Coalition Building

A Healthy Community is Everyone's Business

Texas Department of Health Coalition Task Force

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TDH
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A Healthy Community is Everyone's Business

Foreword

Communities in Texas are faced with many complex health problems and issues which affect everyone. Disease, poverty, crime, scarce resources, drug and alcohol abuse, and lack of health care are only a few problems concerning citizens, groups, and organizations. The search for real solutions to these issues has led us to work in coalitions.

Coalitions are created by organizations and individuals who believe that a health problem solution can be found by adding the human and material resources in the community. Coalitions are joint enterprises that attempt to accomplish what individual organizations cannot independently. Organizations and individuals in a coalition operate on common ground based on shared goals, jointly crafted rules for decision making, and agreed upon tasks and actions.

Coalition building is a strategic priority for the Texas Department of Health. *Coalition Building: A Healthy Community is Everyone's Business* articulates our understanding of coalitions and what makes them work. The manual emphasizes our agency's commitment to work with other organizations to achieve healthy Texas communities.

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Acknowledgments

External Reviewers

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Executive Summary

Background

The Texas Department of Health Coalition Task Force was formed in 1994 in response to the Texas Board of Health's request to make coalitions a priority in the TDH strategic plan. To assist the Board, Carol Daniels, Deputy Commissioner for Programs assigned Dora McDonald, Chief of the Bureau of State Health Data and Policy Analysis and Lynn Denton, Strategic Coordinator for Shots Across Texas to co-chair a Coalition Task Force. Task Force members with recognized coalition building experience were selected from a diversity of TDH state and regional programs. With additional information from TDH customers, Task Force members quickly focused on the following problem statement: "Across TDH bureaus, divisions, and programs, there is a lack of clarity about what coalitions are, what is or should be the nature of TDH support for coalitions, their implementation and maintenance."

The value of coalitions to the Department was established, and the Task Force took great care to define its vision, structure, mission, products, evaluation and documentation processes, and timelines. The Coalition Task Force met until its major products, policy recommendations, and coalition databases were fully developed and presented to the Texas Board of Health in late 1995. The following vision and mission statements guided the Task Force's work products development.

Coalition Task Force Vision Statement

With leadership from the Texas Department of Health, all Texans will improve their health and reduce disparities in health status through statewide, regional, and local coalitions.

Coalition Task Force Mission Statement

The TDH Coalition Task Force will develop policies and products for effective coalition building.

Products, Policies, and Databases

The Coalition Task Force formed ten workgroups to discuss and build their work product. Workgroups focused on the following key areas: recommendations for a TDH policy on coalitions; a database of statewide TDH partner groups and individuals; and, a generic model on building and maintaining coalitions. This model included an evaluation design for coalitions, a vocabulary list of key concepts and terms, a research compendium/case studies and lessons learned by previous coalition building efforts, customer requirements, product marketing, and documentation of the task force process. The majority of these key areas became chapters in *Coalition Building: A Healthy Community is Everyone's Business.*

Two databases were created to include information about existing coalitions and about groups and individuals with an interest in coalition building. Policy recommendations for implementing coalitions as a strategy and for the use of these products were developed for consideration by the Texas Board of Health.

Coalition Building: A Healthy Community is Everyone's Business

The major work product of the Task Force has been the development of a how-to manual for coalition building, maintenance, and evaluation. It is based on a conceptualization of stages of development of a generic coalition. The stages are described using labels that were first used to describe team building (B. W. Tuchman, 1965), and now describe the stages of development of a typical coalition.

These stages are: forming, storming, norming, performing, and adjourning. An additional stage, transforming, was added. The stages require specific actions that need to be taken for the coalition to proceed. The stages are marked by distinct characteristics common to the interactions among people and the organizations represented in the coalition. Lessons learned about each stage, suggested technical support needed, and steps to successfully work through each stage are provided. For each stage, specific tools and examples with instructions have been crafted to help the coalition builder. A glossary of terms and a list of additional resources also are included.

Policy Recommendations

The Coalition Task Force developed policy recommendations for consideration by the Texas Board of Health. The recommendations include suggestions for customer training, technical assistance, and access to coalition materials.

Coalition Database

A coalition survey was distributed to all TDH programs. Approximately 50 surveys were returned. Data from each survey was entered into a database. Customers interested in learning what coalitions exist(ed) in certain subject areas, types of members, and purpose can receive the information electronically or in hard copy. A second database of partner groups and interested parties is also available electronically or in hard copy.

Dear Coalition Builder,

Coalition building and maintenance are labor intensive, arduous processes that consume energy and time. So, why do it? Because coalitions occupy an important place in our public health war chest. Public health problems we face today must be addressed by a multitude of approaches and by the combined efforts of organizations and individuals in order to affect health status. Coalitions, when used effectively as a strategy, can have a lasting impact on the health status of a community.

In our many deliberations about coalitions and what makes them successful, the guiding principles were:

■ Coalitions are about relationships, inclusiveness, and communication. Developing communication channels, identifying and including all affected groups, and involving others in the decision-making process at all critical junctures will advance the coalition's agenda.

■ The lead organization must be aware that coalitions create their own identity, and that all organizations must be willing to blend their efforts into a distinct entity.

■ Evaluation at every stage of development for a coalition is essential. This evaluation must be linked to action in order for the coalition to progress.

■ Agencies, especially those that fund coalitions, must realize that coalitions require a long-term commitment before change in health status becomes apparent.

With our collective experience in coalition building, maintenance, and evaluation, the Coalition Task Force is confident to offer these insights in *Coalition Building: A Healthy Community is Everyone's Business.* You, the coalition builder, will find our lessons learned of significant value.

Sincerely,

The Coalition Task Force

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How To Use This Manual

Coalitions are dynamic organisms that form, grow and evolve. They either die or regenerate to continue the process. This manual is a road map to and through the coalition building process. The coalition builder can begin at the first stage and proceed to the end, or identify the most critical area for immediate assistance. Our hope is both will happen. A full reading will increase general knowledge regarding the development of a coalition and remove some of the pitfalls in using this strategy. Once familiar with the coalition building process, the manual can be consulted as the need arises.

Stages of coalition development are presented as separate sections. Each section has a common structure. The work, interactions, and outcomes that characterize each stage are presented. The format for each section contains:

- A description of each stage.
- Prescription, a set of tasks that must be completed and steps to be followed based on lessons learned which prepares the coalition to proceed to the next stage.
- Tools for accomplishing these tasks and steps to take with the actual tools included at the end of the manual. Examples are also included.
- Some types of support that may help a coalition complete its tasks.
- Evaluation indicators of sources and types of data which the coalition needs to function and meet its goals.
- An extensive resource list and glossary of terms.

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Chapter 1 **Introduction**

Definition and Importance of Coalitions

Each coalition is unique. It reflects the social mix of the community. Yet most coalitions encounter similar challenges. This manual conveys some of the lessons learned by Coalition Task Force members and department staff and other pioneers who offer sound advice and experience.

A few values are necessary in most situations, including coalitions. Inclusiveness is necessary in a social world characterized by diversity along many dimensions. A corollary to inclusiveness is respect accorded to all persons and groups. Participants in coalitions can be small or large, rich in resources or resource-limited. Each must be accepted and respected for their contributions to the coalition and the community.

Recognized authorities with knowledge of and experience in coalition building and maintenance define a coaltion as:

"an organization of individuals representing diverse organizations, factions, or constituencies who agree to work together in order to achieve a common goal."

"an organization of diverse interest groups that combine human and material resources to effect a specific change the members are unable to bring about independently."

Butterfoss, Goodman, and Wandersman, 1993

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> I AM VERY HAPPY THAT WE DID GO TO ALL THE TROUBLE TO FORM THE COALITION AND WOULD DO IT AGAIN. HOWEVER, ANYONE CONSIDERING THIS SHOULD SIT DOWN WITH SOMEONE WHO HAS GONE THROUGH IT TO MAKE SURE THEY HAVE THE TIME, ENERGY, AND STRENGTH TO ENDURE ALL THE POLITICS INVOLVED IN SUCH AN ENDEAVOR, BECAUSE IT CAN BE A FORMIDABLE TASK.
> —LYNN DENTON, DIVISION OF COMMUNICATIONS AND SPECIAL HEALTH INITIATIVES
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> • • • • • • • •

Some characteristics of coalitions that have been identified by literature and the Coalition Task Force include:

- Coalitions are issue oriented, structured, and focused to act on specific goals that are common to and shared by coalition members, and should be committed to recruit other organizations with diverse talents and resources.

- Coalitions are "action sets" or aggregates of interested groups and individuals with a common purpose whose concerted actions are directed at achieving the coalitions' goals.

- A defining factor for coalitions is that members collaborate not only on behalf of the organization they represent, but also advocate on behalf of the coalition.

Coalitions are important because they can:

- enable organizations to become involved in new and broader issues without sole responsibility

- demonstrate and develop widespread public support
- maximize the power of individuals and groups through joint action
- minimize duplication of effort and services
- help mobilize more talents, resources, and approaches to influence an issue
- provide an avenue for recruiting participants from diverse constituencies
- exploit new resources in changing situations

The promotion of coalitions is an important strategy by the Texas Department of Health to achieve its goals for the health of all Texans.

