# CENTER OF EXCELLENCE FOR ADDICTION MEDICINE

# PROGRAM PLANNING TOOLKIT

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## Framework

The good news is you successfully submitted a grant to WV DHHR and are now funded by WV DHHR.  To be successful in implementing your grant, it helps to have a well-organized set of planning and implementation tools. It may well be that you are planning began with the development and submission of your proposal and that critical dates, timelines and outcomes are all completed. Chances are if you are reading this toolkit overview, you and your organization would benefit from increased structure and organization for program planning and implementation. We have the tools to assist you be successful. You will learn how to build in the initial structure and organization into your proposals so that the award and implementation of the proposal are productive. While most people do not relish administration, the more structure, organization, and processes in place (up to a certain point anyway) the more you can focus on being successful with your work and program as the details are in place to be addressed.

## Introduction

The Program Planning Toolkit breaks down the program planning process for organizations that have received funding through WV Department of Health and Human Resources (WV DHHR). Often organizations that receive funding from any funding organization are now saddled with the question of what to do next now that the money has come in. The Center of Excellence for Addiction Medicine and WV DHHR have partnered to develop a toolkit that can help provide guidance and resources on getting programs set up and moving forward. The toolkit has 5 components that are outlined below. Each component of the toolkit will have detailed information on the specific topic, best practices, examples, and tools/resources that are available to organizations. Each of the components, especially the first 3 should be tied together and somewhat repetitive. The aims/goals of the program should be repeated in the reporting and tracking and be the center piece of the evaluation section.

Toolkit Outline

1) Planning
2) Reporting and Tracking
3) Evaluation
4) Advance Items
5) Tools/Resources

To learn more or ask any questions you might have when reviewing the toolkit please submit a technical assistance request through the Center of Excellence for Addiction Medicine and a team member will be in touch within 24 hours of your request or contact the COE Team directly.

## Program Planning Overview

The planning process is pivotal to the success of developing and launching a program in any area. The planning process can be broken down into four main buckets: 1) Establish your implementation team; 2) Establish the goals of the program; 3) Establish a timeline; and 4) Budget development.

1) Establish Your Planning Team
   - Successful Planning Teams: Regardless of the size or scope of an exercise, an exercise planning team performs best with an organizational structure that clearly defines roles, responsibilities, and functional requirements for each role or position on the planning team.
     - Tips for creating a successful planning team:
       - Define roles, responsibilities, and functional requirements
       - Follow standardized process
       - Make sure to have an interdisciplinary team
       - Include the population of focus in the planning team as a way to increase program accessibility

   - Program Planning Should Tie in With Strategic Planning: Depending on the nature of the organization, strategic planning typically includes a review of the organization's vision, mission, values, overall strategic issues, and strategic goals (each of which, in some organizations, becomes a program) and strategies to reach the goals (strategies to reach the goals often are the roadmap for how the program meets its own goals). Because the program planning must be tied to the nature of the organization's mission, the program planning should be closely tied with the organization's strategic planning as well. Typically, at a point right after the strategic planning process has identified strategic goals and issues, a team of planners can draft a framework for how goals can be met. This framework is often the roadmap for a new program. (For more information, see Strategic Planning.)

   - Coordinate the New Program with Other Current Programs: So often, in the excitement of the birth of a new program, we ignore precious resources that already exist. The new program is but part of an overall organization, an overall system. Pay particular attention to how the new program will coordinate with other programs in the organization. What inputs are needed from other managers and other programs? What ongoing feedback is needed among members of the new program and other programs? How can the new program benefit other programs?

   - Plan Key Indicators of Program Success: These planned indicators will help you establish whether the program is successful or not, and will help you avoid doing a program for the sake of a program. Consider planning indicators associated with intended results/outcomes. Programs are usually defined with very explicit deliverables. If you struggle with identifying key indicators of success, then imagine the program operating in a highly successful manner at some time in the future. Then describe what features of the program indicate that the program is successful.

2) Establish the Goals and Objectives of the Program
   - Program Goals: Program goals should come from and be closely associated with the organization's overall strategic goals as well as the funder's expectations. For example, think about whatthree to five major accomplishments must be reached to attain each overall goal. Goals are an overall status to be reached through continued efforts in the program. Goals should be described such that the organization can assess whether it hass reached the goal or not. The goal should establish a

clear direction for the organization and portray that direction to others. The program's goal may be to fix a problem or meet a need among customers (internal or external) -- not to fix a problem in your organization.

- For example, if you are just starting to develop a new program, typical overall goals might include: develop employees, piloting services to one group of customers (internal or external), evaluating the program process, and finalizing the program process based on evaluation results.

- <u>Program Objectives</u>: Think about each goal and what sub-goals, or objectives, you need to accomplish to reach that goal. (Depending on your nature, it may work to instead think of how the program process will be carried out and then identify specific milestones, or objectives, in carrying out the process. This approach is somewhat like the reverse of thinking about goals and associating objectives.) Objectives should be worded such that one can rather easily discern if it's been reached or not. They should specify who is going to do what to whom and when and how much.
    - For example, referring to the above goals, associated objectives might be: recruit employees, train them, obtain facilities and equipment, install the equipment, develop advertising materials, distribute the materials, recruit customers (internal or external) for the pilot, develop procedures for delivery of products/services, deliver products/services over a fixed period of time, conduct evaluation of the program's process and results/outcomes, generate recommendations from the evaluation, update policies and procedures in the program's process, and update the overall program plan.

3) Establish a Program Timeline
    - A program timeline includes the different stages of a specific project to keep team members on schedule. This future-oriented timetable sets deadlines for others to work toward. It lists tasks in chronological order. Therefore team members know what needs to be done and can anticipate upcoming activities. Managers and team leaders all over the world use project plan timeline examples as a way to visualize their operations. They help them create clear tactical plans effortlessly, providing a bird's eye view of an entire project.

    - Create a timeline that includes the following:
        - Start/end dates of the project
        - Milestones and deadlines
        - Program lifecycle phases
        - Tasks that must be completed and their order
        - The team handles each subset of tasks.

4) Budget development
    - The first step to creating a program budget is to make a list of all the expenses your organization will have to cover annually for the program to be successful. Don't worry about categorizing anything or determining costs at this point – just jot down all the expenses in one long list. To make sure you capture everything, read through your program description and consider everything that will cost money or time. For example, if your staff will attend outreach events, consider the costs of staff time, mileage, vendor fees, brochures and business cards for the table, tent rentals, etc. If you haven't developed a program description yet, think through all the activities required to plan for and implement the program. As you're thinking through all those activities, write down all the expenses for each one. Once you have your list, review it to ensure you didn't miss anything. This list should include absolutely every expense, even if it's already funded or will be provided through in-kind support.
        - Pay attention to detail: Everything, and we mean everything, needs to be covered. Travel costs, supplies, advertising, personnel — don't leave anything out.

    - Double-check: It can be easy to leave out a zero or move a decimal point and distort your budget by accident. Be thorough!

