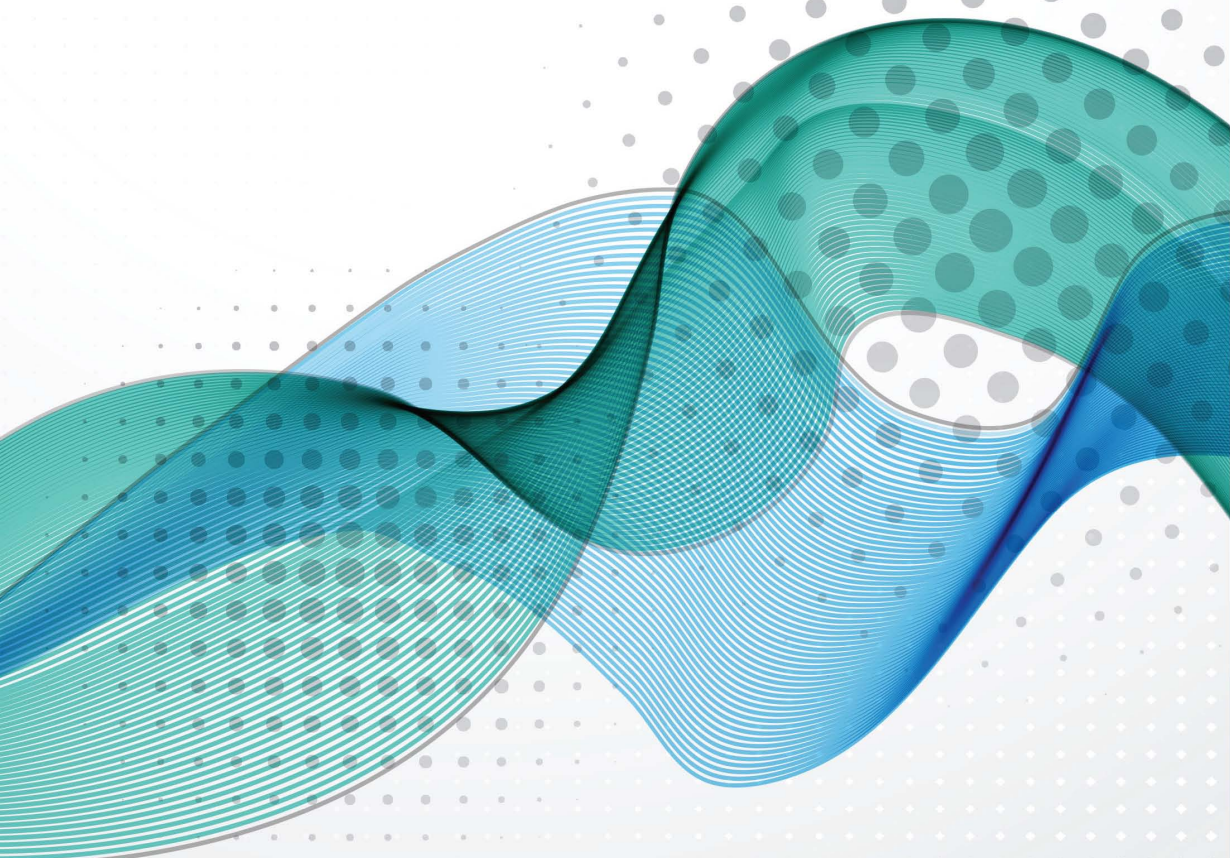# Designing and Managing Programs:

## An Effectiveness-Based Approach
## Fifth Edition

**Peter M. Kettner**
**Robert M. Moroney**
**Lawrence L. Martin**

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# Brief Contents

## PART IV: CALCULATING THE VALUE AND COST OF THE INTERVENTION

# Detailed Contents

**PART II:  PROBLEM ANALYSIS/NEEDS ASSESSMENT**

The companion website at **study.sagepub.com/kettner5e** provides password-protected instructor resources to accompany this book, including a test bank, PowerPoint® slides, and suggested assignments designed by Dr. Kettner.

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# Preface

Our first edition of this book was published by Sage in 1990 at a time when concepts like "outcomes" and "performance measurement" were beginning to emerge as important new directions in planning and funding human service programs. Most of the milestone documents—such as the Government Performance and Results Act of 1993, Governmental Accounting Standards Board service efforts and accomplishments reporting, United Way of America's requirements on measuring program outcomes, and accreditation requirements and funding policies requiring outcome measurement—had not yet been developed.

At that time we were simply trying to get across the concept that the purpose of measuring results or outcomes was to determine whether a particular program was worth the investment and that this kind of information could never be determined by the long-accepted practice of focusing only on "process" or services provided.

It has become clear over the last 25 years that outcome measurement is a worthwhile and widely accepted principle, and a great deal of research, publication, and policy development has gone into ensuring that the focus of practice must shift to understanding what types and volumes of services provided for what types of clients get what results at what cost.

However, it has also become clear that while the basic principles of performance measurement are becoming well entrenched in federal, state, and United Way policies, and in most grant and contract funding, they have not made great inroads in terms of being widely translated into everyday practices in public and private human service agencies. Several researchers and authors have noted that designing and implementing the kinds of information systems that will produce meaningful outcome findings are still beyond the reach of all but the best funded and most highly professional human service agencies.

The target audience of this book since the first edition in 1990 has been local agency program managers and administrators. From the beginning we have been committed to helping local agency supervisors and managers understand how they can take the principles and concepts associated with outcomes and performance measurement and translate them into the policies and practices of their local agencies.

For us, this process has always begun with a solid grounding in theories of program planning and theories of human behavior so that, if local agency personnel choose to undertake the challenge of converting their focus and data collection systems to client outcomes, they will be able to make the needed changes from the perspective of a full professional understanding, and not merely as a technician applying a formula. To quote

from our first preface, "The methods and techniques are introduced and discussed within a theoretical perspective. To do otherwise would imply not only that the subject matter is atheoretical, but that the professional practitioner is basically a technician. Programs without a sound theoretical base, we believe, are built on a flimsy, unsupported foundation."

Building on a sound theoretical base, we have tried to present, in a logical, systematic manner, the steps necessary to develop successful programs: (1) beginning with the explication of a program hypothesis, (2) continuing through the articulation of goals and objectives, (3) building in the necessary elements of program design, (4) collecting meaningful and useful data, (5) evaluating results from a variety of perspectives, and (6) learning how to analyze the costs associated with each phase of the program.

With each new edition we have tried to be responsive to feedback from faculty, students, and practitioners, and this edition is no exception. Chapter 1 has been reorganized to focus more on the elements to look for at each stage of an existing program to determine whether it can be translated to conform to effectiveness-based planning principles. The questionnaire has been removed from Chapter 1 and put online. In Chapters 2 through 6, concepts have been explained in new ways and terms clarified to help the reader better grasp their significance. In Chapters 7 through 9 many graphics have been added to accommodate the visual learner. In response to several requests, the fit between the logic model and effectiveness-based planning has been further explained in the text and illustrated in flow charts. In Chapters 10 through 13 examples have been updated and budget and evaluation figures adjusted to reflect current realities of practice.

As requested, we have kept the Safe Haven domestic violence shelter example throughout to enable the reader to follow the flow of program development from initial articulation of the program hypothesis through the final stages of program evaluation and budget analysis.