In the sections that follow, a generic coalition will be described in terms of the major stages of development, with some indications of the types of tasks that must be performed by the coalition to acquire its own identity, find its place in the community, and perform the activities needed to fulfill its mission.

The generic coalition is formed in a "community." This community might be defined as a state. The players will be state-level agencies and organizations, and the focus and purpose also will be state-level.

However, people working at the county, city or neighborhood levels will most likely recieve optimum benefit from the manual. Even though presented in a linear format, the stages of coalition development are not always a straight path. Throughout a coalition's life, it will move in and out of each stage several times within the same project. (For example, coalitions will "norm" the most following the storming stage, but members will define leadership and develop structure throughout the coalition's life.) The tools cited in each section can be used at any point and as many times as needed.

This document is a guide that identifies major hurdles, and provides practical tools that can be used or modified to suit a variety of users in a myriad of settings.

The Lifecycle of a Coalition

The lifecycle of a successful coalition is described by borrowing labels used to define stages of team growth (B.W. Tuchman, 1965): forming, storming, norming, performing, and adjourning. (Usually, instead of adjourning following success, coalitions undertake other challenges related their original purpose or expansions of that purpose.) This change can be called a transforming stage which would then transition into a new norming stage and then move to a new performing stage.

These stages are applied to the interrelationships among individuals who represent distinct social entities, organizations that are more complex than the single individual representing them.

The entities can be agencies that perform a service, public or private, for profit or non-profit, religious or secular. Other participants can be membership organizations composed of and responsive to their individual members. Other individuals are often included as members by virtue of their special skills, community status or reputation.

Call to Action

STAGES OF COALITION DEVELOPMENT

Flowchart:
- Form
- Agree to work together? → Yes → Storm / No (back)
- Storm
- Has leadership and role clarification emerged? → Yes → Norm / No (back)
- Norm
- Do we share a vision for action? → Yes → Perform / No (back)
- Perform
- Has the mission been taken to the target audience? → Yes → Transform / No (back)
- Transform
- Has the problem been solved? → Yes / No (back)
- Address another problem? → Yes (back to Form) / No → Adjourn

During the **Forming Stage**, an important social issue or condition is identified and recognized as a problem. Its solution requires the concurrence of more than one agency or organization. Once the major players have reached a general agreement to proceed to work as a collective entity, the fledgling coalition enters the storming stage.

The **Storming Stage** is characterized by conflict and negotiation, when the players roll up their sleeves and determine each player's relative contribution to the coalition. Each organization and agency has strengths and weaknesses; their contributions to the whole are related to their strengths. During this period of storming, informal leadership may be in place, and different roles are proposed, requested, or allocated for performing the tasks required to get the coalition off the ground. This distribution of tasks makes the coalition viable, often in the form of sub-committees or working groups, and marks the transition to the norming stage.

The **Norming Stage** finds the coalition with more formal leadership structure, by-laws and other indications the new entity is unique and more than the sum of its members. Equipped with its own vision and mission and using its newly developed structure, the coalition is ready to transform its mission into specific objectives. The objectives will forge activities resulting in the desired change in the community issue or condition. The principal activity of this stage is planning work to be performed, hiring and training staff and volunteers, developing materials, securing locations, and obtaining additional resources to finance the necessary preparations to move the coalition into the actual performing stage.

During the **Performing Stage,** the coalition conducts activities and events that are directed toward the larger community. The coalition acquires its reputation. In addition to performing tasks, the coalition communicates its mission to the community at large. This public relations effort is critical to the maintenance of the coalition as a viable force. Often fundraising is a major part of the work of this stage.

Not all coalitions are successful. Internal conflicts or external forces may provoke a disintegration before any real work is accomplished. There can be a break down in the performance stage, and the coalition fails to accomplish its goal or falls short of a pre-set standard. A quick **Adjourning Stage** occurs, followed by a **Mourning Stage** when members self-examine, attempt to lay blame on others, and/or attempt to salvage their own reputations. These situations are painful for the people and organizations involved, and for the whole community. The possibility of a negative outcome reinforces the importance of proceeding through the developmental stages with deliberate steps.

Collective action has succeeded in solving a problem or generating the interest and support from the community and other outside forces who will accomplish the coalition's goal. A coalition faced with success has a choice. It can celebrate success and disband, enriched by the experience. This is the **Adjourning Stage**, which marks the end of a successful joint enterprise. Or, if success has built the coalition's collective self-confidence to work together and face challenges, the coalition could broaden or modify its mission to incorporate other community issues. As a distinct social entity, the coalition has reached maturity and may go into a **Transforming or Expanding Stage.** It is followed by a new cycle of planning starting with the norming stage and proceeding in a continuous process of consolidation and empowerment.

Importance of Evaluation

"Evaluation is the systematic collection, analysis, and interpretation of data for the purpose of determining the relative value of a coalition, program or policy, to be used in decision making about that coalition, program, or policy." (D. Paul Moberg, 1984).

That definition has three key aspects. 1) Data collection is systematic. It is planned for in advance and collected in a consistent manner. 2) The value or merit of a coalition, program, or policy must be determined, either compared to other alternative activities, or to a set of pre-determined standards of practice. 3) Evaluation data are used in decision making about coalition activities. Data for use in decision making can be obtained at any level, from coalition members, stakeholders, the community, or the organizations within a community. Evaluation without action is worthless. Taking direct actions founded on decisions based on data is the ultimate goal of evaluation.

The purpose of the evaluation function within the structure of a coalition is to identify and describe the processes, products, and outcomes resulting from activities throughout the lifecycle of the coalition. Evaluation tasks provide appropriate data to manage the coalition, to improve its internal effectiveness, to make informed decisions, and to ascertain how well it is meeting its goals and objectives within pre-determined standards of performance.

The evaluation design should:

1. Be comprehensive to assess coalition efforts in any phase of its development, from initiation through planning, implementation, and maintenance of a coalition's lifespan.

2. Be a feedback tool to allow managers and leaders to make informed, data-based decisions at all stages throughout the life of the coalition.

3. Serve the needs of the coalition staff as well as other agencies and individuals that may be involved as volunteers, advisors, or clients.

4. Be culturally competent, reflecting the nature of the community. The evaluation design, methods, and instruments will be appropriate to capture the contribution of the many dimensions of diversity, including the cultural diversity of members of the coalition and of the community.

5. Be built-in as an internal function of the coalition and managed by competent coalition staff. An external evaluator (a service organization or private consultant) is an option, if competent coalition staff are unavailable.

6. Use methods and instruments appropriate to assess the extent of attainment of the formal goals and objectives of the program, (expected outcome or impact on individuals and/or the community); how well the activities were carried out; the changes individuals, related organizations, and the population and community have experienced as a result of their participation or exposure to coalition activities; and unexpected effects of these activities on individuals, other organizations, and the population and community at large.

7. Use methods that are appropriate to the characteristic to be assessed, and include quantitative and qualitative measures applied to whatever level of complexity is desired.

8. Include types of data gathered from self-reports (such as responses to surveys), checklists, questionnaires, observation methods, face-to-face interviews and focus groups, analysis of documents, and other measures appropriate to what is being measured.

Chapter 2 Stages of Development

Forming

Description

The forming stage begins when an existing condition in a community is identified by some community groups, leaders, agencies or organizations as a socially important issue or problem whose solution appears to require the efforts of more than one agency or organization. This new consciousness can be triggered by one or more of a number of events related to a broad social problem or condition, such as a human tragedy, the publication of a study or report, a series of articles in the local newspaper, television news coverage, or new legislation. In some cases, calls for proposals from public or private agencies specifically require the applicant be a broad-based coalition, be a part of one, or that a coalition be created if one does not exist.

Many coalitions at this stage may wish to pursue 501(c)3 non-profit status. However, because of limited dollars and staff, the coalition may decide to focus on small but incremental steps in achieving its mission, while seeking additional human and financial resources. The coalition also may opt to work with existing community foundations, which can administratively support the fledgling coalition until either its work is complete or 501(c)3 status is achieved.

In all cases, one or more individuals, agencies or organizations take the initiative to search for potential partners. The search can be a series of private conversations with other leaders, or it can be a public call, invitation, or challenge to others to mobilize and come together.

The agency or organization with the primary responsibility for addressing the issue often decides whether a broad-based coalition is the best strategy for addressing the need. This is a critical time when the decision must be made if a coalition is the most appropriate configuration to address the social need.

> INVOLVE AS MANY INTERESTED PARTIES AS POSSIBLE, EVEN IF THEIR CONTRIBUTIONS ARE ONLY IN THE PLANNING OR ADVISORY CAPACITY. THIS GENERATES BUY-IN AND GOOD WILL.
> —JOHN BURLINSON, REPROGRAPHICS AND LIBRARY SERVICES

A checklist of considerations to assess the need or desirability for forming a coalition is included in the forming tool box. It provides a list of conditions that, when met, point toward a coalition as the most appropriate vehicle for action. Satisfactory completion of this step will ensure that the decision to invest the time and effort required to start a coalition is supported by the objective conditions in the community.