- At some point, you'll have to share your program budget with others, including the funding agency, your board, other staff members, or potential funders. So it's important that you include brief details about each expense within your program budget. These details should focus on the importance of the expense to the program and the calculations you used to determine the cost.

- What is the difference between allowable direct costs and allowable facilities and administrative (F&A) costs?
    - Direct Costs: Costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.
    - F&A Costs: Necessary costs incurred by a recipient for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish a number of pools of F&A (indirect) costs. F&A (indirect) cost pools should be distributed to benefitted cost objectives on a basis that will produce an equitable result in consideration of relative benefits derived.
        - The total costs requested in your budget will include allowable direct costs (related to the performance of the grant) plus allowable F&A costs. If awarded, each budget period of the Notice of Award will reflect direct costs, applicable F&A, and in the case of SBIR or STTR awards, a "profit" or fee.
        - F&A costs are determined by applying your organization's negotiated F&A rate to your direct cost base. Most educational, hospital or non-profit organizations have negotiated their rates with other Federal (cognizant) agencies such as the U.S. Department of Health and Human Services or the Office of Naval Research. If you are a for-profit organization, the F&A costs are negotiated by the Division of Cost Allocation (DCA), Division of Financial Advisory Services (DFAS), and Policy National Institutes of Health (NIH).
    - What is your direct cost base?
        - For most institutions, the negotiated F&A rate will use a modified total direct cost base, which excludes items such as: equipment, student tuition, research patient care costs, rent, and sub-recipient charges (after the first $25,000). Check with your sponsored programs office to find out your negotiated direct cost base.

## Tools/Resources

Please use the following links and attached Tools/Resource section of the Program Planning Toolkit.

- Budget Justification Example: https://spo.berkeley.edu/procedures/modelagreements/budgetjustification.html

## References


- https://managementhelp.org/programmanagement/business-programs.htm
- https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/develop-your-budget.htm

## Program Reporting and Tracking Overview

Once the planning phase has been completed and the program is ready to be implemented, the organization must then think about how to track and report program outcomes. Below is a breakdown of various components that are involved when reporting and tracking a program.

- Methods
  - Describe your methodology — what you are aiming to measure and how you are measuring it. Include the data you collected and how you collected it. If you are using advanced statistical techniques, be sure to include all appropriate formulas and an explanation in layman's terms for your audience.
  - Research Method Types:
    - Quantitative Research: As the name suggests, quantitative refers to the numbers where data is collected based on numbers, and a summary is taken from these numbers. Graphs help to quantify the results in quantitative research.
    - Qualitative Research: Qualitative refers to the non-numerical elements in the research. When the information or data cannot be grasped in terms of numbers, qualitative research comes for the rescue. Though not reliable as much as quantitative, qualitative research helps to form a better summary in terms of theories in the data.
    - Descriptive Research: Facts are considered in descriptive methods and surveys and case studies are done to clarify the facts. These help to determine and explain with examples, the facts, and they are not rejected. Many variables can be used in descriptive research to explain the facts.
    - Analytical Research: Analytical research uses the facts that have been confirmed already to form the basis for the research and critical evaluation of the material is carried out in this method. Analytical methods make use of quantitative methods as well.
    - Applied Research: Applied research is action research where only one domain is considered and mostly the facts are generalized. Variables are considered constant, and forecasting is done so that the methods can be found out easily in applied research. The technical language is used in the research and the summary is based on technical facts.
    - Fundamental Research: Fundamental research is the basic or pure research done to find out an element or a theory that has never been in the world yet. Several domains are connected, and the aim is to find out how traditional things can be changed or something new can be developed. The summary is purely in common language and logical findings are applied in the research.
    - Exploratory Research: Exploratory studies are based on the theories and their explanation, and it does not provide any conclusion for the research topic. The structure is not proper, and the methods offer a flexible and investigative approach for the study. The hypothesis is not tested, and the result will not be of much help to the outside world. The findings will be topic related that helps in improving the research more.
    - Conclusive Research: Conclusive Research aims at providing an answer to the research topic and has a proper design in the methodology. A well-designed structure helps in formulating and solving the hypotheses and give the results. The results will be generic and help the outside world. Researchers will have an inner pleasure to solve the problems and to help society in general.
    - Surveys: Surveys play a main role in the research methodology. They help to collect a vast amount of real-time data and help in the research process. Surveys are low cost and can be completed faster than any other method. Surveys can be done in both quantitative and qualitative methods, with quantitative surveys considered above qualitative surveys as they

provide numerical outputs, and the data is real. Surveys are mainly used in business to know the demand for a product in the market and to forecast the production based on the results from the survey.
    - Case Studies: Case studies are another method of research methodology where different cases are considered and the proper one for the research is selected. Case studies help to form an idea of the research and helps in the foundation of the research. Various facts and theories can be considered from the case studies that help to form proper reviews about the research topic. Researchers can either make the topic general or specific according to the literature reviews from the studies. A proper understanding of the research can be made from the case study.

- Design
  - Project Design:
    - Connect to the objectives: Your methods and strategies absolutely need to be connected to the objectives you outlined, as well as the needs statement.
    - Provide examples: If you can, find examples of when these same methods worked for previous projects.
    - Demonstrate cost-effectiveness: Make sure that the funder realizes that your methods are rational, well-researched, and cost-effective.
  - Research Design: The function of a research design is to ensure that the evidence obtained enables you to effectively address the research problem as unambiguously as possible. In social sciences research, obtaining evidence relevant to the research problem generally entails specifying the type of evidence needed to test a theory, to evaluate a program, or to accurately describe a phenomenon. However, researchers can often begin their investigations far too early, before they have thought critically about what information is required to answer the study's research questions. Without attending to these design issues beforehand, the conclusions drawn risk being weak and unconvincing and, consequently, will fail to adequate address the overall research problem.
    - Given this, the length and complexity of research designs can vary considerably, but any sound design will do the following things:
      - Identify the research problem clearly and justify its selection;
      - Review previously published literature associated with the problem area;
      - Clearly and explicitly specify hypotheses (i.e., research questions) central to the problem selected;
      - Effectively describe the data which will be necessary for an adequate test of the hypotheses and explain how such data will be obtained; and
      - Describe the methods of analysis which will be applied to the data in determining whether or not the hypotheses are true or false

- State Goals and Objectives
  - State objectives as outcomes: An objective is something you want to achieve, not do.
  - Make your objectives SMART: You can’t really track your progress if your objectives aren’t SMART: Specific, Measurable, Attainable, Realistic, and Time-bound.
  - Connect goals and objectives to the audience: The final result of your project should always be the betterment of your community expressed in a measurable way.

- Tracking Outcomes
  - Outcomes are benefits or changes for individuals or populations during or after participating in program activities. They are influenced by a program's outputs. Outcomes may relate to behavior, skills, knowledge, attitudes, values, condition, or other attributes. They are what participants know, think, or can do; or how they behave; or what their condition is, that is different following the program.