While we are very pleased with the progress that has been made over the last 25 years at the policy and funding levels, we continue to hope that future programs and services at the local agency level will wholeheartedly adopt a focus on outcomes and performance measurement, and that local agency administrators, managers, supervisors, and practitioners will develop a curiosity about the complex questions: What types of services with what types of clients receiving what types of services get what results and at what cost?

In our fourth edition we included an afterword that offered suggestions about how some agencies have made use of existing resources, including interns, volunteers, technical expertise, board members, and other resources, to begin to construct a data collection system that would help to better understand client needs, design meaningful services, and measure results. This section has been eliminated at the suggestion of several reviewers, the message being that most local human service agencies already have their hands full and cannot realistically take on anything of this scope on top of their regular duties. Hopefully policymakers and funders will recognize what it takes at the local level to produce meaningful data and information on outcomes, and the next major emphasis in the outcomes movement will be to offer incentives and the level of funding needed to make effectiveness-based planning a reality.

We wish to thank our reviewers for their very thoughtful responses to the many questions posed to them about changes needed to the fourth edition. We assure them that their

feedback was taken very seriously and incorporated wherever possible. We hope they and other faculty across the country find the changes helpful. Our enduring thanks goes to our SAGE Publications acquisitions editor for human services, Kassie Graves. She has always solicited detailed feedback from reviewers and organized it for us in a way that leads to making the new edition better than the one before. Our thanks also to Carrie Montoya, senior editorial assistant, for always being available to respond quickly to our questions and bringing the manuscript through to completion. Ultimately, the hope of the authors, editors, and reviewers is that this book can help to make the planning process understandable and useful for students and practitioners.

*Peter M. Kettner*
*Robert M. Moroney*
*Lawrence L. Martin*

# Acknowledgments

# About the Authors

**Peter M. Kettner** is professor emeritus at the Arizona State University School of Social Work. He is the author of six books, four of which have been translated into multiple languages. He has also authored over 50 articles, monographs, and book chapters on the topics of purchase-of-service contracting, privatization, macro practice in social work, human services planning, and social work administration. Over his 30-year career in academia, he served as consultant to five different state human service agencies and dozens of local nonprofit agencies on their purchase-of-service contracting practices and in the design and implementation of effectiveness-based planning systems. In retirement, he has continued his writing and consultation with local government and nonprofit agencies.

**Robert M. Moroney** is professor emeritus of Social Policy and Planning at the School of Social Work at Arizona State University. He is the author of 10 books and over 60 articles and book chapters on various aspects of policy, planning, and program evaluation. He has been associated with a number of policy centers, including the Bush Institute at the University of North Carolina and the Vanderbilt Institute of Public Policy. He also spent a year at the invitation of the Joseph Rountree Memorial Trust and the Department of Health and Human Services, England, examining that country's social policies affecting the family. He recently was a Senior Fulbright Scholar with the Department of Social Policy and Social Work, University College Dublin, and more recently a Senior Fulbright Scholar at Vilnius Pedagogical University. He currently serves as a board member of the Rosalyn Carter Institute for Human Development. He does extensive consultation with numerous national, state, and local human service organizations.

**Lawrence L. Martin** is professor of public affairs, social work, and public administration at the University of Central Florida in Orlando. He was previously on the faculty of the Columbia University School of Social Work in New York City, where he directed the program in social work administration. He is the author or coauthor of 30 books and major monographs and over 100 articles and book chapters on human services administration, procurement and contracting, performance measurement, state and local government, and budgeting and financial management. His works have been translated and reprinted in Chinese, French, Korean, Portuguese, Russian, and Mongolian. He has provided consultation and training to numerous state and local governments and nonprofit organizations throughout the United States. He has also worked internationally with governmental and nongovernmental organizations in Canada, France, Germany, Sweden, and Mongolia.

# PART I

# Assessing Current Practices

C H A P T E R   1

# Contemporary Issues in Human Service Program Planning and Administration

## CHAPTER OVERVIEW

**The purpose of this chapter is to introduce:**

- The major governmental and other initiatives that have prompted the need for program planning
- The relationship between the logic model and program planning
- How agencies and community-wide networks relate to each other in addressing social problems
- The steps that are involved in effectiveness-based program planning
- The elements of a program that are critical to measuring effectiveness

**The following topics are covered in this chapter:**

- The Era of Accountability
- Designing for Monitoring, Performance Measurement, and Program Evaluation
- The Logic Model
- Community Focus
- The Issue of Effectiveness
- Assessing an Existing Program
- What Is Effectiveness-Based Program Planning?
- Using Effectiveness Principles to Understand Existing Programs
  - ❍ Defining Programs
  - ❍ Assessing Diverse Populations
  - ❍ Problem Analysis
  - ❍ Needs Assessment

- ❍ Selecting a Strategy and Establishing Objectives
- ❍ Program Design
- ❍ Data Requirements for Performance Measurement
- ❍ Monitoring and Using Information Technology
- ❍ Program Evaluation
- ❍ Budgeting
- Implementation Considerations
- Summary
- Review Questions

# THE ERA OF ACCOUNTABILITY

When it comes to planning, funding, and implementing human service programs at the federal, state, and local levels, times have changed dramatically over the last few decades. Since the concepts of accountability, measuring results, and cost-benefit analysis have emerged over the past few decades, human services have been brought under a good deal more scrutiny (Hatry, 2010). Instead of funding for service delivery, the focus shifted to funding for results and return on investment.

The Government Performance and Results Act (GPRA) of 1993 (Public Law No. 103-62; Office of Management and Budget, 1993), reaffirmed by the GPRA Modernization Act of 2010 (Public Law 111-352), has become a major driver of performance accountability at the federal level (Hatry, 2014). GPRA requires federal departments and agencies to annually report their performance to the president and Congress. A second driver of performance accountability at the federal level is the performance contracting requirements of the Federal Acquisition Regulation (FAR). The FAR represents the formal contracting policies and procedures of the federal government. The FAR requires that "all federal service contracts (including human service contracts) be *performance based* to the maximum extent possible" (FAR, 2015).

At the state and local government levels, two major drivers of performance account-ability are the reporting initiative of the Governmental Accounting Standards Board (GASB) and the performance measurement requirements imposed by governors and legislatures. GASB sets financial and reporting standards for state and local governments. GASB has long advocated that state and local governments adopt performance accountability systems that track and report on the outputs, quality, and outcomes of government programs. GASB (1993) calls its recommended performance accountability system service efforts and accomplishments (SEA) reporting. Private sector funding organizations, such as foundations and the United Way (1996), have also adopted performance accountability systems. Most nonprofit human service agencies that receive government, foundation, or United Way funding through grants and contracts have likewise adopted performance accountability systems in order to satisfy the reporting requirements of their funders (United Way, 2003).

In 2013 the federal Office of Management and Budget (OMB) issued new regulations governing federal grants (Martin, 2013). The new regulations require that, in order to receive federal funding in the future, grant recipients must specify *performance and outcome measures*. Additionally, some grant recipients may be paid for achieving performance expectations and results, not activities, and these must be certified in writing (U.S. Government Printing Office, 2015). If monitored and enforced, the new regulations will essentially require that the steps we describe in the following chapters be standard expectations in order to receive federal funding for human service programs. These requirements may create a tension between what the funding source expects and what the local program hopes to accomplish, so in creating data collection systems it is important to consider as many perspectives (e.g., client, staff, management, board, community interests) on the definition of effectiveness as possible.