Prospective coalition builders must ask: Do we need a coalition? Many types of working relationships can be established between two or more groups. They vary along several dimensions. One is formal leadership and power. An organization can contract with another to perform a given task, while retaining fiscal control and final accountability for the results. The lead organization can hire or fire the sub-contracting organization.

In a more egalitarian level, two (or more) organizations can enter into a coalition agreement, in which specific contributions and profit derived by each is delineated.

Nonperformance of agreements becomes a matter for negotiation and litigation, leading to a dissolution of the coalition or withdrawal of a member of a coalition. These are legally binding relationships that are common in the world of business, where organizations are owned by individuals, families, or stockholders to whom management is held accountable.

In the non-profit world, interorganizational arrangements are usually voluntary, based on good faith agreements and memoranda of understanding, rather than on legal contracts, unless transfers of money or property are involved. Conflicts involve principles and philosophy or political and strategic considerations rather than profit allocation. These organizations are open to public scrutiny since they tend to be membership or constituency-based, with stake holders rather than stock holders.

The transparency of the proceedings holds the members of a coalition true to their commitments. The leadership and management of these types of partnerships is extremely complicated. The entity must respond to a greater variety of expectations.

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> THERE WERE MANY ORGANIZATIONS INVOLVED, EACH WITH ITS OWN UNIQUE AGENDA AND EXPECTATIONS. IN ORDER FOR THE COALITION TO THRIVE, EACH ORGANIZATION HAD TO FEEL THAT ITS NEEDS WERE BEING MET. IT WAS NOT SO MUCH A "WIN-WIN" SITUATION AS A "WIN-WIN-WIN-WIN" SITUATION.
> —JOHN BURLINSON, REPROGRAPHICS AND LIBRARY SERVICES
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The following is an excerpt from *The Art of Coalition Building, A Guide for Community Leaders,* Cherie Brown, The American Jewish Committee, 1942.

Building a coalition is an art requiring distinctive attitudes and skills. Above all, it requires individuals and groups to be willing to overcome feelings of separateness and powerlessness, and to join forces with others in a spirit of mutual understanding, patience, and flexibility.

In our increasingly diverse communities, issues of race, ethnicity, gender and gender orientation, abilities and disabilities, education, and age play an important role in interpersonal dynamics and communications. Inclusiveness requires special attention to diversity, which should be viewed as a resource rather than a barrier. Diversity demands cultural sensitivity and cultural competency from all involved.

Sensitivity and cultural competence are learned behaviors and skills that take time to develop. There is no magic formula, other than knowing that the foundation of understanding is a basic attitude of respect for others. Experiences, good and bad, are the building blocks of attitudes, beliefs, values, and skills.

Coalition builders must be aware that promoting cohesion among diverse groups means accepting a number of premises:

   • Realizing individuals or organizations can share common concerns, even if for different reasons, and encouraging groups to think of goals that unite them, despite factors that may divide them.

· Understanding that the dynamics of an extremely diversified organization are different from those of the more homogeneous groups in which people usually take part.

· Encouraging individual groups to maintain their identity and autonomy as they participate in achieving common objectives.

· Appreciating the agendas of others, separating compatible from incompatible objectives, and framing issues in ways in which diverse groups can identify with them.

· Accepting partial consensus at times and not insisting on unanimous support on every step before the coalition takes action.

· Anticipating the inevitable clashes of opinion, verbal and nonverbal communication styles, values and attitudes, and working to minimize their divisive potential.

· Thinking in terms of power and influence—from building power bases to forging new community networks, to generating publicity and votes in electoral campaigns.

Coalitions are formed because they increase the critical mass behind a project, a piece of legislation, a candidate. Broader based, they have greater visibility and appeal, more resources to pursue their interests, and more power and influence than isolated groups.

Coalitions help groups to trust one another and to break down stereotypes and misperceptions they may have of others. By working together on a common agenda they learn to overcome the suspicion and disappointment that have marred many past relationships.

Coalition work is more cost-effective than individual group efforts because research, information, office services and equipment and other resources are coordinated and shared, avoiding unnecessary competition.

Potential members are often reluctant to work in coalitions because they are either over-anxious to gain allies for their own agendas or have real or imagined fears that their partners may not take a stand on their particular concerns.

Many groups focus only on their own priorities, insisting that their issues are more important than those of others. Thus they opt for short-term gains and fail to take into account the long-range possibilities.

The high priority the United States places on thinking and working independently becomes an obstacle to learning how to seek or recognize a common denominator with others.

These difficulties can be surmounted, however, with an understanding of the art of coalition building.

A permanent coalition is, in effect, a new organization with its own staff, membership and funding needs. Organizations that lack prior experience in joint intergroup efforts may not yet be ready to assume the formal structure and public identity of an established coalition. Initially, such groups may find it more

beneficial to participate in limited, informal arrangements that develop the basic organizational trust, links and networks necessary for full-fledged coalition work.

A climate of cooperation is loose association of diverse groups that support one another's program even as they maintain their independence. It is initiated when one group demonstrates that its program may help advance another's goals.

WE LEARNED HOW VALUABLE IT IS TO INVOLVE STAKEHOLDERS FROM ACROSS THE STATE IN THE PLANNING PROCESS. WE ALSO LEARNED THAT THERE ARE EXPECTATIONS FOR A GREATER PROPORTIONAL REPRESENTATION OF STAKEHOLDERS (I.E., LOCAL HEALTH DEPARTMENTS WANT MORE REPRESENTATION ON COMMITTEES; ALSO SOME FEEDBACK QUESTIONING THE ETHICAL/RACIAL DISTRIBUTION OF MEMBERS). THE LESSON LEARNED IS TO TAKE MORE TIME, AND TO CONSIDER ALL DIMENSIONS OF REPRESENTATION IN FORMING A COALITION.
—ROBBIE DAVIS, BUREAU OF WOMEN AND CHILDREN

A group network develops from a list of individuals and organizations who may be called on to participate in a hearing, legislative drive or other planned effort around a particular issue. Networks make it possible to raise organizational consciousness about previously unnoticed shared concerns and do not require organizations to reach agreement on issues about which they may differ.

A coordinating group is more structured than a network and requires a greater sharing of resources. It does not necessarily require an agreed upon statement of principles or platform and does not develop policy. Rather, it provides a forum for sharing information and coordinating approaches to a particular issue.

This marks the end of the excerpt from *The Art of Coalition Building, A Guide for Community Leaders,* Cherie Brown, The American Jewish Committee, 1942.

When the group is ready to adopt a collective working name that is different from that of any of the individual participants, communications intensify as the members begin to get to know each other better. Trust develops as each player contributes their own perspective of the health issue.

Interactions among the participating agencies and organizations are focused on the information and data each participant contributes about the issue-at-hand and the potential solutions. The philosophical or policy foundations of each participant agency or organization are examined and tested against the developing consensus on the nature of the health issue and the possible solutions. As each potential player is satisfied with the philosophy and organizational policies of the proposed common venture, the decision is made to continue participating. Some initial players may discover major discrepancies among their orientation and mission and those in the other organizations and decide to leave the coalition. This does not necessarily signal a conflict that might occur with another potential member. However, the presence of one particular member may cause others to refrain from participating. As a coalition builder, being sensitive but not paralyzed by these interpersonal problems is a necessity.

The interactions taking place during this stage are critical for the survival of the new entity. One of the key elements that must be present is a leadership style that fosters

participation and is inclusive, not exclusive. The most important criteria for inclusion in the initial group are; 1) individuals and organizations representative of those community segments which are stakeholders in the problem, 2) those who are most affected by the social problem at the center of the effort, and 3) those who have access to the resources needed to find a solution to the problem.

The informal consensus reached among the initial players on reasons and ways to work together toward a solution marks the beginning of the coalition. They now are ready to get down to specifics, and this marks the transition to the next stage, storming, where competing and conflicting interests, values, and perspectives appear.

Prescription: Steps and Lessons Learned About Forming a Coalition

Some of these tasks and steps may be carried out concurrently, while others follow a more linear, chronological sequence. In common, they capture lessons learned from other coalitions. Specific tools and examples are described which can help a coalition succeed in dealing with these tasks. The actual tools, ready-to-use and adapted for special needs, are presented under the heading "Tool Box & Examples: Forming."

- Identify an issue to champion or seek clarity on the pre-determined issue for coalition action.
- Determine whether a coalition is the most efficient and appropriate strategy to address the issue.
- Determine if there is another group that is adequately addressing the issue.
- Research the issue in relation to demographics, geographical impact, population affected, and community knowledge.
- Determine what function the coalition is going to serve: communication, cooperation, or collaboration in relation to the community as a whole.
- Determine what tasks would need to be performed for the coalition to exist and be successful.
- Determine what entities would be most beneficial in the coalition based on preliminary tasks.
- Prepare a short, direct sales pitch to present to persons to be approached for participation, which includes information about the issue.
- Identify the people to be contacted.
- Contact people.
- Hold the first group meeting.