        - For example, in a program to counsel families on financial management, outputs--what the service produces--include the number of financial planning sessions and the number of families seen. The desired outcomes--the changes sought in participants' behavior or status--can include their developing and living within a budget, making monthly additions to a savings account, and having increased financial stability.
    - Set up internal tracking systems using the timeline created during the planning stage.
        - This can be done using specific software such as Excel or Project Management software
        - Run tracking reports on a regular basis to see what outcomes are being met and the which ones are not.
            - If outcomes are not being met, then the team should come together to figure out a process to improve these outcomes.
    - Funding agency also might require a specific mechanism to track outcomes.
        - These mechanisms can include online reporting forms, excel spreadsheets, or monthly reports sent in via email.
        - These reporting mechanisms are typically outlined in the grant application or statement of work from the funding agency.
        - A best practice for tracking and reporting outcomes is to follow-up with the funding agency after submitting first report to make sure the information sent in is what they want and in the correct format.

## Tools/Resources

Please refer to the Tools/Resources section of the Program Planning Toolkit

## References


- https://www.cdc.gov/std/program/pupestd/developing%20program%20goals%20and%20objectives.pdf

## Program Evaluation Overview

Evaluation is the systematic application of scientific methods to assess the design, implementation, improvement or outcomes of a program. The term "program" may include any organized action such as media campaigns, service provision, educational services, public policies, research projects, etc. The ultimate purpose of program evaluation is to use the information to improve programs. The purpose(s) you identified early in the evaluation process should guide the use of the evaluation results. The evaluation results can be used to demonstrate the effectiveness of your program, identify ways to improve your program, modify program planning, demonstrate accountability, and justify funding.

- Purposes for Program Evaluation
  - Demonstrate program effectiveness to funders
  - Improve the implementation and effectiveness of programs
  - Better manage limited resources
  - Document program accomplishments
  - Justify current program funding
  - Support the need for increased levels of funding
  - Satisfy ethical responsibility to clients to demonstrate positive and negative effects of program participation
  - Document program development and activities to help ensure successful replication

- Types of Evaluation
  - Various types of evaluation can be used to assess different aspects or stages of program development. As terminology and definitions of evaluation types are not uniform, an effort has been made to briefly introduce a number of types here.
    - Context Evaluation: Investigating how the program operates or will operate in a particular social, political, physical and economic environment. This type of evaluation could include a community needs or organizational assessment. Sample question: What are the environmental barriers to accessing program services?
    - Formative Evaluation: Assessing needs that a new program should fulfill, examining the early stages of a program's development, or testing a program on a small scale before broad dissemination. Sample question: Who is the intended audience for the program?
    - Process Evaluation: Examining the implementation and operation of program components. Sample question: Was the program administered as planned?
    - Impact Evaluation: Investigating the magnitude of both positive and negative changes produced by a program. Some evaluators limit these changes to those occurring immediately. Sample question: Did participant knowledge change after attending the program?
    - Outcome Evaluation: Assessing the short and long-term results of a program. Sample question: What are the long-term positive effects of program participation?
    - Performance or Program Monitoring: Similar to process evaluation, differing only by providing regular updates of evaluation results to stakeholders rather than summarizing results at the evaluation's conclusion.

- In general, evaluation questions fall into these groups:
  - Implementation: Were your program's activities put into place as originally intended?
  - Effectiveness: Is your program achieving the goals and objectives it was intended to accomplish?
  - Efficiency: Are your program's activities being produced with appropriate use of resources such as budget and staff time?

- Cost-Effectiveness: Does the value or benefit of achieving your program's goals and objectives exceed the cost of producing them?
- Attribution: Can progress on goals and objectives be shown to be related to your program, as opposed to other things that are going on at the same time?

- Obtain Feedback
    - Feedback occurs among everyone involved in the evaluation. Feedback, necessary at all stages of the evaluation process, creates an atmosphere of trust among stakeholders. Early in an evaluation, giving and receiving feedback keeps an evaluation on track by keeping everyone informed about how the program is being implemented and how the evaluation is proceeding. As the evaluation progresses and preliminary results become available, feedback helps ensure that primary users and other stakeholders can comment on evaluation decisions. Valuable feedback can be obtained by holding discussions and routinely sharing interim findings, provisional interpretations, and draft reports.

- Follow-Up
    - Follow-up refers to the support that users need throughout the evaluation process. In this step it refers to the support users need after receiving evaluation results and beginning to reach and justify their conclusions. Active follow-up can achieve the following:
        - Remind users of the intended uses of what has been learned.
        - Help to prevent misuse of results by ensuring that evidence is applied to the questions that were the evaluation's central focus.
        - Prevent lessons learned from becoming lost or ignored in the process of making complex or political decisions.

- Keep Checking
    - Ask yourself these questions as you develop the evaluation section of your proposal:
        - What is the evaluation's purpose?
        - How will you use the findings?
        - What will you know after the evaluation that you didn't know before?
        - What will you do as a result of the evaluation that you couldn't do before because you lacked the relevant information?
        - How will your clients and community be better as a consequence of the program?

## Tools/Resources

Please use the following links and attached Tools/Resource section of the Program Planning Toolkit.
- https://www.cdc.gov/eval/guide/introduction/index.htm

## References


- https://www.cdc.gov/eval/guide/introduction/index.htm
- Green, L.W., & Kreuter, M. W. (1991). *Health promotion planning: An educational and environmental approach* (2nd ed.). Mountain View, CA: Mayfield Publishing Company.
- Rossi, P. H., & Freeman, H. E. (1993). *Evaluation: A systematic approach* (5th ed.). Newbury Park, CA: Sage Publications, Inc.
- https://www.atsdr.cdc.gov/communityengagement/pce_program_phases.html

## Program Planning Advanced Topics

The following are examples of what we consider advanced topics when it comes to program planning. They cover a wide variety of areas including community outreach, workflow methods, SMART objectives, feedback loops, and quality improvement. It is recommended to use these topics when organizations feel comfortable and have established the other parts of program planning (planning, reporting and tracking, evaluation).

- Community Engagement
    - Community Engagement is the process of working collaboratively with and through groups of people affiliated by geographic proximity, special interest, or similar situations to address issues affecting the well-being of those people It is a powerful vehicle for bringing about environmental and behavioral changes that will improve the health of the community and its members It often involves partnerships and coalitions that help mobilize resources and influence systems, change relationships among partners, and serve as catalysts for changing policies, programs, and practices

- Outreach, who, what, where, when, why, and best practices
    - <u>Who</u>: The audience you are trying to reach. It can be a variety of groups from a variety of backgrounds.
    - <u>What</u>: This is the subject matter and information you are trying to disseminate to your audience. This can be recruit information for a project, results from a project, or sharing of best practices.
    - <u>Where</u>: Outreach needs to be conducted through mediums where the targeted audience gathers information.
    - <u>When</u>: Timing is important when conducting outreach. It is important to be timely in getting information out and respecting the audience and giving them enough time to plan and reach to information that is disseminated.
    - <u>Why</u>: Outreach is essential for disseminating the proper information at the right time, to the right people, and through the proper channels.
    - <u>Best Practices</u>: Important to plan ahead when conducting outreach efforts. Leverage partnerships to learn the best ways to engage the main audience.