## DESIGNING FOR MONITORING, PERFORMANCE MEASUREMENT, AND PROGRAM EVALUATION

Designing programs and services for effectiveness involves collection of the kinds of data that will support responsiveness to funding source mandates for accountability and at the same time will allow program evaluators to determine whether the programs are getting the desired results. This is an important point. If monitoring, performance measurement, and program evaluation information is anticipated at the end of service provision, this information will be available only if certain design elements are incorporated at the beginning of the planning process. The Urban Institute pioneered an effort to establish criteria by which programs could be assessed in terms of whether they could be evaluated. They called this effort "Evaluability Assessment." Here are some of the criteria they specified in order for a program to be considered "evaluable":

- Evidence required by management can be reliably produced.

- Evidence required by management is feasible to collect.

- Management's intended use of the information can realistically be expected to affect performance. (Schmidt, Scanlon, & Bell, 1979)

The term *evidence* refers to the collection of data around specified variables that define the details of service provision and results. The term *evidence-based practice* has come into prominent use in many professions, including social work, to emphasize that clinical decisions must be based on the best available evidence from systematic research wherever possible (Johnson & Austin, 2006; McNeill, 2006). Management's use of evidence simply takes this concept to the next level, defining the parameters within which evidence will be collected, how it will be aggregated, and how it will be used for monitoring, performance measurement, and program evaluation. One thing should be made perfectly clear: Designing programs that can be evaluated means collecting quantified data on service provision and client response. It also requires that data be captured in a spreadsheet or database format to facilitate analysis. Only when data are

**Figure 1.1** The Logic Model

| Inputs | Process | Outputs | Outcomes | Impact |
|---|---|---|---|---|
| **Definitions** Resources and raw materials | Activities that use inputs to achieve objectives with raw materials | Measurements of services provided and completion of all services prescribed | Demonstrated benefits to those receiving services | Measurable changes occurring in organizations, communities, or systems as a result of services |
| **Example resources** Staff, volunteers, money, materials, space, technology **Raw materials** Clients | Parent training for abusive and neglecting parents | Number of training hours provided; Number who complete the entire course and receive a certificate | Number of those who completed the course who actually demonstrate improved parenting skills | Reduction of reports of abuse and neglect in the community |

displayed in some way that permits comparisons can the program planner or analyst begin to understand what works and what doesn't.

## THE LOGIC MODEL

As discussed above, government programs were focused for so many years on *process* or *provision of services* that it has become a long and arduous process to shift the conceptual framework to one that emphasizes *outcomes* and *results*. A framework that has been very influential and helpful in understanding the basic concepts associated with effectiveness-based planning is the logic model. Introduced in the 1960s and 1970s, it was intended to shorten what was then a very cumbersome process of evaluating federally funded programs (Wholey, 1983, 1994). The widespread adoption of the concepts was given a significant boost by the United Way of America's publication *Measuring Program Outcomes* in 1996.The logic model borrows concepts from systems theory to create and build upon a foundation in a way that helps to see the relationships between and among the resources invested, the services provided, and the results achieved.

Effectiveness-based program planning uses *program* as the unit of analysis. The value of the logic model is that it permits us to depict the sequence or flow of events that identifies program resources, matches resources to needs, quantifies the service process, tracks completion of the service process, and measures results. The sequence is depicted in Figure 1.1.

This model allows the planner to see the rational flow of addressing a problem and applying a process, while maintaining a focus on the purpose of the entire effort: effecting positive changes in the lives of clients and reducing the size and scope of a problem in a community. Definitions and applications of inputs, process, outputs, outcomes, and impact will be addressed throughout this book to emphasize the importance of understanding the logical, conceptual flow of the program-planning process. While many examples will be provided, it is important to remember that when applied, the principles should be used as guiding concepts and not as a rigid formula.

## COMMUNITY FOCUS

One result of the emphasis on accountability has been to shift the focus from what an agency is providing and accomplishing to what happens to a target population within a community as a result of having received a particular set of services. Most problems addressed by human service programs are community problems, such as children in need of a safe environment, homeless people in need of shelter and rehabilitation, victims of crime and violence in need of protection, family breakdown, addictions, and others. Over the past few decades there has also been an increasing recognition that meeting the needs of various ethnic and special populations, including African Americans, Asian Americans, Latino Americans, Native Americans, gays, lesbians, bisexual and transgendered people, low socioeconomic-status people, and other special

populations may require adaptations. Research findings on success with these populations are limited, and requirements for outcome-oriented approaches have the potential to begin to meet the need for more complete findings (U.S. Department of Health and Human Services, 2001).

The kinds of problems brought to human service agencies are so complex that it is unlikely that services from just one agency can ever have a significant and measurable impact on an entire community. For this reason, funding sources have learned that they must put resources (primarily money) into a community with the expectation that a number of agencies will collaborate in addressing the problem in the interest of achieving a more comprehensive impact.

This community-wide focus means that early in the planning and proposal writing stages of a program, planners need to study the problem and identify the characteristics of the target population. Characteristics should anticipate data elements that will be needed to answer questions that may arise about the effectiveness of the program. In the following chapters we will examine in great detail the many developmental phases a program must go through and the many elements that need to be included if it is to be considered effectiveness-based. We will also attempt to illustrate how agency information systems and agency budgets can be structured in a way that allows them to fit into a larger community system, thus enabling state- and community-level organizations to measure the impact on the problem.

Basic to all program monitoring, performance measurement, and evaluation is the need for appropriate information technology support in terms of computer hardware, software, and expertise capable of tracking clients and generating program reports. Yet to achieve the full benefits of effectiveness-based program planning, there must be a strong commitment from the top and throughout the staff that evaluation of effectiveness is critical to the success of any client service program and that evaluation data will be used to initiate continuous quality improvement in the program as it becomes clear that changes are needed.

## THE ISSUE OF EFFECTIVENESS

Both efficiency and effectiveness have become major considerations in human service program and agency administration. *Efficiency* can be defined as the volume of service a program provides in relation to its costs (how much service is the agency getting for its dollar?). *Effectiveness* refers to the achievement of client outcomes (quality-of-life changes) as the result of receiving services (how much better off are clients as a result of having received this service?). Measuring outputs and outcomes requires that service providers track such factors as the amount of service a client received, whether the client completed the program or dropped out, and how much the client improved between entry into and exit from the program.

The term *program* also has some very specific meanings. A program is defined as a prearranged set of activities designed to achieve a stated set of goals and objectives (Netting, Kettner, & McMurtry, in press). This is an important and sometimes elusive concept for a newcomer to the profession to grasp. All measurement relies on first defining the

**Figure 1.2**   Organizational Chart Displaying Programs

Police Services

| Community Safety and Support | Crime Investigation | Road Safety and Traffic Management | Services to the Judicial Process |
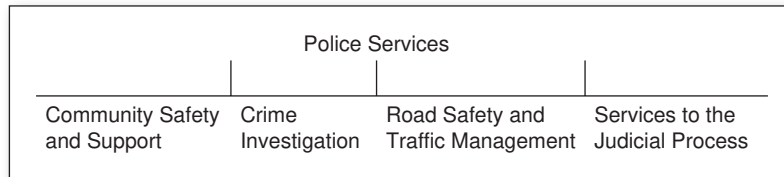
elements that will go into program construction. If there is an expectation that stated *objectives* will be met and that monitoring, performance measurement, and/or evaluation will take place at some point, then an agency must plan in advance to establish goals and objectives and to provide clear definitions of services to be provided and results expected (all, of course, in writing). Client requests for help must be categorized in some way, after which clients are directed into services that offer the best possibility of meeting their needs and resolving their problems.