> • • • • • • • • • • • • •
>
> I HAVE LEARNED THAT SOMETIMES THE MOST OBVIOUS PLAYERS ARE NOT THE ONES WE SHOULD BE FOCUSING ON. OFTEN, SOME OF THE LESS OBVIOUS ONES ARE THE ONES THAT HAVE BEEN WORKING IN THE TRENCHES AND KNOW MORE ABOUT THE PROBLEMS AND EFFECTIVE SOLUTIONS THAN THE PLAYERS WHO OPERATE MORE BY THE BOOK. I HAVE LEARNED TO LOOK FOR THOSE NON-TRADITIONAL PARTNERS.
> —SHARON KOHOUT, OFFICE OF SMOKING AND HEALTH
>
> • • • • • • • • • • • • •

Support for Forming

Types of support needed for successfully proceeding through this stage reflect lessons learned and advice from others who have experience in coalition work. However, the coalition may already have these resources within its membership. If so, this section can serve as a helpful reminder before the work begins. If the coalition does not have these resources readily available, the Coalition Task Force recommends the consideration of the necessity of these items in relation to the coalition's objectives and activities.

- Time release for individuals or staff and basic resources to conduct initial mobilization.
- Third party ambassadors to bring adversaries together.
- Neutral and, ideally, professional meeting facilitator.

Evaluation Indicators of Forming

The following list provides examples of written documentation that can be used for evaluation. These indicators provide evidence of coalition progress, impact on the target audience, human and financial resource utilization, unintended benefits and costs, and processes by which goals and objectives are achieved. For a more thorough discussion of how to evaluate a coalition, refer to the section on evaluation.

- Minutes of participating entities.
- Newspaper reports and notices of events prior and during the forming stage.
- Other public records and documents related to the issue or concern.

Tools for Forming

TOOL F-1
Questionnaire "Do we really need a coalition?"
A tool to help a group determine whether a coalition is the best structure to tackle the issue-at-hand.

TOOL F-2
Community Readiness Assessment Form
A pre-forming tool to assess the community's readiness to address health issues.

TOOL F-3
Community Resources Assessment Form
A tool to record basic information about potentially useful resources currently available in the community that can be used to support or complement the efforts of a coalition.

TOOL F-4
Inventory of Collaborating Groups
A comprehensive inventory of the multiple types of agencies and organizations found in communities, which can be approached either to participate, endorse, support, facilitate, or, at least, be made aware of the initiative under way.

TOOL F-5
Community Wheel
A tool to guide the selection of coalition members.

TOOL F-6
Letters of Invitation Checklist
A checklist of items to be included in letters of invitation.

EXAMPLE F-a
Example of a Letter of Invitation
A sample letter of invitation to other relevant organizations and agencies to attend a public (or private) meeting to explore the feasibility of developing a coalition to deal with a socially important issue or concern.

EXAMPLE F-b
Example of a Letter of Introduction and Request for an Appointment
A sample letter of introduction with a request for an appointment to explore the interest of the individual or organization in the health concern and the feasibility of becoming a member of the coalition.

EXAMPLE F-c
Example of a Follow-up Letter
A sample follow-up letter denoting the individual or organization's commitment to the coalition's efforts.

TOOL F-7
Skill Inventory Worksheet
A tool to identify individual project-related skills needed to develop the coalition and to perform the activities to be implemented.

TOOLS F-8-9
Vision and Mission How-to Tools
Suggestions for process models for writing vision and mission statements needed to guide the development of a successful coalition.

TOOL F-10
Introducing the Coalition through a Press Release
A press release worksheet for communicating with the public about the purpose of a coalition.

EXAMPLE F-d
Example Press Release
A sample press release to alert the community about the initiative to form a coalition to address a significant community concern.

TOOL F-11
Transition checklist for Forming to Storming
To determine if you have moved from the development phase of forming the coalition to the interactive phase of storming.

Tool Box & Examples: Forming

Tool F-1

Do You Really Need A Coalition?

This tool is designed to help a group determine whether a coalition is the appropriate and best strategy to address an issue. A coalition requires a strong commitment of financial and human resources. It is a strategy that requires high energy and consumes a lot of time. A group would be well served if the members would carefully examine the reasons for choosing a coalition versus another strategy, and examine their commitment to determine if, individually and collectively, it is ready to fully support a coalition.

Instructions:

Use this tool at the beginning when the idea of using a coalition as a strategy is first raised. Answer each question honestly. If any of the answers is "no," a coalition is not the appropriate strategy to address the issue. A different strategy should be selected.

Do You Really Need A Coalition?

1. Does the desired outcome require a long-term commitment?

   ❏ Yes   ❏ No

2. Is it necessary to have other partners to accomplish the task?

   ❏ Yes   ❏ No

3. Do you have both the desire and ability to invest time, money, and human resources over the long term?

   ❏ Yes   ❏ No

4. Are you willing to give up part of your organization's agenda/interest in favor of the coalition's agenda/interest?

   ❏ Yes   ❏ No

5. Are you willing and prepared to acknowledge others' authority and sacrifice your own in favor of the group?

   ❏ Yes   ❏ No

6. Are you prepared to have the status quo questioned and abide by the group's decision?

   ❏ Yes   ❏ No

7. Are you prepared to achieve decisions by consensus and to live by them?

   (Consensus = 70% agreement and 100% support.)

   ❏ Yes   ❏ No

8. Are you prepared to operationalize others' ideas?

   ❏ Yes   ❏ No

If you answered "Yes" to all questions, you are in a position to form and work with a coalition. Move on!

If you answered "No" to any of the questions, you are not ready to make a commitment to the development of a coalition. Another type of group or strategy would be better for you.

Tool F-2

Community Readiness Assessment Form

An important component in organizing a community to address health issues is assessing the community's readiness. This can save the coalition time and effort, enables the coalition builder to engage the community, to avoid failure, and to maximize mobilization.

Instructions:

This tool is best used in the pre-forming stage before potential coalition members are actually contacted. It also is best if used by organizations that will provide leadership to the coalition. Positive responses indicate the community is poised to work together, to solve health issues, and indicate a coalition may be a successful strategy.

Community Readiness Assessment Form*

	Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree
Has abundant community pride.	1	2	3	4	5
Has people who are committed to improving the quality of life of community members.	1	2	3	4	5
Can openly discuss problems.	1	2	3	4	5
Has grassroots leaders involved in community decision making.	1	2	3	4	5
Has a core group of people, from different walks of life, supporting the forming of a community coalition to address health issues.	1	2	3	4	5
Has leaders and citizens who work together to identify community problems and needs.	1	2	3	4	5
Has a commitment to assess the broader health needs of the community.	1	2	3	4	5
Has potential participants who will consider what is good for the health of the total community and look beyond their vested interest.	1	2	3	4	5
Has a history of successful community change.	1	2	3	4	5
Has a broad-based group of people willing to spend the required political energy to secure our community as a healthy community.	1	2	3	4	5

Tool F-3

Community Resource Assessment Worksheet

This tool records basic information about potentially useful resources in the community, which can be of support to and/or complement the efforts of a coalition.

Instructions:

Tailor this worksheet according to the areas of assistance needed by the coalition. Complete the worksheet and keep on hand as the project is initiated. The worksheet should be periodically updated during the life of the coalition.

Community Resource Assessment Worksheet

Area of Assistance	Name of Organizational/Individual Resource
Access to Intended Audience	1. _____ 2. _____ 3. _____ 4. _____ 5. _____
Access to Key Contacts Regarding the Intended Audience	1. _____ 2. _____ 3. _____ 4. _____ 5. _____
Access to Screening Services	1. _____ 2. _____ 3. _____ 4. _____ 5. _____
Access to Other Health-Related Programs	1. _____ 2. _____ 3. _____ 4. _____ 5. _____
Program Advocacy	1. _____ 2. _____ 3. _____ 4. _____ 5. _____
Support Services such as Transportation, Child Care, Other	1. _____ 2. _____ 3. _____ 4. _____ 5. _____

COALITION BUILDING

Program Promotion
Public Policy

1. _____
2. _____
3. _____
4. _____
5. _____

Program Credibility

1. _____
2. _____
3. _____
4. _____
5. _____

Program
Institutionalization

1. _____
2. _____
3. _____
4. _____
5. _____

Other

1. _____
2. _____
3. _____
4. _____
5. _____

Tool F-4

Inventory of Collaborating Groups

Each coalition member brings unique expertise to the group. The Inventory of Collaborating Groups can help determine what areas of expertise each coalition member has and is willing to contribute to the coalition's effort. The coalition should inventory its expertise to best use the skills and resources available.

Instructions:

The Inventory of Collaborating Groups is to be used as a grid of coalition members and their expertise. The grid is flexible and the sample is not exhaustive. Modify and redesign the instrument to suit the needs of your coalition. On the first column, write the names of the coalition members. On the first row write the skills of each coalition member. On the squares formed by the extension of rows and columns, insert a check mark or "X" when a coalition member and skill match. Update and revise the grid as necessary, especially when new skills are discovered or needed and when a new member joins the coalition.