- Methods to Document Workflow
    - A **process map** is a planning and management tool that visually describes the flow of work. Using process mapping software, process maps show a series of events that produce an end result. A process map is also called a flowchart, process flowchart, process chart, functional process chart, functional flowchart, process model, workflow diagram, business flow diagram or process flow diagram. It shows who and what is involved in a process and can be used in any business or organization and can reveal areas where a process should be improved.
    - A **work plan** is an important tool that helps a project to assign tasks, manage workflow and track the various components and milestone deadlines. A work plan often has a duration of six to 12 months, but it can be adjusted, based on a specific need within the company. Implementing work plans helps articulate strategies to employees in a way to improve team member focus and drive. Review these key components when developing work plans to ensure you are not overlooking important details.
    - A **logic model** is a graphic depiction (road map) that presents the shared relationships among the resources, activities, outputs, outcomes, and impact for your program. It depicts the relationship between your program’s activities and its intended effects.

- SMART Objectives
    - **Specific –** outline in a clear statement precisely what is required.

- **Measurable** – include a measure to enable organizations to monitor progress and to know when the objective has been achieved.
- **Achievable** (or agreed) - design objectives to be challenging but ensure that failure is not built into objectives. Objectives should be agreed by managers and employees to ensure commitment to them.
- **Realistic** (or relevant)- focus on outcomes rather than the means of achieving them
- **Time**-bound – agree the date by which the outcome must be achieved.

- Feedback loops
    - A process by which a system's outputs “loop” back around to be used as inputs. This refers to the process of using customer, participant, and employee feedback to create a better product, service, or workplace environment depending on the situation.

- Quality Improvement
    - Quality improvement (QI) consists of systematic and continuous actions that lead to measurable improvement in health care services and the health status of targeted patient groups. The Institute of Medicine (IOM), which is a recognized leader and advisor on improving the Nation’s health care, defines quality in health care as a direct correlation between the level of improved health services and the desired health outcomes of individuals and populations.
    - When quality is considered from the IOM’s perspective, then an organization’s current system is defined as how things are done now, whereas health care performance is defined by an organization’s efficiency and outcome of care, and level of patient satisfaction. Quality is directly linked to an organization’s service delivery approach or underlying systems of care. To achieve a different level of performance (i.e., results) and improve quality, an organization’s current system needs to change. While each QI program may appear different, a successful program always incorporates the following four key principles:
        - QI work as systems and processes
        - Focus on patients
        - Focus on being part of the team
        - Focus on use of the data
    - The NIATx Model (link below)
        - NIATx designed a model of process improvement specifically for behavioral health care settings to improve access to and retention in treatment. The NIATx model consists of Four Aims, Five Principles, Promising Practices, and the Learning Collaborative.
        - The Four Aims
            - The Four Aims offer providers effective ways to plan for, institute, and measure improvements in patient access and retention.
        - The Five Principles
            - The Five Principles that are critical to fostering change emerged from a list of 80 factors examined through research studies conducted in Europe, the United States, and Canada.
        - Promising Practices
            - Promising Practices offers a collection of change ideas shown to work in similar settings and that hold promise for your organization.
        - The NIATx Learning Collaborative Model
            - The NIATx Learning Collaborative Model uses many different member services to share innovative ideas with and among members.
    - The Center of Excellence for Addiction Medicine offers technical assistances through the COE website (link below)

## Tool/Resources

Please use the following links and attached Tools/Resource section of the Program Planning Toolkit.

- https://chess.wisc.edu/niatx/Content/ContentPage.aspx?PNID=1&NID=8
- https://medicine.hsc.wvu.edu/bmed/coe/
- https://www.hrsa.gov/sites/default/files/quality/toolbox/508pdfs/qualityimprovement.pdf

# Program Planning Toolkit

# Tools and Resources

# EVALUATION PLANNING WORKSHEET

## Program/Project Information

A. What is your program's or project's **topic**?

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B. What is the **purpose** of your program/project?

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C. What **impacts or long-term goals** are you trying to achieve with your program/project?

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| 1. |
| 2. |
| 3. |

D. **Who** has a stake in your program or project and what do they **value** about it?

| Who has a stake? | What do they value? |
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E. What program/project **activities** are you planning in order to achieve each of your goals or impacts?

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| 1. |
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| 7. |
| 8. |

F. What **resources** do you have to implement your program/project and achieve your goals/impacts?

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| 1. | 2. |
| 3. | 4. |
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| 7. | 8. |
| 9. | 10. |
| 11. | 12. |

G. How will your program or project achieve its goals or impacts? Design your **conceptual framework or logic model**.

## Evaluation Focus & Design

H. What is the **purpose** of the **evaluation**?

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I. Who will **use** the evaluation and how will they use it?

| Users | How will they use or be affected by the information? |
|---|---|
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J. What **questions** will the evaluation seek to answer?

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| 1. |
| 2. |
| 3. |
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| 5. |

K. What **variables** do your questions contain?

L. How will you define and/or operationalize those variables so you can quantitatively or qualitatively collect information about them? What **indicators or measures** can be used to assess them?

M. What **data collection methods** will you use to collect this information?

| Variables (K) | Indicator/Measure (L) | Data Collection Method (M) |
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N. What **resources** do you need to complete the evaluation?

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# Flowcharting

A **flowchart** creates a visual map of a process – designed to show *steps* and *transitions* in the process.

**BENEFITS:**

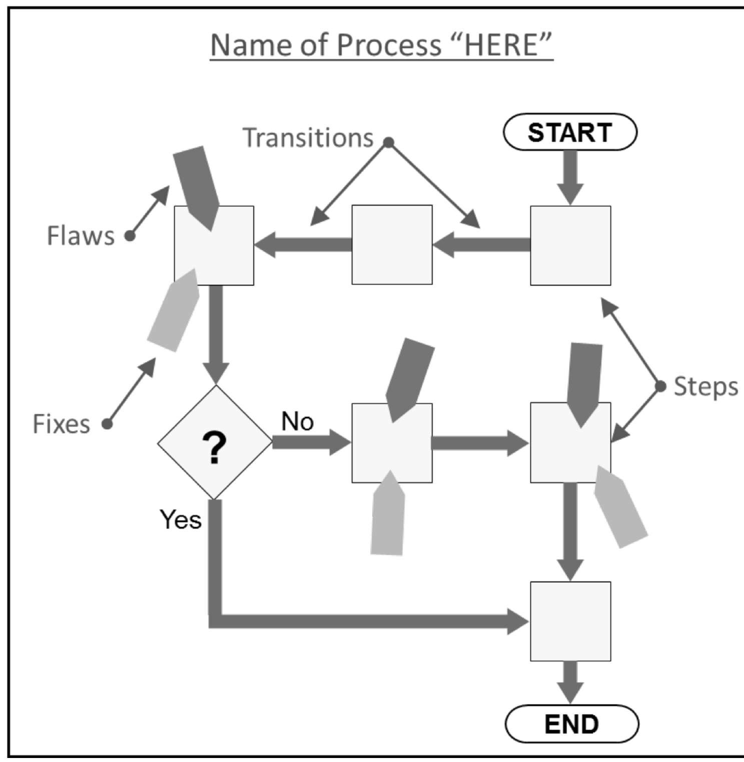
- Gets the change team in agreement as to what the current process is.
- Identifying bottlenecks, road-blocks/barriers and other challenges.
- Showing where to test ideas for most impact.