The Commonwealth of Australia has done a particularly good job of applying the concept of effectiveness-based program planning for government-sponsored services. For example, in defining police services, rather than simply operating under the generic heading of crime-fighting, law enforcement efforts are broken down into four areas or programs: (1) community safety and support, (2) crime investigation, (3) road safety and traffic management, and (4) services to the judicial process (Steering Committee for the Review of Government Service Provision, 2006). The point is that services need to be categorized, defined, matched to client need, and delivered to determine whether they have been successful. Data collection systems are closely tied to program definitions. When programs have been conceptualized and have a set of goals and objectives that they are expected to achieve, then they ought to have visibility on the organizational chart, as depicted in Figure 1.2, and have staff and resources assigned to them.

Programs may be staffed by specialists who work exclusively with a defined population or problem, or staff responsibilities may cut across more than one program. The important issue is that client data must be associated with specific programs and services so that valid and reliable measures are produced.

## ASSESSING AN EXISTING PROGRAM

In this opening chapter we will attempt to illustrate that designing effective programs requires a careful, detailed thought process that begins with an understanding of a social problem and ends with analysis of data on effectiveness. Chapters 2 through 6 will focus on assessing and understanding problems and needs. Chapters 7 through 9 will present a step-by-step process on writing goals and objectives, designing programs, and collecting and using data for analysis of efficiency and effectiveness. Chapters 10 through 13 will explain alternative budgeting and evaluation systems.

The tasks and processes of program development that will be proposed are by their very nature complex, simply because social, family, and personal problems are complex and sometimes well entrenched. The problems and the populations to be served will require thoughtful study and analysis. The purpose of delving into the complexities of social problems and human service programs is to ensure that there is a good fit of service to need. When this happens, services can be more precisely focused on getting the kinds of results intended. In short, it is a more proactive approach that is more assertive in ensuring service providers produce results rather than merely hoping that things turn out well for the client.

Perhaps in the same way that an understanding of the law is of critical importance to a practicing attorney or an understanding of the body is important to a physician, so an understanding of social problems and programs is central to the practice of social work planning and administration. This understanding will require that old assumptions be challenged and new approaches to serving clients be implemented as we learn more about effectiveness. In a sense, we will be proposing that programs go through periodic checkups, including data analysis, use of benchmarks, and comparison to best practices and the results they are achieving. These indicators should be helpful in determining a program's continuing effectiveness and relevance in a changing environment. Failure to convert to these types of data and information becomes much like competing in an athletic competition without keeping score.

## WHAT IS EFFECTIVENESS-BASED PROGRAM PLANNING?

The idea of conducting periodic checkups is, in essence, what effectiveness-based program planning is all about. Designing effective programs requires that social service professionals develop a thoroughly researched understanding about social problems, people in need, and human services. A commitment to effectiveness requires the collection of new kinds of data—data that will provide information about client conditions at entry into and exit from services, thereby making clear the impact of services on problems. This approach will make clear what is working and where changes in programs are needed so that services provided do more of the things that help and fewer of the things that do not. The system is designed to be useful for both direct service and management purposes.

Effectiveness-based program planning involves taking a program through a series of steps designed (1) to produce a clear understanding and definition of the problem to be addressed, (2) to measure client problem type and severity at entry, (3) to provide a relevant intervention, (4) to measure client problem type and severity at exit, and (5) to examine selected indicators in a follow-up study to determine short- and long-range outcomes. The purpose of all of these activities is to provide a basis for continual improvement of services to clients and to provide a common database for both clinical and administrative staff for analysis and decision making about program changes. This way, instead of asking clinicians to fill out forms useful only for completing management reports, clinical staff can record data useful for understanding the progress of

their clients and, at the same time, provide data and information necessary to good program management.

## USING EFFECTIVENESS PRINCIPLES TO UNDERSTAND EXISTING PROGRAMS

In the following chapters we will present a step-by-step process that will enable the reader to begin with a social, family, or personal problem experienced by clients, end with a program designed to get results, and be able to document them. Before beginning these chapters, however, we propose that you take a few minutes to take stock of current agency practices in a human service agency with which you are familiar as a means of becoming acquainted with some of the basic concepts of effectiveness-based program planning. This may be helpful in drawing a contrast between the way human service programs are often designed and the way they must be designed for measurement purposes. The purpose of this exercise it to introduce you to the concepts and issues that are critical to understanding effectiveness-based program planning. The remaining chapters will be devoted to explaining these in detail.

The planning process can be divided into sections on each of these topics:

- Defining programs

- Assessing diverse populations

- Problem analysis

- Needs assessment

- Selecting a strategy and establishing objectives

- Program design

- Data requirements for performance measurement

- Monitoring and using information technology

- Program evaluation

- Budgeting

It should be evident at this point that each step of the planning process corresponds, in a way, to the sequence depicted in the Logic Model. Figure 1.3 illustrates these relationships. Note how much of the planning process is devoted to understanding and analyzing program inputs. If this part of the process is approached methodically, the rest should flow logically, as will be explained in the following chapters.

A program assessment instrument is provided online at **study.sagepub.com/kettner5e**. This instrument is designed to provide a quick overview of a program's strong and weak areas. The program-planning model discussed is designed for those programs that provide a direct service to clients. It is not applicable for support programs such as fund-raising, lobbying, and advocacy.

**Figure 1.3**    The Logic Model Applied to the Planning Process



| Inputs | Process | Outputs | Outcomes | Impact |
|---|---|---|---|---|
| • Resources and Raw Materials | • Activities that use inputs to achieve objectives with raw materials | • Measurements of services provided and completion of all services prescribed | • Demonstrated benefits to those receiving services | • Measurable changes occurring among target populations identified in objectives |
| – Defining Programs<br>– Assessing Diverse Populations<br>– Problem Analysis<br>– Needs Assessment | – Selecting a Strategy and Establishing Objectives<br>– Program Design<br>– Data Requirements for Performance Measurement | – Monitoring Using Information Technology | – Program Evaluation<br>– Budgeting | – Program Evaluation<br>– Budgeting |

## Defining Programs

An important first step in program planning is to be sure that the program is clearly defined. Services may be organized into programs that offer a specialized set of services to a defined population (e.g., detox, family counseling, employment services). Others may be designed in a way that all clients come through a common intake point and are systematically assigned to case managers who have room in their caseloads rather than to specialists. This is an important distinction in applying the principles of effectiveness-based program planning and one of the first elements of design that need to be assessed. The online questions on defining programs are intended to encourage you to think through where your agency stands on its definition and specialization of programs.