Inventory of Collaborating Groups

Group (Write in names of coalition members)	Recruit Coalition Members	Obtain Mailing Lists from other organizations	Get letters of endorsement	Access Newsletter	Request Data	Collaborate on Intervention	Recruit Volunteers
Agricultural Extension Service							
Businesses							
Charitable Organizations							
Civic Groups							
County Medical Society							
Health Agencies including Voluntary agencies							
Health Councils							
Labor Unions							
Local Medical Facilities							

Inventory of Collaborating Groups (cont'd)

Group (Write in names of coalition members)	Recruit Coalition Members	Obtain Mailing Lists from other organizations	Get letters of endorsement	Access Newsletter	Request Data	Collaborate on Intervention	Recruit Volunteers
Mental Health Services							
Professional Associations							
Religious Organizations							
Schools: primary, secondary, higher							
Senior Citizens Groups							
Service Clubs: Kiwanis, Rotary, Lions, Junior League							
Social Service Agencies							
Veterans' Societies							
Others							

COALITION BUILDING

Tool F-5

Community Wheel

The community wheel is a guide to ensure that a broad cross section of the community is included in the coalition membership. Coalitions work best when they are inclusive and diverse in terms of race, ethnicity, age, gender, socioeconomic status, geography, and education. The community wheel will provide coalition builders with a snapshot of types of representatives needed for a community health coalition. The community wheel serves as a prompt, a catalyst, and a checklist. The wheel is not totally inclusive, but can be modified to fit the community.

Instructions:

The wheel identifies persons who belong to each end of the wheel spokes, beginning with those closest to the person completing the wheel. Going from the very personal to the least personal increases the number of positive responses from community members.

- Moving around the wheel, write the names of those you personally know belong to each of the spokes of the wheel.
- If you don't know anyone by first name, go to the next level and name the persons you know only by name, not personally.
- Name types of people you know would be part of different organizations, e.g., teacher, nurse, day care worker, minister.
- Identify an agency belonging in each of the spokes.

Ask each coalition organizer to complete a community wheel following the same process. Continue doing this exercise with as many people necessary to ensure a wide and diverse membership.

Community Wheel
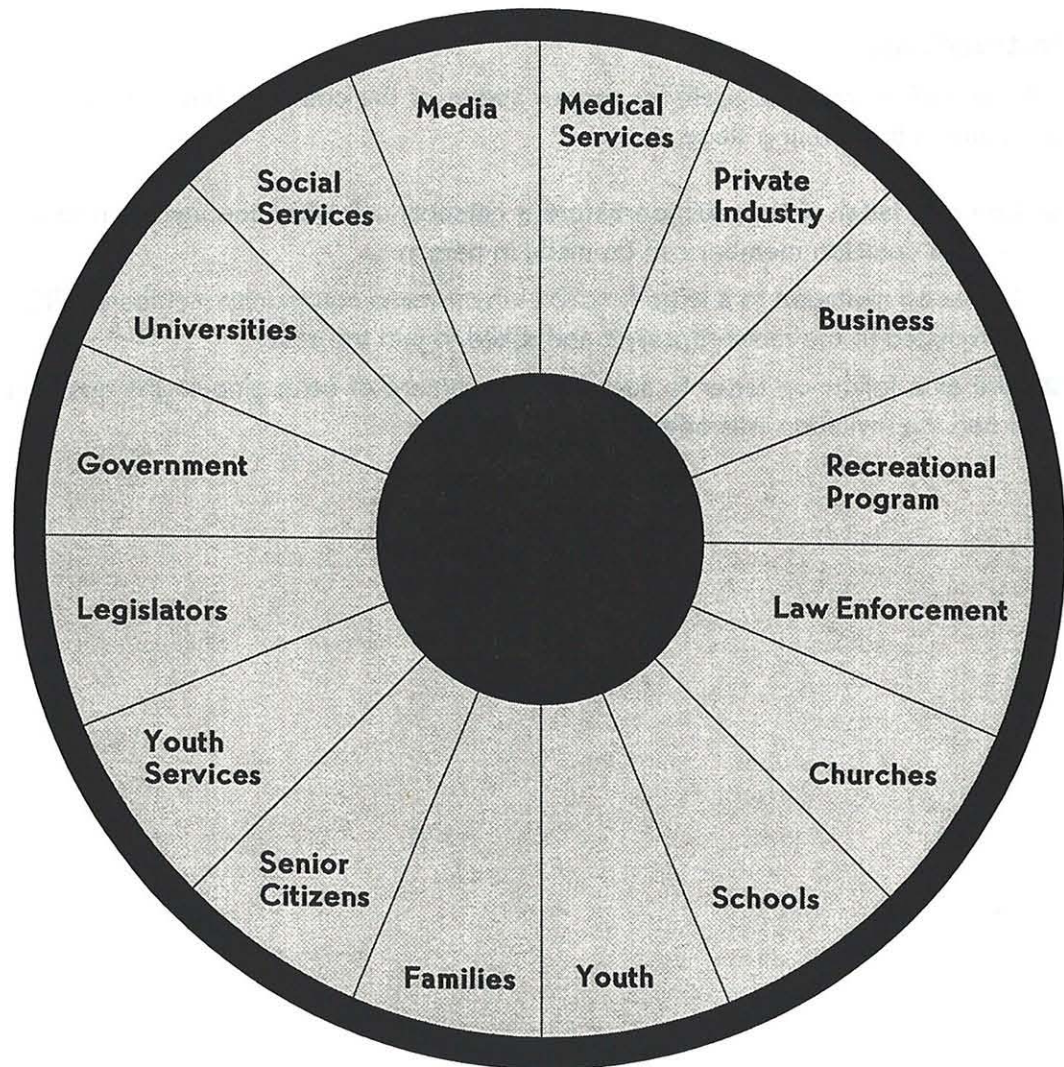
SOURCE: The Southwest Regional Center for Drug-Free Schools and Communities, The University of Oklahoma, Norman, OK.

Tool F-6

Letters of Invitation: Checklist and Examples

It is important to treat each person with the utmost respect when inviting them to be a member of your coalition. A letter of invitation serves this purpose.

Instructions:

A letter of invitation is useful at various stages of the coalition, but is most often used during the forming stage.

- Use as a letter of introduction before a personal call when the invitation to become a coalition member can be made in person.

- Use as an invitation to a large function where many community members will be introduced to the mission/project and asked to join the effort.

- Use as a follow-up letter to seal the commitment of belonging to the coalition when the invitation was offered spontaneously.

Letter of Invitation Checklist

A letter of invitation should include:

❑ A salutation by name. If names are not available, general names are acceptable, e.g., community leader.

❑ A brief introduction of events in the community that require the invitee's assistance.

❑ The name of the entity making the invitation, and other entities that have agreed to be part of the invitation.

❑ A date, time, and location of the meeting.

❑ A brief statement about the reason for the meeting and the name(s) of the person(s) who will be addressing the issue.

❑ A restatement of the invitation, with a more urgent plea for participation.

❑ The name and telephone number of the person extending the invitation, and/or the name of another person, preferably from another organization, whom the invitee can contact regarding questions or concerns.

❑ A complete meeting agenda and map to the meeting place.

❑ A business card, if available.

Example F-a

Example of a Letter of Invitation

Dear Ms. Tourine:

The immunization of children is of great concern to all of us. The level of immunization of children 2 years old and younger in our state is lower than in most Third World countries. In 1993, the immunization level of children 2 years old and younger in Texas was between 30 percent and 40 percent. The level increased to 55 percent in 1994 leaving 45 percent not immunized. We need your help to make sure ALL our children are immunized and remain immunized.

The Oak Hill Girl Scouts with the Golden Circle Kiwanis, Austin High Red Jackets, and members of Abiding Love Church are exploring effective strategies to address this great need.

Please join us on Tuesday, August 15, at 7:00 p.m. in the Community Room at Abiding Love Church to explore solutions to this issue. (The Abiding Love Church is located on the corner of Brush Country Road and Convict Hill Road in southwest Austin.) Ms. Courtney Foothill of the Texas Department of Health/Immunization Division will speak about the dangers children face when they are not fully and appropriately immunized. Ms. Doris Dimestore of Shots Across Texas also will speak to the gathering about how we can effectively and successfully address those needs.

Your help and contribution are of utmost necessity. Please join us.

Please contact Susanna York at (512) 555-2346 or Indiana Jones at (512) 555-6195 if you have questions. Enclosed is a meeting agenda and a map to the meeting place.

Sincerely,

Susanna York

Example F-b

**Example of a Letter of Introduction and
Request for An Appointment**

Dear Ms. Tourine:

The immunization of children is of great concern to all of us. The level of immunization of children 2 years old and younger in our state is lower than in most Third World countries. In 1993, the immunization level of children 2 years old and younger in Texas was between 30 percent and 40 percent. The level increased to 55 percent in 1994 leaving 45 percent not immunized. We need your help to make sure ALL our children are immunized and remain immunized.

I am a volunteer with the local immunization coalition and a member of the Oak Hill Girl Scouts. The Oak Hill Girl Scouts with the Golden Circle Kiwanis, Austin High Red Jackets, members of Abiding Love Church, and other community organizations are joining forces to address this great community need. I invite you to join our efforts.