**HELPFUL TIPS**

- Do flowcharting with your entire change team.
- Post It Notes and a white board work great.
- Snap a photo of the flowchart when done.

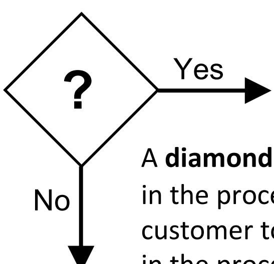
**How-to Lead a Flowcharting Exercise:**

1. Write the **name** of the process and list the first and last steps.
2. Fill in all the **steps** of the process (this can include **decision steps** by using diamonds).
3. Note any **flaws** in the process (e.g. steps that receive stakeholder complaints; a transition that takes too long; etc.).
4. Note any possible **fixes** for the flaws,
5. Use **insights** gained to help direct next steps for change project.




Two Easy Symbols To Use for Flowcharts


A **square** identifies one step in the process.




A **diamond** is a decision point in the process and routes a customer to a different path in the process based on the response.

# TEAM EXERCISE: Flowcharting

**INSTRUCTIONS:** Change Leader, use the flip chart and Post It Notes at your table and lead your team in creating a flowchart of a specific process. Do the following:

1. Ask one team member to volunteer to share a process they plan to work on for a change project and flowchart the process together. (e.g. Client's first contact to intake appointment)
2. **Team Discussion Question:** In what ways do you see flowcharting being effective in the change process?

**NOTE:** Those not familiar with the process can ask questions of the team member describing the process steps – the completed flowchart should make sense to anyone who reads it.

IHI TOOL

# QI Team Member Matrix Worksheet

This worksheet is part of the IHI Quality Improvement Practicum, a 9-week online course in which participants receive tools, coaching, and community support to aid them in running a local improvement project. Learn more at ihi.org/QI.

## QI Team Member Matrix Worksheet

Effective QI teams are multidisciplinary and include different areas of expertise. Write the names of your team members along the top row. Check off the boxes below to reflect the expertise they bring or perspective they are representing.

| **What will each person bring to your QI project team?** | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Project sponsor**<br>Consider: Can this person relieve barriers to your work and ensure you have the resources you need?<br>• Tip: The project sponsor might be a committee chair, department director, or executive leader. He or she should be kept informed but may not regularly attend meetings. | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ |
| **Day-to-day process owner**<br>Consider: After the project ends, will this person continue to be involved in implementing and maintaining the improvement?<br>• Tip: The process owner is usually the team leader. | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ |
| **Experience with improvement science**<br>Consider: Has this person participated in past improvement initiatives or undergone formal training in QI?<br>• Tip: A free online course is available from the IHI Open School to help QI novices learn the basics. | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ |
| **Technical/clinical expertise**<br>Consider: Does this person have subject matter expertise in an area relevant to the project? | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ |
| **Knowledge of the system/process**<br>Consider: Does the problem or opportunity affect this person?<br>• Tip: Try to include a range of perspectives on the same process, e.g., include patients, providers, people with historical or institutional knowledge, etc. | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ |
| **Customer/patient experience**<br>Consider: Can this person represent the point of view of the patient or customer?<br>Tip: Improvement work should always be customer-centered. Think about the end user in your design and design *with* instead of *for* that person. | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ |
| What other expertise or perspective would you add? | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ |
| | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ |



Institute *for* Healthcare Improvement

**Program: _____(name)________________ Logic Model**
**Situation:**

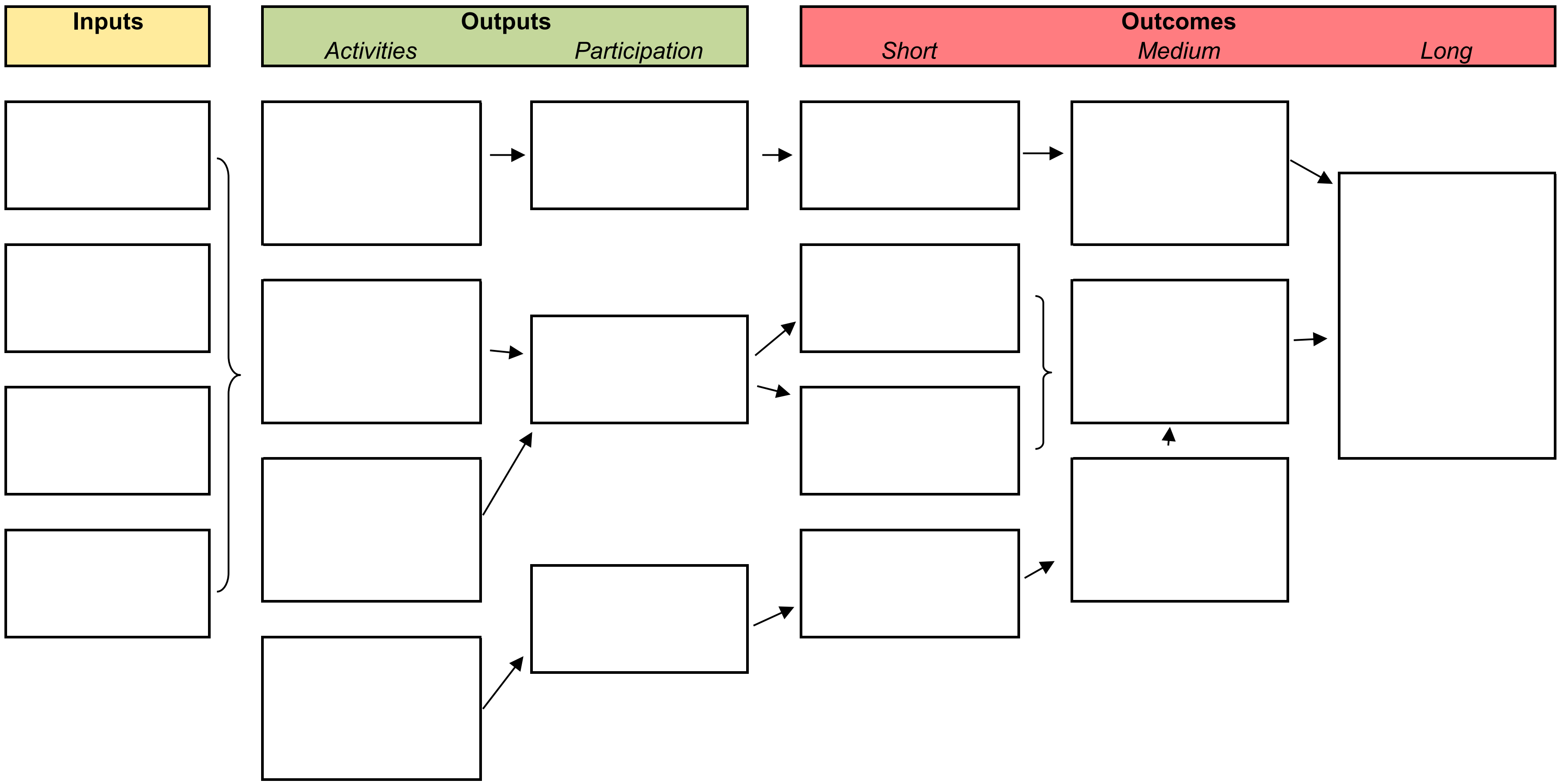
| Inputs | Outputs | | Outcomes -- Impact | | |
|---|---|---|---|---|---|
| | *Activities* | *Participation* | *Short* | *Medium* | *Long* |
| | | | | | |

