, CA: Jossey-Bass.

1. Skills & resources
2. Nature of social relationships
3. Structures & mechanisms for community dialogue
4. Leadership
5. Civic participation
6. Value system
7. Learning culture

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Organizational change models and theories (see Class #9)

1. Organizational development theory
2. Diffusion theory & stage theory of organizational change
3. Coalition theory (bridge to community-level theories)

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Community coalition theory

A bridge between inter-organizational development & community organization

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Community coalition: definition

(Freighery & Rogers, 1990; in Butterfoss & Kegler, 2002)

"Community coalitions are a specific type of coalition defined as a group of individuals representing diverse organizations, factions, or constituencies within the community who agree to work together to achieve a common goal"

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Community coalition: definition (Clark et al., 2006)

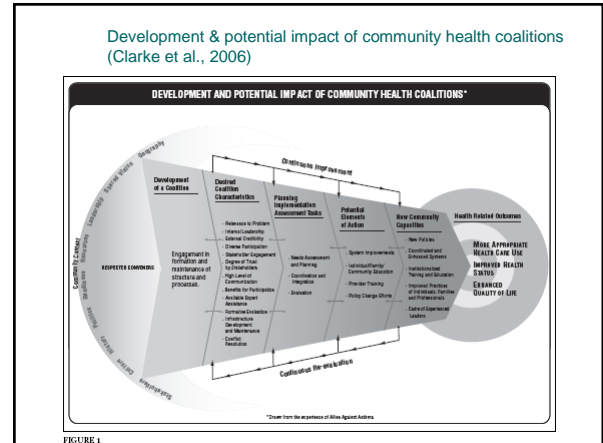
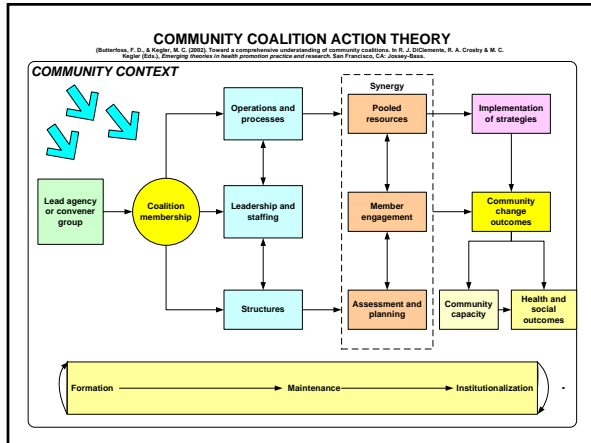
1. serves a defined community (usually having a common location or experience) recognized by those within it as a community
2. is purposeful and its duration is time specific
3. exists to serve the broader community
4. is viewed by community residents as representing and serving them
5. reflects the diversity evident in the community
6. addresses the problem(s) systematically and comprehensively
7. builds community independence and capacity.

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Factors associated with coalition success (Clarke et al., 2006)

Membership	Goals, structure, process	Resources
<ul style="list-style-type: none"> • Collaborative history • Mutual understanding & trust • Collaboration is in one's own interest • Key stakeholders participate 	<ul style="list-style-type: none"> • Attainable goals • Clear roles & guidelines • Open & frequent communication • Members share a stake in process & outcomes 	<ul style="list-style-type: none"> • Good leadership • Paid staff

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Community-level theories

1. Community organization
2. Community Coalition Action Theory (Butterfoss & Kegler, 2002)
3. Paul Freire: Conscientization (critical consciousness)
4. Social Norms Theories
5. Social action, social movements
6. Advocacy (see Class #11)

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Definitions of "community"

1. functional spatial units meeting basic needs for sustenance
2. units of patterned social interaction
3. symbolic units of collective identity
4. social units, people coming together to act politically to make changes
5. overuse of "community"?

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“Community organization” (Minkler & Wallerstein, 1997)

“the process by which community groups are helped to identify common problems or goals, mobilize resources and, in other ways, develop & implement strategies for reaching the goals they collectively have set”

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Rothman & Tropman typology (1987)

- o **locality development:** building group identity & sense of community; process oriented, stresses consensus & cooperation
- o **social planning:** task oriented, stresses rational empirical problem-solving (usually by outside expert) (traditional “community development”)
- o **social action:** increasing community’s problem-solving ability & achieving concrete changes to redress imbalances of power & privilege...; can be both task & process oriented; based on coercive change