I want to discuss this issue with you at your convenience. I would like to visit with you on Tuesday, August 15, between 1 p.m. and 5 p.m. I will call you next week to make an appointment.

Your help and your contribution are of utmost necessity and importance. I look forward to meeting and working with you. Thank you in anticipation of your assistance.

Sincerely,

Susanna York

Example F-c

Example of a Follow-up Letter

Dear Ms. Tourine:

Thank you for accepting the invitation to join our Local Immunization Coalition. It was pleasant to see you again and to learn of your accomplishments.

Your name has been added to our roster so you will receive all coalition information and activity announcements. Enclosed is a coalition member packet, current membership list, copies of our strategic and action plans, list of committees and chairs, and next month's activity schedule. A meeting schedule for the next four months with tentative agendas and location maps are also enclosed.

I will call you next week to answer your questions and to arrange a new member orientation visit. Please call me at 555-1234 if you have immediate concerns.

Again, thank you for joining the coalition. I look forward to working with you.

Sincerely,

Susanna York

Tool F-7

Skill Inventory Worksheet

It is helpful to do a skill and interest assessment to identify the assets and skills each coalition member may bring to the group. This information will give the coalition an idea of what skills it currently possesses and what future support may be needed.

Instructions:

Use the skill inventory worksheet to document the skills of each coalition member. This form can be tailored to meet the needs of the coalition. Each member should complete a worksheet by rating their skills in each category. They also should indicate their interest in applying the skills for the coalition's benefit.

Skill Inventory Worksheet*

Team Member Name: John Smith	Skill Assessment			Interest
Sample Skills	Low	Med.	High	Yes/No
Meeting Facilitation				
Formal Presentation				
Coalition Leadership				
Finance/Accounting				
Biostatistics				
Knowledge of Community				
Knowledge of Health Issues				
Other Specialized Knowledge (Specify)				

*Adapted from *Securing Your Organization's Future: A Complete Guide to Fundraising Strategies*, Michael Seltzer, New York, The Foundation Center, 1987

Tool F-8

Sharing A Vision

Organizational identity is created when there is a shared vision. Organizations and coalitions can work better together if they share a common concern for a specific problem in the larger environment. It is critical to create and articulate this shared vision together so coalition members can direct their energies. By having an agreed-upon vision statement, coalition members can stay united when differences of opinion, belief, and style threaten their relationship. A vision statement is created before a mission statement.

Instructions:

Keep in mind that creating a vision statement requires imaging a greater desired state that goes beyond the immediate local setting. Give each member a worksheet, and ask them to fill it out individually. Form small groups and have individuals share their responses. Report back to the entire group. Discuss similarities and their meaning and how to place these thoughts into a group vision statement that everyone can support.

Visioning Worksheet*

1. Identify/describe your understanding of the issues or problem being discussed at this meeting.

   _____

   _____

   _____

2. Concerning the identified issues, what is your vision of an ideal state or community?

   _____

   _____

   _____

3. If this coalition could develop further and really begin to implement change, what could you imagine being achieved?

   _____

   _____

   _____

4. What prevents things from being that way now? (Is it, for example, lack of resources, commitment, time or organization?) What are the obstacles?

   _____

   _____

   _____

5. Why might a coalition help overcome any of these obstacles?

   _____

   _____

   _____

Tool F-9

Developing a Mission Statement

A clear mission statement illuminates and directs the work of the coalition. Policy, management, and practice decisions can be made in light of the coalition's mission.

A mission statement is composed of:

- A reason for being.

- The products or services provided.

- A description of the customer.

Instructions:

The mission statement form is a guide for drafting an appropriate mission statement for the coalition. Each member can complete the form and share it with the group. Once all responses have been documented, the coalition can begin to synthesize its thoughts into one complete statement. A mission statement should be aligned with or support the vision statement. A vision statement describes the future; a mission statement describes the present.

Developing a Mission Statement*

1. What do you hope to accomplish as a result of your efforts?

_____

_____

_____

_____

2. How do you plan to accomplish these goals?

_____

_____

_____

_____

3. For whose benefit does your coalition exist?

_____

_____

_____

_____

Weave together your responses from these questions into a single statement:
The mission of our coalition is:

_____

_____

_____

_____

Evaluate your statement	Yes	No	Somewhat
a. The statement is realistic.			
b. The statement is clear and concise.			
c. The statement reflects our values and beliefs.			
d. The statement demonstrates a commitment to serving the public good.			
e. The statement is powerful.			

Based on your evaluation of the statement, write possible changes that you can make:

_____

_____

_____

_____

Now, rewrite your statement based on those changes:

_____

_____

_____

The purpose of our coalition is:

_____

_____

_____

Share this draft with three people outside your community for their comments. Be sure to include at least one person who may not be familiar with your issues.

List possible candidates below:

_____

_____

_____

_____

_____

_____

_____

Tool F-10

Introducing the Coalition Through a Press Release

Questions may arise from the community as to the identity and purpose of the coalition, and how it should be dealt with. Communication linkages need to be developed between relevant organizations and significant others in the community as part of an ongoing public relations strategy.

Instructions:

A press release is the most common way to introduce a coalition. Answer the following questions individually or with coalition members, and after completion, the essential information has been created for introducing the coalition through a press release.

Introducing the Coalition Through a Press Release

Write a sample press release about your coalition by responding to the following questions:

Who is your coalition?

_____

_____

_____

_____

What is the coalition trying to achieve?

_____

_____

_____

_____

What are the goals/philosophy/purposes? How does the coalition intend to accomplish them?

_____

_____

_____

_____

What is the project/activity the coalition is currently working on?

_____

_____

_____

_____

Why this particular project? How? Where? When?

_____

_____

_____

_____

Example F-d

Sample Press Release*

Media Contact:Immunization Strategic Coordinator
Immunization Division, Texas Department of Health
512-458-7284

FOR IMMEDIATE RELEASE

Texas Department of Health Heads Statewide Effort to Immunize Infants AUSTIN - April 15, 1994 - In Texas, bigger may be better, but a program initiated by the Texas Department of Health (TDH) will urge the state to remember the value of the little things in life too.

Shots Across Texas, a statewide grassroots public health campaign, was established to educate parents and caregivers about the importance of "immunizing their little Texans by two."

Supported by Texas Medical Association (TMA) and Texas Medical Association Alliance (TMAA), the program is administered through a state level coalition and a network of community coalitions throughout Texas.

In most cities, community coalitions are coordinated by local TMAA groups with the help of statewide Kiwanis clubs, the Texas Salvation Army, the Rotary of Texas, the University of Texas System, and the TDH.

Hundreds of other organizations also are mobilizing volunteers to participate in Shots Across Texas. Participants include the Texas PTA, the Texas Academy of Family Physicians, American Red Cross chapters in Texas, the Junior League of Texas, the Retired Senior Volunteer Program, the League of Women Voters, and the First Steps Coalition.

Urging parents to "Immunize Your Little Texan by Two," the program was started with the passage of Senate Bill 266. The law, which took effect Sept. 1, 1993, requires that all Texans 18 years old and younger be immunized with age-appropriate vaccinations.

The new law primarily targets physicians by mandating that all childrens' records be monitored for proper immunization. It also requires physicians to give all necessary shots when treating an under-immunized child, or to refer the child elsewhere for immunizations.

Whether or not parents have a physician referral, they must comply with the new law. Shots Across Texas will work to educate parents about the importance of fully immunizing their children, especially those younger than 2 years old.

"Children are at the greatest risk from diseases such as diphtheria, polio, mumps and measles between birth and age two. It's important that parents become aware of this risk and start bringing their infants in now, rather than waiting for them to reach school age," said David R. Smith, M.D., Texas Commissioner of Health.

The consequences of under-immunization are apparent in Texas. According to TDH, between 1988 and 1992, more than 4,400 of the state's children younger than 5 years old had measles, and 14 of those children died from the disease. In 1992, almost half (1,097) of the nation's 2,200 measles cases were reported in the state.

Texas ranks last in the nation in immunization rates and far behind many developing nations such as Uganda, Mexico and India, which immunize more than 70 percent of their 1-year-old children.

"Neglecting to immunize Texas infants is not only a dangerous and sometimes tragic oversight, it's also costly for Texas taxpayers," Dr. Smith said.

Some 788 children with measles were hospitalized in Dallas and Houston in 1988 and 1989, costing taxpayers $8.5 million, a startling figure in contrast to the $12,000 it would have cost to vaccinate those same children. According to TDH, $10 is saved for every $1 spent on measles vaccine.

However, many parents simply cannot afford immunizations. In an effort to address this issue, the Texas legislation requires immunizations to be administered regardless of ability to pay. As a result, Shots Across Texas will promote the message that medically under insured and uninsured children can receive their shots at little or no cost.

In conjunction with Shots Across Texas, neighborhood clinics, public hospitals and doctors' offices will offer special immunization programs. Community volunteers will organize the programs with the help of local businesses, many times offering donated incentives such as movie passes and free ice cream to encourage parents to bring their children to be immunized.