| **Assumptions** | **External Factors** |
|---|---|
| | |

Rev. 7/09

**Program:** (name)________________ **Logic Model**

**Situation:**




**Assumptions**

**External Factors**

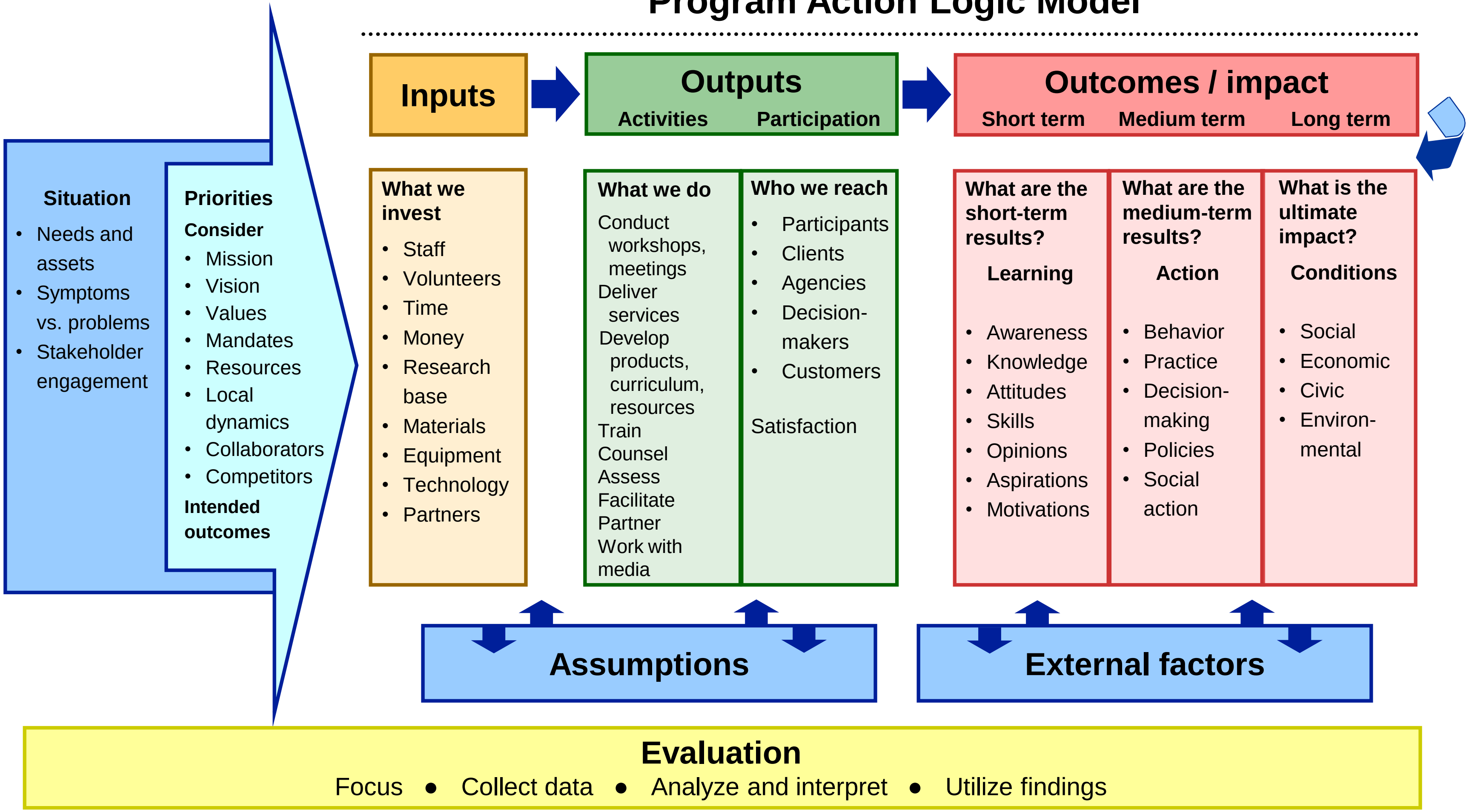
Rev. 7/09

# Program Development

PLANNING ● IMPLEMENTATION ● EVALUATION

fyi.extension.wisc.edu/programdevelopment

## Program Action Logic Model



## Evaluation Methods, Advantages/Challenges and Resources Needed

| Method | Purpose | Advantages and Challenges | Resources Needed |
| --- | --- | --- | --- |
| **Document Review** | To gather information from pre-existing written materials, such as meeting minutes, reports, budgets, newspaper articles, etc. | + Most common method for evaluation<br>+ Good method for reviewing materials on how a program was implemented<br>+ Uses information that is already available | + Can be done by program staff themselves<br>– Takes a lot of time to review existing files, especially if program is complex and of long duration |
| **Observation** | To gather information on how the program operates, or on visual changes that have resulted | + Good for process evaluation, because you can get an immediate impression about how the program is progressing<br>– Information can be difficult to interpret<br>– May be biased by how staff interpret the information<br>– Events that are seen can be time-dependent, and not representative of what is really going on<br>– If people know they are being observed, they may act differently than usual | + Can be done by program staff themselves<br>– Takes a lot of time to review existing files, especially if program is complex and of long duration |
| **Interviews** | To obtain information from individuals about their experiences, or to learn more about their answers to surveys | + Excellent for both process and outcome evaluation, because you can get in-depth information from participants<br>+ Can ask sensitive questions that require confidentiality<br>– Data can be difficult and complex to analyze<br>– Interviewer can bias the responses | – Can take a lot of time to conduct<br>– May require data inputting and analysis programs<br>– May require assistance from a consultant to design the interview protocol and develop the database program |

Source: Asian Pacific Partners for Empowerment and Leadership (APPEAL), *Integrating Evaluation into Tobacco Programs for Asian American and Pacific Islander Communities*, 2001. www.appealforcommunities.org