## Assessing Diverse Populations

A surgeon general's report published in 2001 identifies a number of disparities in mental health care for racial and ethnic minorities: (1) minorities have less access to services and are therefore less likely to receive needed services, (2) minorities often receive a poorer quality of mental health care, and (3) minorities are underrepresented in mental health research (U.S. Department of Health and Human Services, 2001). There is ample evidence that these disparities also apply to a wide range of health and human services to minority groups and other special populations (Lam & Sue, 2008). As states and communities attempt to address these disparities, program planners will need to take steps to ensure that programs and services are designed in a way that is inclusive and meets the needs of all populations.

Furthermore, many of the counseling professions have established standards that require that their members be inclusive and culturally competent in the provision of counseling and other services (Calley, 2011). While it is usually premature at this point to try to narrow down and define specific populations to be served, it is not too early to ensure that the complete range of possible target populations is taken into consideration in assessing needs. The online questions on assessing diverse populations should help to sensitize planners to all of the populations that are represented in the community so that they will be included in assessments and in planning for services.

## Problem Analysis

In Chapters 2 and 3, we deal with the need for a thorough understanding of the theoretical underpinnings and the etiology (cause-and-effect relationships) of the problem(s) the program is intended to address. Sound practice requires that programs be based on a thorough study and analysis of the problem, but that is not always the case. Programs are sometimes planned and funded for political or ideological reasons without regard for the facts or the realities of the situation. However, as we hope to demonstrate, those programs that have the greatest probability of success will be those that develop a clear understanding of the type, size, and scope of the problem as well as its relevant historical highlights, theory, research findings, and etiology.

For example, if a program is to be designed to treat drug users, it would be important to understand that people use drugs for different reasons, and treatment must be carefully tied to these reasons. Prescription drug abusers, junior high school kids experimenting with marijuana, and street gang members selling and using methamphetamines, for example, each need to be understood in context. Program planners, therefore, must set out to discover how many of each type are in the community, their reasons for using drugs, where they live, and how severe their problems are. Ethnic minority and other special populations also need to be identified and etiology examined to determine whether there are different factors that contribute to the problem or need. This approach provides a solid foundation on which to build an effective and precisely targeted program or intervention. Online questions on problem analysis are designed to help understand the extent to which a given program is incorporating background information into its understanding of the problem.

## Needs Assessment

When someone is experiencing a problem, that individual has a need. Sometimes the need is obvious: Someone who is homeless needs a home; someone who is unemployed needs a job. At other times the need is more subtle and more difficult to meet—for example, the need for a permanent and loving relationship with a nurturing parent substitute, the need for a mentor to help build self-confidence, or the need to learn a work ethic in order to succeed in employment.

Accuracy and skill in matching needs to services comes from thorough study of the problem. Once you are comfortable that you have an understanding of need, it is time to turn to techniques of needs assessment. There are four different perspectives from which we look at need: *normative need* (as defined by experts in the field), *perceived need* (as seen

by those experiencing the need), *expressed need* (from those who seek out services), and *relative need* (needs and resources in one geographic area compared with needs and resources in another; Bradshaw, 1972). The online questions on needs assessment will help you understand each of these perspectives on need and think through the extent to which your programs have taken these perspectives into account.

## Selecting a Strategy and Establishing Objectives

Once the problem analysis and the needs assessment have been completed, it is time to begin to think about a strategy for reducing or eliminating the problem by meeting the identified needs. This involves a number of steps. By this point in the program-planning process, we are well grounded in history, theory, research, and etiology of the problem and population and are in a position to propose an appropriate intervention. This involves proposing one or more program hypotheses—statements about what outcomes are expected if a person with the problems we have defined receives appropriate service(s). Program hypotheses, then, provide a framework for the development of precisely stated goals, objectives, and activities. The online questions should help in assessing your understanding of a program's underlying assumptions and expectations, and the fit of need to the proposed services.

## Program Design

It is one thing to understand a need; it is quite another matter to design an intervention that will meet that need. Research in the field has made it clear that certain problems will respond better to certain, more precise interventions (e.g., Abreu, Consoli, & Cypers, 2008; Morris, 2008; Weaver, 2008). The purpose of the program design phase is to put together that service or combination of services that appears to have the best possible chance of achieving the program's objectives. Program design involves careful consideration of the resources needed to address the needs of clients and attention to the ways in which these resources will be organized. It is a critical point in the planning and management of programs.

If we simply consolidate a great deal of program design under the heading of "casework," we leave decisions about client assessment, service provision, service completion, and outcome assessment to the professional judgment of each caseworker. When this happens, it becomes difficult to establish precise objectives, to examine program effectiveness, and to modify program design in the interest of improving services to clients. On the other hand, bringing precision to each element of program design allows for constant examination and constructive program change as data and information about effectiveness become available to guide our refinements. The online questions should help you assess the level of precision achieved in specifying the elements of your program design.

## Data Requirements for Performance Measurement

Data collection is the *sine qua non* of effectiveness-based program planning. All the effort put into the development of a program hypothesis, goals and objectives, and

design will mean little if the correct data are not collected, aggregated, analyzed, reported, and used to make adjustments in the next cycle of services. Data collection systems must be designed to (1) answer questions about meeting community need, (2) identify diverse populations, (3) measure how much each has been helped, (4) measure the achievement of outputs and outcomes, and (5) calculate the costs associated with process, output, and outcomes. Principles associated with performance measurement should be understood before attempting to design an information system. The online questions may be useful in understanding the data requirements of effectiveness-based program planning.

## Monitoring and Using Information Technology

Once program data elements have been designed and implemented in accordance with the guidelines established for effectiveness-based program planning, they can be collected, processed, and aggregated in a manner that informs both clinical staff and administrators. Programs can be said to meet objectives and to bring about positive changes in clients' lives only if the data generated from the program provision process can support such statements.

In contemporary human service agency and program management, computerized data management is absolutely essential. Narrative case recording is useful for individual case analysis, planning, supervision, and documentation, but it is of very little use for purposes of measuring effectiveness. In effectiveness-based program planning, we propose a client data system that is capable of producing data and information about the progress of clients throughout each episode of service and the effects of these services at termination and follow-up. This information, we believe, should be used by all levels of staff, each from its own perspective. The online questions may be useful in assessing the strengths and weaknesses of an existing monitoring system.

## Program Evaluation

One of the most exciting features of effectiveness-based program planning is that it produces information that informs staff about how successful the program was in relation to expectations as expressed in objectives. How many abusing and neglecting parents completed parent training? How many can demonstrate improved parenting skills? How many have stopped abusing and neglecting and are progressing toward more effective relationships with their children? How effective are these methods across all ethnic populations? This information can bring together direct service staff, supervisors, managers, administrators, and board members around a common set of concerns and interests. It is always more satisfying to be able to say, at the end of a program year, "We helped 75% of our clients master at least 10 techniques of effective parenting" than simply to be able to say "We provided services to 100 abusing and neglecting families." Furthermore, the database produced can provide the raw material for an ongoing research and development function within the agency, a function usually reserved for only the wealthiest organizations. The online questionnaire explores whether various methods of evaluating human service programs are currently being used.

## Budgeting

All programs and services depend on funding for their start-up and continuation, and for many funding sources there are no guarantees that the same level of support will continue year after year. It is, therefore, in the interests of clients and staff to ensure that the best possible results are being achieved for the lowest possible cost. A well-designed budgeting system is capable of generating important and valuable information for use in making program changes in the interest of providing better quality services for clients at a lower cost.