"We hope that by offering and heavily promoting these special programs through our community coalitions, we can encourage all parents in Texas to immunize their children," Dr. Smith said.

Anyone interested in joining a community coalition, helping the statewide effort or finding out more about Shots Across Texas may call toll-free, 1-800-252-9152.

— 30 —

*A press release worksheet for communicating with the public about the purpose of a coalition.

*Reprinted with permission by Shots Across Texas

Tool F-11

Transition Checklist for Forming to Storming

To determine if you have moved from the development phase of forming the coalition to the interactive phase of storming, review the following items:

1. Identified an issue or reason for forming:
   - ❑ Determined there is a problem in the community
   - ❑ Determined what has been done on the issue
   - ❑ Determined if a group needs to address the issues
2. Identified whether a coalition is needed:
   - ❑ Contacted key leaders and interested parties in the community
   - ❑ Surveyed contacts using the questionnaire, "Do You Really Need a Coalition?"
   - ❑ Assessed community readiness using pre-assessment tool
3. Formed an initial steering committee:
   - ❑ Reviewed community resources currently available
   - ❑ Compiled a Community Resources Inventory
   - ❑ Reviewed and selected potential members
4. Gathered coalition members:
   - ❑ Identified project-related skills
   - ❑ Developed vision and mission for group
   - ❑ Introduced coalition to community

Storming

Description

Storming begins with increased tension when specific limitations and strengths of the participants are displayed. Although there is general consensus on the nature of the problem and some guiding principles for possible solutions, the group must move to agree on specifics, such as defining priorities more clearly, identifying target audiences, and agreeing on the depth, length, or intensity of the efforts needed to produce changes and have a significant impact on the problem.

> • • • • • • • • • • •
>
> THIS WAS A HEALTHY ASPECT, SINCE EACH BROUGHT A DIFFERENT VIEWPOINT ENABLING A COMPREHENSIVE VIEW OF THE PROJECT.
> —JOHN BURLINSON, REPROGRAPHICS AND LIBRARY SERVICES
>
> • • • • • • • • • •

Knowing and having worked with other participants will affect the nature of the interactions at this stage. Knowledge and trust among players will tend to shorten the time needed to achieve the state of trust, the problem-solving mentality, and the sense of community that will mark the transition to the norming stage. Relatively new acquaintances will take longer to achieve the sense of common purpose and community needed to forge ahead. Interactions among people who come from different cultural backgrounds may be particularly difficult. For some people and some cultures, the time invested in establishing relationships at a personal level is very important. This could easily clash with a more practical no-nonsense, business-like approach which values efficiency over process. The skill and sensitivity of a proficient group facilitator can bring these and other differences in communication styles to the table, and deal with them before getting into the actual content of the meeting.

Before leaving this stage, a tentative name, structure, role allocations, and leadership must be in place. Now, members are close to developing an identity as a task-oriented group. An even greater degree of formal organization must emerge in order to continue meeting and working. The interactions that take place during the storming stage prepare the members for the last push of becoming a formal, distinct social entity. They are ready to move now to the norming stage, where the plans will be made for the actual work out in the community, rather than their own internal work to become a coalition.

Prescription: Steps and Lessons Learned about Storming

> • • • • • • • • • • • • •
>
> THE POSITIVE IS THAT THE COALITION CAN ACTUALLY BE STRONGER AND MORE EFFECTIVE BECAUSE OF ITS DIVERSITY. THE MORE IDEAS THAT ARE ON THE TABLE, THE MORE CHOICES THE GROUP HAS IN WAYS TO CARRY OUT ITS MISSION.
> —SHARON KOHUT, OFFICE OF SMOKING AND HEALTH
>
> • • • • • • • • • • • • •

These are the most common tasks and need to be handled in a logical sequence. Some may take longer than others. Specific tools and examples to help a coalition succeed in dealing with the tasks are described. The actual tools, ready to use or adapted for special needs, are

COALITION BUILDING

presented under the heading "Tool Box: Storming."

Team Building is essential in early meetings because the work of coalescing must be done before the coalition begins to work.

- Provide increased opportunities to let members get to know each other by sharing expectations and concerns.
- Develop a shared understanding of the problem by exploring all dimensions and diverse perspectives of each member.
- Acknowledge the assets and commitment each member brings to the coalition.
- Acknowledge the needs that each member brings to the coalition.
- Establish ground rules for how members will treat one another in meetings in order to ensure a safe environment in which members can express themselves, such as

> It is not always easy to get consensus as to the direction the coalition should take. People often have hidden agendas which have to be worked through in order to make progress.
> —Veronda L. Durden, Office of Special Projects

  1. Listening to each member respectfully.

  2. Valuing different points of view and diversity in experiences.

  3. Maintaining the highest possible level of openness and trust in the group.

  4. Acknowledging the needs and values of all members to some degree, especially those who may have been previously estranged from another group or member.

  5. Keeping commitments made to and by the coalition.

Developing a decision-making process also is essential in the early meetings of the group. It will help manage perceptions and concerns about power and establish a pattern for relationships where leadership shares as much as possible with membership.

Communication systems are an essential component of this stage where a climate of trust is established by patterns of interagency relationships.

- Insight into member organizations will increase the climate of trust.
- Communication tools allow members to participate at varying levels without feeling shut out of the mainstream of activity. Such items include:

  1. Notice of meetings by invitation or announcement.

  2. Meeting agendas and minutes/summaries.

  3. Special lists, resolutions, votes.

  4. Participant lists with telephone numbers and addresses.
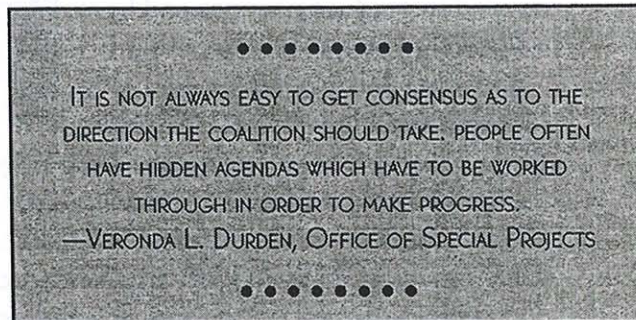
- A variety of communication patterns should be encouraged with members sharing among themselves as well as with the larger group.

Support Needed for Storming

The following types of support needed for successfully proceeding have worked well for others involved. This section serves as a reminder before the actual norming work begins.

- A professional meeting facilitator, or the assistance from one or more experienced individuals capable of eliciting trust and respect from participants who provide continuity to the coalition's progress is recommended.
- A neutral meeting place, with adequate infrastructure for face-to-face interactions (equipment, flip chart holders, refreshments, no interruptions, and privacy) in a pleasant, relaxing environment, is essential.

Evaluation Indicators for Storming

The following list provides examples of written documentation that can be used for evaluation. These indicators provide evidence of coalition progress, impact on the target audience, human and financial resource utilization, unintended benefits and costs, and processes by which goals and objectives are achieved. For a more thorough discussion of how to evaluate a coalition, refer to the section on evaluation.

- Notification of meetings (invitations, announcements).
- Meeting notes with products, such as lists, priorities, votes and resolutions.
- Participant lists (sign-up sheets).
- Agenda, minutes/summaries, and resolutions of meetings.

Tools for Storming

TOOL S-1
Defining the Problem Worksheet
Instructions for a procedure and a generic form are used to elicit contributions to the statement of a problem or issue from group participants as well as a means to process the responses.

TOOL S-2
Individual Perspectives
A worksheet for defining reasons why individuals and/or organizations have joined the coalition. Responses are shared with the members when the group needs assistance to help them move forward.

TOOL S-3
Meeting Management Guidelines
Suggestions for activities to facilitate group process in the absence of a professional meeting facilitator. It includes a sample of meeting ground rules, types of decision-making strategies, simple warm-up and ice-breaking exercises, and suggested role and role descriptions for facilitator, scribe, timekeeper, and recorder.

TOOL S-4
Models for Decision Making
There are times for voting and there are times for talking. Consensus, minority/majority views are some of the issues explored in this brief overview of decision making.

TOOL S-5
Internal Progress
Progress is tested by checking and evaluating internal progress before moving on to the next stage.

TOOL S-6
Force Field Analysis
An instrument for identifying the driving and restraining forces affecting a coalition.

TOOL S-7
How to Select & Evaluate Facilitators
Guidelines for the selection of facilitators.

TOOL S-8
Decision-Making, Consensus and Conflict Management
Guidelines for several ways to arrive at decisions, resolve conflicts and reach consensus.

TOOL S-9
Transition Checklist for Storming to Norming
To assure the coalition has worked out issues, achieved consensus, and is ready to move on to the norming stage.

Tool Box: Storming

List of Storming Tools

Tool S-1

Defining the Problem

Health problems are caused by a web of complex components. This exercise will help clarify different dimensions. It also will help investigate the expanded nature of the problem.

Instructions:

This tool may be filled out by individual members at home or during the meeting and presented as an agenda item for group discussion.