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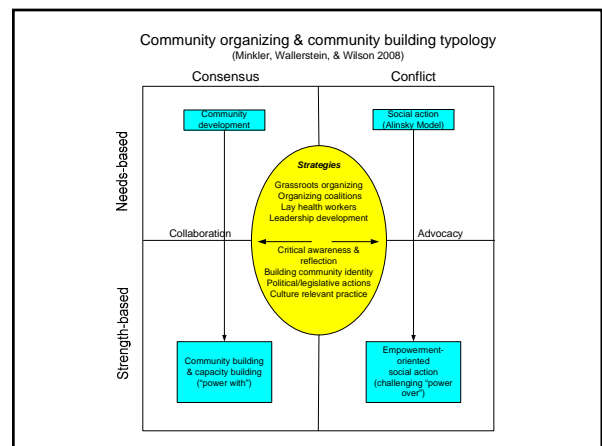
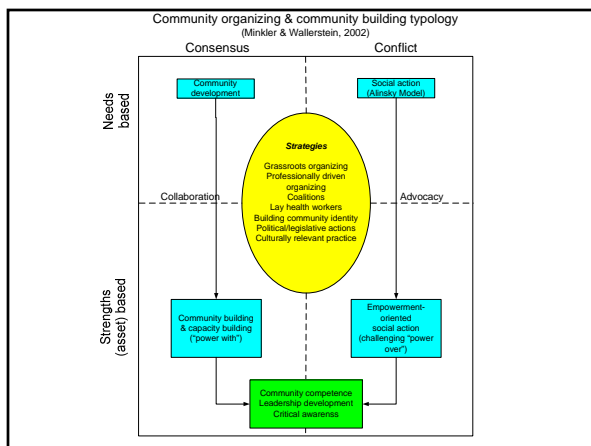
Critiques of Rothman’s typology

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New concept: “Community building”

<p>Minkler & Wallerstein, 1997</p> <p>“..seen...not as a method so much as an orientation to the ways in which people who identify themselves as members of a shared community engage together in the process of community change”</p>	<p>Butterfoss, 2006</p> <p>“a process in which people in a community engage themselves to focus on reinvesting in the community, building and sustaining social capital, promoting community participation, and strengthening families and neighborhoods”</p>
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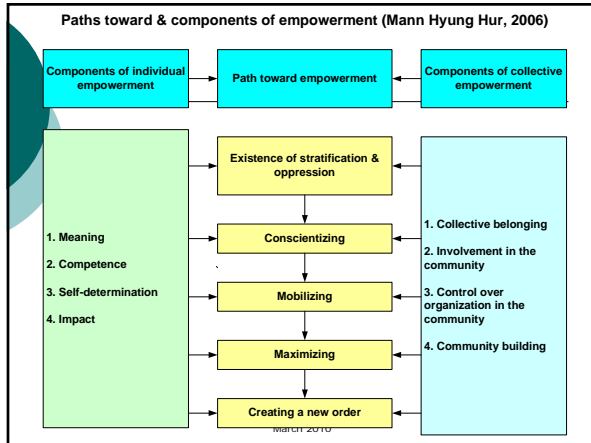
Community organization & community building (Minkler & Wallerstein, 2002)

Concept	Definition	Application
<i>Participation & relevance</i>	Community organizing "starts where people are" & engages community members as equals	Community members create their own agenda based on felt needs, shared power, & awareness of resources
<i>Empowerment</i>	Social action process for people to gain mastery over their lives & the lives of their communities	Comm. Members assume greater power to expand their power from within to create desired changes
<i>Critical consciousness</i>	Consciousness based on reflection & action in making change	Comm. Members engage in dialogue that links root causes & community actions
<i>Community capacity</i>	Community characteristics affecting its ability to identify, mobilize, and address problems	Comm. members participate actively in the life of their community thru' leadership, social networks, & access to power
<i>Issue selection</i>	Identification of winnable & specific targets of change that unify & build community strength	Comm. members identify issues through comm. participation, decide on targets as part of a larger strategy

Empowerment

"multilevel construct that describes a social action process for people to gain mastery over their lives, their organizations, and the lives of their communities" (Butterfoss, 2006)

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- ## Factors influencing community empowerment (Israel et al., 1998)
-
1. Participation
 2. Leadership
 3. Problem assessment
 4. Organizational structures
 5. Resource mobilization
 6. Linkages to other individuals and organizations
 7. Inquisitiveness
 8. Program management
 9. Role of outside agents
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Community participation

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Community participation

<p>"the social process of taking part (voluntarily) in formal or informal activities, programs and/or discussions to bring about a planned change or improvement in community life, services and/or resources"</p> <p style="font-size: small;">Butterfoss, 2006 (after Bracht, 1999)</p>	<p>"Community participation may be seen as a process along a continuum that enables communities to maximize their potential and progress from individual action to collective social and political change"</p> <p style="font-size: small;">(Israel et al., 1998; in Butterfoss, 2006)</p>
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Factors needed for successful community participation (Butterfoss, 2006)

1. knowledge of community history
2. organizational resources
3. influential structures
4. inter-organizational networks
5. early identification & discussion of barriers to community change
6. clearly stated roles and time commitments for community members

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Factors needed for successful community participation (cont.)

7. commitment of project sponsors to partnerships and/or local ownership
8. use of planned reinforcement & participant incentives
9. timely use of conflict-resolution strategies
10. solid leadership
11. effective organizational structures
12. supportive political climate

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Societal & governmental theories (see Class #11)

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