Unfortunately, many budgets in human service agencies reflect only categories for which dollars are to be spent. These are called line-item budgets. In effectiveness-based program planning, we propose—instead of or in addition to this simplistic type of budgeting—methods for calculating costs for items such as provision of a unit of service (e.g., an hour of counseling), completion of the full complement of prescribed services by one client (e.g., 10 parent-training sessions), achievement of a measurable outcome by one client (e.g., improved parenting skills), and achievement of a program objective (e.g., at least a 50% reduction in child abuse reports on those who complete the class).

For example, by costing out services, we may learn that it costs $1,500 per trainee to complete a training program. However, if we also find that there is a 50% dropout rate, the cost then doubles to $3,000 per "graduate." These kinds of calculations help staff keep focused on using resources in a way that steers clients in the direction that offers them the best possible chance of success at the lowest cost. These types of calculations should ultimately lead to more cost-effective and cost-efficient operation of human service programs.

The online questions should help in assessing the strengths and weaknesses of your current budgeting system. These questions are intended to provide a very general overview of a particular program in terms of its fit with the principles of effectiveness-based program planning.

The following chapters are intended to explain each of the phases of effectiveness-based program planning in detail. As you proceed through these chapters we encourage you to think through and apply the concepts to a specific program. While the most ideal application of these principles is in designing new programs, you may also find that existing programs can be converted with careful attention to the details of each phase of the planning process.

## IMPLEMENTATION CONSIDERATIONS

We try in this book to make the case for performance measurement, monitoring, program evaluation, and precise forms of budgeting. We will cite many federal, state, and local mandates as well as ongoing efforts to develop and use these types of data collection and reporting. As the planning process evolves, it will be clear that what is being presented in this book and the requirements generally associated with this topic can be time-consuming and expensive. Carillo (2005) found that management information is greatly underutilized in human service agencies, and Hatry (2012, p. 23) suggests that, "overall, the feasibility of undertaking full, in-depth program evaluations in more than a very small percentage of

HSOs [human service organizations] is unlikely." He cites several reasons for this, including questions about the validity and reliability of data, compatibility between outcome measurement data and program evaluation data, and the quality and comparability of data across all levels of government and private agencies. That is not to say, however, that effectiveness-based planning is not important or that steps can't be taken or progress made toward the goal of monitoring and measuring program performance.

Of critical importance is the culture and mind-set of the agency, including a commitment from the top administrators to entry-level workers to the collection and use of data to help clients resolve problems in the most effective and efficient way. Enough has been said about the need for leadership in developing performance management systems that we feel safe in stating that, without strong direction from the top, there is little chance that the necessary conversions can be successful (see, e.g., Packard & Beinecke, 2012).

Another important issue is the amount of and resources (including funding, computer hardware and software, technology consultation, etc.) available to the thousands of small, independent human service agencies around the country and the world. While it may be feasible for large federal, state, county, and private agencies with extensive and specialized staffs to undertake a conversion to the kind of performance measurement, monitoring, and program evaluation that we describe, many agencies do not have these resources or capacity.

Often these small agencies are serving in highly specialized areas with underserved populations and meeting a critical need. Some even avoid applying to funding sources because of the requirements associated with performance measurement and program evaluation.

If the commitment is there from board, executive, middle management, and staff, many agencies have demonstrated that strategies can be developed through the use of volunteers, interns, existing staff, consultants, and other resources, dividing the process into three phases: preplanning, defining, and implementing. Not all phases require the same resources. Smaller agencies with limited resources may be able to make the necessary changes without a great up-front investment, embarking on a pre-planning effort and postponing expenses such as outside consultants until they achieve the staff readiness and have the resources to complete the process.

## SUMMARY

Planning programs designed to achieve results is a very complex process. For human service professionals who have, for many decades, built programs around *process*, working with the concepts of *results* or *outcomes* requires some radical shifts in thinking. Yet it is completely understandable why various levels of government, the United Way, and other grant and contracting organizations need to be able to calculate the value of investments in programs in terms of results. Fortunately, the logic model provides a clear flow of phases in the program development process, so that if it is carefully operationalized and followed, program planners will be able to measure results, costs, and other important indicators. This chapter attempts to lay out the steps in that process and to define the elements critical

to measurement. An online questionnaire is designed to guide the program planner through the various phases of effectiveness-based program planning as applied to an existing program.

This analysis is intended to introduce the phases and the concepts, with the understanding that each step in the process will be covered in more detail in a later chapter.

## REVIEW QUESTIONS

1. What are the critical differences between the old focus on process in human services and the more recent focus on outcomes? Why are all levels of government concerned about this?
2. How does the logic model help in understanding and applying the elements of effectiveness-based program planning?
3. Define and give examples of efficiency and effectiveness in relation to a particular program of service with which you are familiar.
4. Why is it important to identify target populations as part of the planning process?
5. Identify some measurable outcome indicators for a program or service with which you are familiar.

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# PART II

# Problem Analysis/ Needs Assessment

CHAPTER 2

# The Contribution of Theory to Program Planning

## CHAPTER OVERVIEW

**The purpose of this chapter is to explain:**

- Why the use of theory is important in understanding social problems
- Why and how theory is used in program planning
- How to differentiate between theory of practice and theory in practice
- How to differentiate between theory of program planning and theory in program planning
- The differences between strategic, management, and program planning

**The following topics are covered in this chapter:**

- The Use of Theory in Program Planning
  - Theory in Practice
  - Planning Theory
  - Types of Planning
- Application of Planning Theory to Clinical Practice: Problem Solving as Applied to Practice With Clients
- Application of Planning Theory to Macro Practice: Problem Solving as Applied to Program Planning
  - Problem Analysis and Needs Assessment
  - Establishing Goals and Objectives
  - Designing the Program
  - Developing a Data Collection System
  - Developing a Monitoring and Evaluation Plan
- Theory in Program Planning
- Summary
- Review Questions

## THE USE OF THEORY IN PROGRAM PLANNING

A reviewer in 1991 had this to say about this book:

> A well organized discussion of an effectiveness-oriented approach to social service program design, management and evaluation. . . . Essentially it is a cookbook approach in which Step A must be completed before Step B, and each of the remaining activities follows from completion to the previous one. This is a very good cookbook.

While we appreciated this review of our first edition, we wondered over the years whether we should make a more explicit case that our book is more than an ordinary cookbook that identifies the ingredients that the cook needs to assemble as well as the order of their introduction and how much of each ingredient to use. We always assumed that our "cookbook" provided another dimension. It was more than just a methodology or a set of activities that, if followed, should result in the development of more effective programs. A professional wants to know *why* these activities in specified amounts and in a specified order produce the desired products.

We hoped that the reader would see that our approach was based on the assumptions that program planning is *theory* driven and that the methodology produces effective programs because it incorporates theory on at least two levels.

To paraphrase Karl Popper (1959), a preeminent social scientist of the 20th century, researchers who collect data without a road map are merely on a fishing expedition. They hope that if they collect enough data and examine them long enough, there will emerge not only answers but even questions. These researchers are often referred to as "rank empiricists," many of whom subject data to statistical techniques such as correlational analysis and seek to find answers by finding statistically significant correlations. Popper argued that social science research needs to begin not only with the development of hypotheses that will guide the collection and analysis of data, but with hypotheses that can be verified and falsified, tested and refuted. To develop hypotheses a researcher draws on existing theories. Testing hypotheses may also lead to a modification of those theories.