KEY: + advantages
- disadvantages

## Evaluation method, advantages/challenges and resources needed *continued*

| Method | Purpose | Advantages and Challenges | Resources Needed |
|---|---|---|---|
| **Focus Groups** | To hold discussions with groups of people (10-12) to understand in-depth what they believe were the effects of the program, or how they saw the program implemented. | + Good for outcome evaluation, because you can ask people to explain how the program affected them<br>+ Can identify a lot of issues and effects<br>+ Can give staff better understanding of the program from participants' own words | + Can be done relatively quickly (1-2 hours per focus group)<br>– Requires a good facilitator<br>– Takes time to analyze and interpret the discussion<br>– May require extra resources for facilitator's time and participant incentives |
| **Case studies** | To describe a program or experience in depth, often using some or all of the other evaluation methods to construct a case study. | + Good for combining process and outcome evaluation<br>+ Can be a powerful way to describe the program<br>+ Can depict personal experiences, quotes, and unique program processes | – Can take a lot of time to collect information, organize and describe the program |
| **Surveys and questionnaires** | To get information from individual people about their changes in tobacco use knowledge, attitudes, and behavior. | + Excellent for outcome evaluation<br>+ Can get information from a lot of people<br>+ Can be done confidentially or anonymously, so may be more valid<br>+ Can be used as pre/post tests to measure changes from program educational sessions<br>+ Can use questions from existing surveys<br>– More effective when using yes/no or true/false type questions<br>– Are more impersonal for participants, and usually not good for getting quotes in participants' own words | – Takes time to develop questionnaire<br>– May require database program to manage and analyze a lot of data<br>– May require extra resources for participant incentives and data analysis |

Source: Asian Pacific Partners for Empowerment and Leadership (APPEAL), *Integrating Evaluation into Tobacco Programs for Asian American and Pacific Islander Communities*, 2001. www.appealforcommunities.org

KEY: + advantages
- disadvantages

# Nominal Group Technique (NGT)

**A Change Leader Favorite**

The **Nominal Group Technique (NGT)** is a structured facilitation tool to help the change team brainstorm a list of ideas/changes and reach consensus on which change to test first.

**BENEFITS:**

- Promotes group participation in the decision-making process where all voices and ideas are equal.
- Engages both extroverted and introverted team members.
- Uses priorities of each group member to discover the overall priorities of the group.
- Use with small groups (5-10 people) to:
  a. Develop solutions (changes) that can be tested using PDSA cycles.
  b. Reach consensus on what change to test first.
  c. Can also be used to identify the key problem.

## A Prepare the NGT

1. Ready the room for your group:
   - Post It Notes
   - A flipchart or whiteboard to place Post It Notes
   - Two markers (black and red)
2. Write your **NGT question** at the top of the flipchart..
   SAMPLE:
   - *How can we reduce no-shows to intake appointments?*

## B Lead the NGT - *5 steps* *with time limits**

1. **Silent Idea Generation** (3 min)
   - Each team member silently records one idea per Post It note until they run out of ideas.
   - No talking
2. **Recording of Ideas** (5 min)
   - Go around the table asking one person to read one Post It note, then the next person, continue until all ideas are shared.
   - Change Leader places each Post It note on the flipchart after it is read.
   - Refrain from discussing each idea – read only.

*You can adjust the allotted time for each step as needed.

3. **Idea discussion** (4 min)
   - Group can ask questions of each other to clarify the meaning of each idea.
   - Do not say things like "that will not work" or "we've tried that already."
4. **Voting** (2 min)
   - Each group member gets to cast **3 votes**.
   - Using a marker, each person places a check mark by the **three ideas** they would like to test.
5. **Reaching Consensus** (2 min)
   - Total the votes. Which ideas rose to the top?
   - The idea with the most votes will be tested first. (PDSA cycle #1)
   - In the case of a tie vote, have team members cast one vote each to determine a winner.
   - Save all ideas for future reference and additional PDSA cycles.

Change Project Form

Name of Organization:

**PROJECT CHARTER**

| | |
|---|---|
| 1. Change Project Title | |
| 2. Aim Statement | |
| *Aim Statement Format* | Increase **(or)** Decrease **X** from a baseline of **Y** to a goal of **Z** by **DATE**. |
| 3. Location | |
| 4. Identified start and end dates | Start: End: |
| 5. Name of coalition or program (if applicable) | |
| 6. What customer population are you trying to help? | |
| 7. Executive Sponsor | |
| 8. Change Leader | |
| 9. Change Team (names and roles) | |
| 10. How will you collect data to measure the impact of change? Who will collect it? | |
| 11. What is the expected impact of this change project? How will the Executive Sponsor know? | |

**PDSA Cycles** (add more as needed)

| **PDSA Cycle #:** | | |
|---|---|---|
| Cycle Begin Date: | | Cycle End Date: |
| What is the change to be tested? | | |
| **P** | **PLAN:** Plan the steps to carry out the cycle. Plan for data collection. What is your prediction for the test? | |
| | | |
| **D** | **DO:** Carry out the plan. Document observations. Record data. | |
| | | |
| **S** | **STUDY:** Analyze the data. Compare results to predictions and pre-change data. Summarize what was learned. | |
| | | |
| **A** | **ACT:** Will you adopt, adapt or abandon the change? Why? Move on to next cycle. | |
| | | |

| **PDSA Cycle #:** | | |
|---|---|---|
| Cycle Begin Date: | | Cycle End Date: |
| What is the change to be tested? | | |
| **P** | **PLAN:** Plan the steps to carry out the cycle. Plan for data collection. What is your prediction for the test? | |
| | | |
| **D** | **DO:** Carry out the plan. Document observations. Record data. | |
| | | |
| **S** | **STUDY:** Analyze the data. Compare results to predictions and pre-change data. Summarize what was learned. | |
| | | |
| **A** | **ACT:** Will you adopt, adapt or abandon the change? Why? Move on to next cycle. | |
| | | |

## EVALUATION AND SUSTAINABILIY PLAN

| **Project Outcomes** (complete when project is finished) | |
|---|---|
| 1. What was the project **end date?** (e.g., when you stopped making changes) | |
| 2. What did you **learn?** (e.g., what were some lessons learned? Any unexpected outcomes from your change efforts?) | |
| 3. What was the **financial impact** of this change project? (e.g., Increased volunteer hours; Reduced staff time; etc.) | |

| **Sustainability Plan** | |
|---|---|
| A. Who is the **sustain leader**? | |
| B. What **changes** do you want to **sustain**? | |
| C. What **sustain steps** are being taken to ensure that the changes stay in place and that it is not possible to revert back to the old way of doing things? | |
| D. What is the **target sustain measure**? (i.e., if data drops below this point, the Change Team will intervene to get things back on track.) | |
| E. What system is in place to effectively **monitor** the **sustain measure**? | |

Additional Notes:

# Plan of Work

Guidance for your plan of work can be found on the Planning and Recording Portal.

| | Major effort 1 | Major effort 2 | Other activities / major responsibilities | Professional development | Title |
|---|---|---|---|---|---|