We agree with Popper and maintain that a *program*, which we define as a set of activities to produce some desired outcomes, is basically a hypothesis and that a hypothesis, which we define as a set of statements about the relationships between specified variables, is derived from an understanding of relevant literature and theory.

Faludi (1973), a well-recognized planning theorist, distinguished two types of theories informing the problem-solving process. The first theory is concerned with the process the planner uses, the *process* of problem solving. In program planning we need to introduce and implement a series of steps or activities that guide the planner. The second use of theory attempts to provide the planner with an understanding of the problem he or she is attempting to resolve, the *etiology* of the problem. While this language might seem to be tautological and confusing, the distinction is real and necessary. The distinction is, in fact, quite useful. A theory concerned with problem solving in general is concerned with choosing a model that will tell the planner what steps need to be carried out to achieve desired ends. *Theory of* provides

a blueprint for action. The second contribution of theory provides the problem solver with the means needed to fill out a problem-solving model guiding the process described above. It is concerned with generating the substantive understanding of the specific problem being addressed. Its contribution is one of moving beyond the "black box" of the problem-solving model by specifying what goes into that black box. Both of these types of theory are applied in this book. The problem-solving process provides the basic outline for the book and is followed from chapter to chapter. Theories helping to explain the human behavior factors that contribute to a specific problem being addressed are incorporated into the early steps of every program planning process.

## Theory in Practice

The contribution of substantive theory dealing with a specific problem relates to that part of the assessment process that attempts to help the program planner understand the etiology (cause and effect) of the problem. This understanding is important in determining factors associated with the presence of the problem—it tells us *what* data need to be collected.

We will attempt to illustrate how theory is applied by using the issue of domestic violence and then continuing with this example throughout the rest of the book. In this way, we hope that the reader will more clearly see how each activity builds on a previous activity, how a problem statement is translated into a hypothesis, how a hypothesis is translated into a hierarchy of goals and objectives, and so forth.

While there are many points of intervention in the case of domestic violence, such as (1) prevention, (2) early intervention when the abuse has begun, and (3) support for a woman who is seeking help to escape from her abuser, the following is an example of the last event. Each of these three will draw on different literature bases at times and offer different theoretical positions. Here we are looking at the literature that identifies the intrapersonal and external issues that often create barriers to her seeking help.

When a woman seeks help after being abused by her partner, she brings a number of issues that need to be addressed if she is to achieve a level of independence and self-sufficiency, as measured, for example, by her not returning to her abuser, holding a meaningful job, and obtaining a permanent place to live (Campbell & Lewandowski, 1997).

Women in abusive relationships often experience depression, generalized anxiety disorder, posttraumatic stress disorders (Schmidt, 2014; Tolman & Rosen, 2001), and lower self-esteem (Kirkwood, 1993). They may have been socially isolated, living in an environment controlled by their abusers to the point where they might feel stripped of a sense of self-worth and dignity (Johnson & Ferraro, 1998; Macy, Nurius, Kernic, & Holt, 2005). Often the consequences of being abused are substance abuse and chemical dependency (Fishback & Herbert, 1997). Finally, many have little or no income, little education, few marketable skills, and a sketchy employment history (McCauley, Kern, Koladron, & Dill, 1995).

Each individual client will not be experiencing all of these risk factors, and it is the task of the case manager to determine which of these are present. Once this is accomplished, a treatment plan can be developed to target these specific factors. Appropriate services (chosen from a list of services) can be provided, and progress can be monitored and eventually evaluated. While it is not often expressed in these terms, the therapist is testing a hypothesis.

## Planning Theory

Program planning as a methodology has its roots in a number of planning theory streams, some of which go back to the beginning years of the 20th century. This does not mean that planning did not occur before this time. The megaliths found at Newgrange (built around 3200 BCE), the Pyramids at Giza (2500 BCE), and Stonehenge (1800 BCE) were built by skillful workers following a plan. Even the canals built 2,000 years ago by the Hohokam Indians of the Southwest were carefully planned. But it was only recently that planners began to write about planning. Most planning efforts before the 20th century were developed in response to the then-current tensions. Laissez-faire economics dominated *political* decision making, allowing a few very powerful men to do as they pleased, with little outside interference by government. Uncontrolled development was the norm, and cities such as New York, Boston, and Chicago experienced the rise of slums.

For example, by 1910, there were 3 million people in New York living in tenement houses. Of these, 1 million had no bathing facilities in their homes, 250,000 used outside privies, and one family in two shared a bathroom. Surveys conducted by social reformers highlighted crime, overcrowding, inadequate water supplies and waste disposal systems, filth, and disease. Moreover, existing green space in these cities was taken over by developers to build more and more tenements.

Progressives in these cities formed coalitions and were able to convince city leaders that development needed to be regulated and controlled. Housing codes were introduced to require builders to meet certain standards of safety and public health. Comprehensive land use plans balanced residential and commercial interests and set aside land for parks. Government passed child labor laws, and factories were made safer for the worker. The initial planning was rudimentary, however, in that the reformers began their social investigations with the solutions as a given. They knew what to do and used data to persuade others to support their recommendations. For the first time, citizens argued that government needed to become involved when the public's interest was threatened. While we recognized that community leaders had vested interests—they wanted to personally benefit from any action—we now began to understand other interests were not part of the dialogue. Eventually this concern became the basis for planning, and the professions of city and regional planning as well as public administration emerged. Professionals were responsible for ensuring the broader community's broader interests were taken into account.

A second stream is referred to as the era of scientific management. In 1911, Frederick Taylor published *The Principles of Scientific Management*, which introduced, among other things, the idea that planning should be based on the notion that there always will be a single best way to achieve desired goals. Since he worked in a steel mill, he was primarily interested in meeting production goals with the least cost, finding the best fit between ends and means. He is best remembered as an early pioneer of the factory assembly line and the need to break down a task or function into its basic parts. He emphasized the importance of *efficiency* through "rational" planning.

These streams of thought merged in the middle of the 20th century, when academicians and practitioners began to offer different theoretical formulations about the "theory" of planning. Based on Taylor's research, Banfield and Meyerson (1955) concluded that effective planning must be comprehensive in its scope. Analysis needs to identify the cause or

etiology of the problem. When this is completed, the planner needs to identify *all* possible means to solve the problem and evaluate each alternative in terms of its efficiency and effectiveness (later this was translated into benefit-cost analysis). Once the alternative has been chosen (Taylor's single best way), the planner needs to develop goals and objectives, which in turn lead to the design of a program and so forth.

Other theorists, such as Herbert Simon (1957) and Charles Lindblom (1959), basically agreed with this process but recognized the impracticality of identifying and analyzing all the alternatives. They suggested that comprehensive planning, although ideal, was neither feasible nor useful. Simon argued that *suboptimizing*, the selection of an alternative that achieves some of the desired goals, was a more reasonable criterion than *optimizing*, the selection of the single best solution after examining every possible alternative. He further argued that decision makers look for a course of action that is good enough to meet a minimal set of requirements. Lindblom introduced the concept of *incrementalism* and suggested that, in practice, the decision maker be concerned with improving the shortcomings of the existing system. Our basic approach to program planning in this book can be characterized as suboptimizing or incremental rather than as the more demanding comprehensive approach, with its requirement to identify and analyze all possible alternatives.

## Types of Planning

Three major types of planning are used in the human services: (1) strategic planning, (2) management planning, and (3) program planning. While the three are used for different purposes, they all build on the above discussion of *theory of* planning. All three assume a rational approach to decision making or problem solving. They are concerned with the relationship between ends and means, goals and intervention strategies. Furthermore, to act rationally, the planner needs to identify a course of action that lays out the most efficient means—the best solution.

The first type of planning is *strategic planning*. To be effective, organizations periodically need to step back, examine what they are doing, and determine whether changes should be considered if they are to be effective, especially in ever-changing environments. Strategic planning involves a process of deciding on the future of an organization, setting goals and objectives, and identifying resources needed to achieve these goals and objectives and what policies are needed to govern the acquisition and disposition of these resources. This process often produces, among other products, the following:

- a vision statement
- a mission statement
- a statement of strategic direction
- strategic analysis
- strategic goals

Strategic planning takes a long-range view and may establish a vision for as much as 10 years ahead, with detailed plans for about a 3- to 5-year period.

The second type of planning is as *management planning*. Here, the focus is on the process by which managers ensure that the resources, once obtained, are used efficiently and effectively in the accomplishment of the goals identified in the strategic plan. The focus is on the entire organization, with the manager being able to expand, modify, or terminate programs as needed.

The third type of planning is *program planning*. Here, the focus shifts from the organization as a whole to the development of a discrete set of activities that focus on one aspect of the overall mission of the organization. Program planning to address a specific problem or need is the focus of this book.

We recognize that many newer theoretical aspects of management planning, reflective practice, marketing theory, networking, and even critical theory are important in exploring the full range of management and planning theories. However, our primary concern is to create a model of program planning that can enable students and practitioners to understand and incorporate effectiveness-based principles into client-serving programs. We recognize that broader concerns, such as agency-wide administration, management planning, and developing community partnerships, are critical in human services, but we consider them to be important in their own right and beyond the scope of this book.

Still, most problem-solving approaches do have common themes. Two of these are the concepts of *efficiency* and *effectiveness*. Unfortunately, these concepts are often ill defined or even misused. Moreover, all too often, primacy is given to one (efficiency) at the expense of the other (effectiveness). As we discuss in later chapters on design, evaluation, and budget, efficiency is concerned with the ratio between effort and output, that is, the cost of delivering services and the amount of services we are able to provide with those resources.

Being reasonable (rational) means finding a solution/strategy that costs the least because such a choice would allow us to provide more services. For example, if one strategy allows us to provide counseling services at a cost of $100 per hour and another at a cost of $125 per hour, all things being equal, I can provide one additional hour for every four hours of counseling provided if I choose the former. Or if I can deliver one type of training program to 1,000 clients at a cost of $1,000 each, compared with a second program that can provide training to 1,000 clients at a cost of $750 each, by choosing the latter, I can serve more than two additional clients for the same amount of resources. All things being equal, one program is more efficient than the other.

While this line of thinking is critical to planning, it is only one half of the equation. Unfortunately, it often becomes the only part of the equation or at least the dominant part of the equation. The second and equally important concept is effectiveness. One program might be cheaper (more efficient) than another, but less successful (effective) than the other. We might conclude that if the more expensive training program is twice as successful in improving parenting skills and this can be shown to result in fewer cases of child abuse, it should make us pause before we choose that other more efficient program.

While the above section makes the case that fundamental similarities do exist between program planning and other theoretical approaches to planning, there is a growing interest in another approach that has emerged recently: *asset planning* or *asset mapping*. Admittedly, program planning assumes a *problem* exists, and this becomes the starting point in the problem-solving process. Some planners suggest this emphasis be turned on its head and that the process begin with a *strengths* perspective. Such an approach assumes that in

some cases this perspective provides a positive approach rather than a more narrow approach emphasizing problems and needs. It begins with an effort to identify not problems but community leaders, agency and organizational efforts, and resources. The planning process develops an inventory of community strengths useful in community development and community building. And, as side benefits, it promotes community involvement and, eventually, ownership in whatever strategy the process produces. As above, we recognize the limitations of planning as a problem-solving process, but it has its place just as a strengths perspective has its place. It depends on the task at hand. Finally, there are some commonalities between the two. We discuss a number of the elements of asset mapping in Chapter 5, "Needs Assessment: Approaches to Measurement," in the sections "Using Resource Inventories" and "Conducting a Social Survey."

The approach to program planning described in the following chapters is concerned with finding a solution that balances these two objectives—a program that offers the best opportunity to achieve our objectives at the most reasonable cost.

## APPLICATION OF PLANNING THEORY TO CLINICAL PRACTICE: PROBLEM SOLVING AS APPLIED TO PRACTICE WITH CLIENTS

When working with a client/patient, a case manager (this term is being used in a general sense that includes any human service worker who has direct contact with a client) carries out a set of activities or a process:

- collection of data and information

- assessment of the problem based on data collected

- development of a treatment plan

- implementation of that plan

- monitoring of progress

- evaluation

Initially there is gathering of data and information and an assessment of the situation to better understand what the problem is and what might be done to resolve it. Intake data, which often include the following, are collected to understand who the client is:

- *demographic data*, such as age, gender, ethnicity, marital status, education, income, and so on

- *social history data*, including information relevant to the presenting problem such as previous substance abuse, mental illness, and so on

- *etiology of the problem information*, which is collected when the therapist attempts to identify those factors that either cause the problem or place the client at risk for developing it

These assessment data help the therapist make a diagnosis, develop a treatment plan, and so forth. The six activities in this process—collection of data and information, assessment of the problem based on the assessment data, development of a treatment plan, implementation of that plan, monitoring of progress, and evaluation—make up the *problem-solving methodology*.

# APPLICATION OF PLANNING THEORY TO MACRO PRACTICE: PROBLEM SOLVING AS APPLIED TO PROGRAM PLANNING

While the terms are different, the following theory of planning is basically the same as that described above in the clinical example:

## Problem Analysis and Needs Assessment

The first planning task is to assess the state of the system. Moreover, all conceptual approaches of problem analysis emphasize the need to identify the causes of the problem. Needs assessment follows the problem analysis step. The planning task is to estimate the target population, the numbers at risk. A final phase of this activity is to develop a hypothesis, a series of "if-then" statements that provides a road map of what you hope to achieve and how this will be accomplished.

## Establishing Goals and Objectives

The second planning task is to translate the hypothesis into goals and objectives. Note that the extent to which these objectives are measurable will determine the extent to which the program can be evaluated. Moreover, just as the hypothesis is a series of statements in hierarchical form, so also are the goals and objectives, demonstrating that the accomplishment of higher level objectives is dependent on the achievement of lower level objectives.

## Designing the Program

The third task is to develop the intervention—the program. Just as the goals and objectives section is a translation of the hypothesis in another format, the description of the actual program is a reformulation of the goals and objectives. However, rather than using a descriptive narrative, a systems framework is used to define and describe each element of the design.

## Developing a Data Collection System

Once the program design section of the plan has been completed, program elements listed in the design section need to be translated into a data collection system that allows managers to monitor what is happening in the program on an ongoing basis.