## Situation statement (Why)

## Target audience(s) (Who)

## Outcomes (What changes you're intending/expecting)

*You may want to differentiate between those that can be achieved this year and those that are longer-term.*

## Action plan (How you plan to get there)

*Include any additional skills or professional development that you need in order to implement your plan.*

## Evaluation plan (How you will know & learn)

A plan of work should not attempt to cover everything you do. It should concisely focus on major programs, projects, or initiatives. Other routine or ongoing responsibilities need not be reflected in your plan but can be captured in the optional calendar for your own use. **You do not need to submit this.**

| | | | | |
|---|---|---|---|---|
| **2021** | | | | |
| **Fall 2021** | | | | |
| **Winter 2021/2022** | | | | |
| **Spring 2022** | | | | |

## Sample Timeline Template

| Start Date–End Date | Activity to achieve Objective | Related Objective and Goal | Evidence that Proves Activity has been Completed OR Data to be Collected from Activity | Persons/Agency Responsible |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

## Goals, Objectives, and Outcomes Worksheet

| | |
|---|---|
| Goal ______: | |
| Objective ______: | |
| Directions | |
| 1. Identify a result you expect to achieve through this program. | |
| 2. Describe what you will do to achieve this result. | |
| 3. What data will you collect to prove that you have achieved this result? | |
| 4. Are there target benchmarks for progress toward achieving this result over time? | |
| 5. Combine the information from Steps 1-4 into one sentence. (This combined statement is a performance measure) | |
| 6. How long will it take to achieve this result? | |
| 7. What baseline data will you need to have to measure achievement of this result? | |

## Action Plan Form

Objective: ______________________________________________

(Each Objective requires an Action Plan Form)

| Strategy | Activity | Result/Measurable Outcome | Timeline | Responsible Agency/Personnel | Budget Needed for Activity |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

**[PROJECT TITLE] TIMELINE OF ACTIVITIES**

*Add additional rows and lines as needed. Remember to include management activities, monitoring, and reports*

| You may want to connect activities to goals and objectives | Staff | Year 1 | | | | Year 2 | | | | Year 3 | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Q 1 | Q 2 | Q 3 | Q 4 | Q 1 | Q 2 | Q 3 | Q 4 | Q 1 | Q 2 | Q 3 | Q 4 | Q 1 | Q 2 | Q 3 |
| **Activity/Benchmark** | **Persons/Agency Responsible** | Jan-Mar | Apr-Jun | Jul-Sept | Oct-Dec | Jan-Mar | Apr-Jun | Jul-Sept | Oct-Dec | Jan-Mar | Apr-Jun | Jul-Sept | Oct-Dec | Jan-Mar | Apr-Jun | Jul-Sept |
| | | | | | | | | | | | | | | | | |
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Add cells as needed.

# Walk-through

**WHAT IS A WALK-THROUGH AND WHY DO IT?**

A **walk-through** is an exercise where you experience a specific process in your organization, just as a *customer* does. The goal is to see and feel the work-flow process from the *customer's perspective*. Taking this perspective of services – from the first step, through the final step – is the most useful way to understand how the customer feels. It helps identify improvements that will serve the customer better.

**STEPS FOR CONDUCTING A WALK-THROUGH**

***1. Select a process to walk-through***

It can be <u>any</u> process. NOTE: If you find a physical walk-through is not practical, consider doing a ***talk-through*** of the process with staff and/or other stakeholders.

***2. Let staff know in advance that you will be doing the walk-through exercise.***

A walk-through is <u>not</u> a secret shopper exercise. It is better to inform and include staff than to surprise them. As you role play the customer, ask staff to treat you as they would any other customer. Make clear to staff this exercise is not punitive – rather, it is to discover opportunities for improvement, together.

***3. Walk-through your chosen process.***

Experience the entire process just as your customer would. Take notes at each step.

***4. Try to think and feel as a customer would.***

Look around as they might. What are they thinking? How do they feel at any given moment? Remember, you are role playing that person and their life situation. Note your observations and feelings.

***5. At each step, ask the staff what they think.***

Ask staff/stakeholders to tell you what changes would make it better for the <u>*customer*</u> and what changes would make it better for the <u>*staff*</u>. Write down their ideas as well as your own.

***6. Summarize what you learned.***

Finally, write down a list of the needs you found and any improvements that could be made to address these needs. Be sure to address what the needs are from both the *customer* and *staff/stakeholder* perspectives.

## Walk-through Recording Template

Use this template (back of page) to record your experiences and observations. Consider these questions:

- How did it feel to be a customer going through the process?
- What steps in the process worked well and what areas could be improved?
- Did you or other staff members/stakeholders identify any improvement ideas during the walk-through?

# Walk-through

| | |
|---|---|
| Organization: | |
| Person(s) doing the Walk-thru: | |
| Process Name: | |
| Date: | |

NOTES

## The Walk-through

A **walk-through** is a tool to help you experience a process from your customer's perspective.

**BENEFITS:**

- Helps you get closer to **NIATx Principle #1**: *Understand and involve the customer*.
- Allows you to **see** and **feel** what the process is really like for the customer.
- Shines a light on what is **working** and **not working** in the process.
- Provides an opportunity for **front-line employees** working in the process to share their ideas for improving the process for both the customer and staff.

**TIP:** If a physical walk-through is not practical, consider a "talk-through" of the process with stakeholders.

To download the *Walk-through Instruction Sheet* go to: attcnetwork.org/greatlakes and click *Change Leader Academy*

## TEAM EXERCISE: Discuss the walk-through experience

**INSTRUCTIONS:** Change Leader, ask your team members to answer question A or B:

**I've done a walk-through**

A. What process did you walk-through and what were two things that stood out to you?

**OR**

**I have not done a walk-through**

B. What is the process you will walk-through for your change project and what is your hunch as to what it is currently like to be a customer of that process?

## The People Side of the NIATx Model: Who's Who?

The qualities and responsibilities of the **people** who carry out a change project.

**Executive Sponsor**

- Selects or endorses the change project – sees it as a priority (NIATx Principle #2).
- Makes time to meet with the Change Leader for project updates.
- Has the necessary authority to remove barriers for the Change Team.

**Change Leader**

- Competent + Respected = Powerful (NIATx Principle #3).
- Engages and facilitates staff in the change process.
- Keeps the Executive Sponsor informed.
- Passionate for the work (i.e., the project aim).

**Change Team**

- Comprised of 3-7 staff or coalition members who work in the process (can also be customers).
- Identify one person responsible for data collection/monitoring.
- Brainstorms changes to try and then run small scale tests to see if they result in an improvement (PDSA cycles).
- Once the team achieves the project aim and sets a sustainability plan in place, the project ends.
- Give a 5x5 presentation (5 slides in 5 minutes) – sharing the aim, changes, results, next steps and impact of the change project with leadership and staff.

To Get STAKEHOLDER **BUY-IN**

↓

You must answer **The 3-Rules of Marketing**

1. What's in it for me?
2. Why should I believe you?
3. What makes your approach better than the alternatives?