Defining the Problem*

Source of Information	Know Already	Need to Know
What are the broad concerns you want to address?		
What is the broad goal you want this coalition to meet?		
What do you think is the root cause of the health problem?		
Are you satisfied with your current information and understanding of the problem?		
What persons can give you more insight into the health problem?		
What places and organizations can you go to for relevant information, documents and data?		
What places or organizations can you visit where similar problems have been researched and addressed?		

*Adapted from *Partnerships for Community Development*, S. Habana-Hafner, H.B. Reed & Associates, 1989

Tool S-2

Individual Perspectives

At some point, the group may appear to be standing still, making no progress. Individual members may become defensive and competitive if they appear to be choosing opposing sides. It is important for individuals to refocus on the real issues which brought the coalition together as a group.

Instructions:

This tool may be filled out by individual members and presented as an agenda item for group discussion. Using an outside facilitator to conduct this session is recommended to redirect and refocus the energies of the group.

Individual Perspectives*

Keep in mind the reasons you and your organization joined this coalition. Write the most important things this coalition should accomplish.

Objective 1: _____

_____

_____

Objective 2: _____

_____

_____

Objective 3: _____

_____

_____

Objective 4: _____

_____

_____

Decide which of these objectives is critically important to the success of the coalition's mission. How would you defend that point of view?

_____

_____

_____

_____

Is there one objective that would be relatively easy to accomplish because of existing resources or immediate support? What resources are available?

_____

_____

_____

_____

_____

*Adapted from *Partnerships for Community Development*, S. Habana-Hafner, H.B. Reed & Associates, 1989

Tool S-3

Meeting Management Guidelines

The size, personalities, shared history, and other factors contribute to the smooth operation of meetings. This process assessment of meeting management will affirm the successful day-to-day operations of the group or alert the coalition about the possible need for professional, outside facilitation.

Instructions:

This tool may be used by a group without a facilitator. Each member should fill out a copy of the instrument, and share and discuss each item with the group. The group should decide if they are operating well without outside facilitation or whether they need to solicit outside facilitation to have more productive meetings.

Meeting Management

1. Meetings are well planned , concise, and pertinent.
    DO NOT AGREE --------------------------STRONGLY AGREE
    1   2   3   4   5

2. Issues are given the right amount of discussion time and opportunity for input by all members.
    DO NOT AGREE --------------------------STRONGLY AGREE
    1   2   3   4   5

3. Members are actively involved in brainstorming, decision making, problem solving, planning, and objective setting.
    DO NOT AGREE ------------------------STRONGLY AGREE
    1   2   3   4   5

4. Individual members are not allowed to talk more than their fair share of time.
    DO NOT AGREE --------------------------STRONGLY AGREE
    1   2   3   4   5

5. An agenda is prepared in advance and adhered to as much as possible.
    DO NOT AGREE -------------------------STRONGLY AGREE
    1   2   3   4   5

6. Accomplishments and minutes are reviewed at the beginning of each meeting.
    DO NOT AGREE -------------------------STRONGLY AGREE
    1   2   3   4   5

7. Each member has a coalition folder to keep important materials such as project summaries, reports, and membership rosters.
    DO NOT AGREE -------------------------STRONGLY AGREE
    1   2   3   4   5

8. All members are given the opportunity to participate and share their opinions.
    DO NOT AGREE -------------------------STRONGLY AGREE
    1   2   3   4   5

Tool S-4

Consensus Building

"*The formulation of a problem is far more often essential than its solution, which may be merely a matter of mathematical or experimental skill,*" said Albert Einstein.

The consensus process maximizes the participation and ownership of coalition members in decision making and planning processes. It also lessens the influence of one formal leader or a few informal leaders.

Instructions:

This tool may be used by a group without an outside facilitator if it has been determined that the group is functioning productively without one. If needed, the facilitator for this session should lead the group through the steps.

Consensus Building

DEFINE THE PROBLEM

1. Try brainstorming, writing a checklist, or fishbone diagraming the components of your problem. Describe the situation or issue that needs a decision or plan.

2. Don't be vague. Ask if your problem statement is:
   - clear
   - concise
   - realistic
   - achievable
   - measurable

3. Remember, problems should be reduced to their smallest, manageable pieces.

GENERATE POSSIBLE SOLUTIONS

1. Brainstorming with flip charts encourages objectivity, visually stimulates creativity, and records ideas.

CHOOSE AMONG ALTERNATIVES and SET PRIORITIES

1. Decide criteria for making choices, such as how vital the situation is, or how easy the problem is to solve with the resources-at-hand.

2. Rank the alternatives. Use the criteria and narrow the list to the top five.

3. Talk through the top five alternative solutions before making a final selection.

PLAN THE SOLUTION

1. The plan must be explicit with well-defined responsibilities and tangible, measurable results.

2. Appoint chairpersons to oversee and ensure that plans are implemented appropriately.

Tool S-5

Internal Progress

Internal evaluation is necessary at every stage of development. After the storming stage, the coalition wants to make sure it is on the right track. This process evaluation assesses the internal functioning of the coalition.

Instructions:

This tool is used on a semi-annual or annual basis. It is preferable for an outside facilitator to conduct this question and discussion session. To assure that everyone is heard, each member shares perceptions of how well the coalition is functioning. The meeting minutes are an important part of the coalition's historical record.

Internal Progress*

	No	Change	Modification
Infrastructure			
Clear Leadership			
Clear Roles and Responsibilities			
Clear Organizational Structure			
Clear Mission and Goals			
Processes			
Productive Meetings			
Clear Communication			
During Meetings			
Between Meetings			
Clear Decision Making Process			
Effective Conflict Management			
Planning Activities			
Implementing Activities			
Evaluating Coalition Processes			
Other			

*Adapted from *Partnerships for Community Development,* S. Habana-Hafner, H.B. Reed & Associates, 1989

Tool S-6

Force-Field Analysis

A Force-Field Analysis, developed by Kurt Lewin, allows coalitions to identify and examine what forces are affecting the coalition, either positively or negatively. Whatever the project or change effort, forces exist and exert influence, which support and hinder. The forces that support, assist, or help a project are called "driving forces." The forces that hinder, prevent, or block a project are called "restraining forces."

Force-Field Analysis Model

Individuals and groups have the tendency to remove or eliminate restraining forces to allow the driving forces to move ahead. It is far more effective to increase the strength or number of driving forces to facilitate a change effort or project. Coalitions use Lewin's Force-Field Analysis model to identify and analyze the forces affecting them. Driving and restraining forces are identified with the ultimate goal of strengthening or increasing the coalition's driving forces.
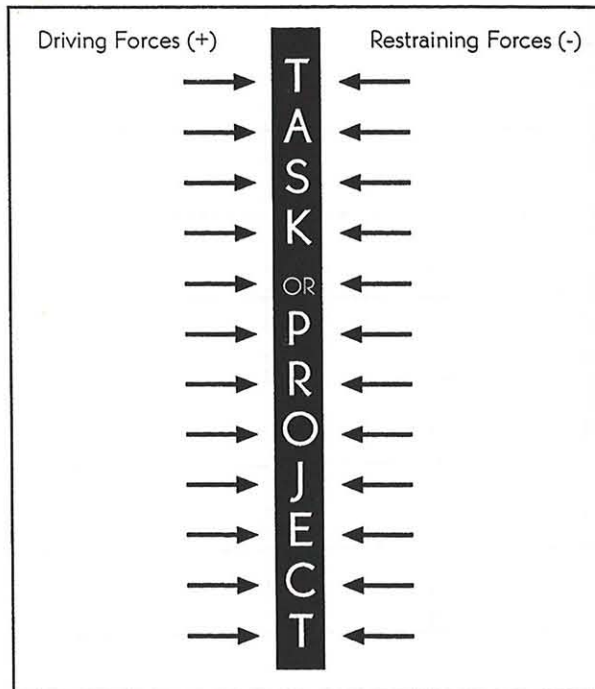
Instructions:

Individually or in a small group, complete the following tool by thinking about your coalition. List both the driving and restraining forces affecting your coalition. Consider the identified driving forces, and ways to strengthen or improve them.

Force-Field Analysis Tool

Coalition: _____

Driving Forces

What is helping, supporting, encouraging, or nurturing our coalition (i.e., volunteers, a meaningful issue, start-up funds, a committed community, a federal mandate, a community crisis)?

+ _____

+ _____

+ _____

+ _____

+ _____

+ _____

+ _____

+ _____

Restraining Forces

What is preventing, hurting, blocking, stopping, or sabotaging our coalition (i.e., volunteers, political pressure, lack of funds, community resistance, multiple agency involvement)?

- _____

- _____

- _____

- _____

- _____

- _____

- _____

- _____

What can be done to increase the driving forces?

1. _____

2. _____

3. _____

Tool S-7

How to Select and Evaluate Facilitators

Selecting Facilitators

When a coalition has decided to use a facilitator for increasing the effectiveness of its meetings, the first step is to decide what type of facilitation (basic or developmental) is needed. In basic facilitation the role of the facilitator is to keep the group on track and make sure the goals and objectives for the meeting are achieved while singlehandedly intervening as needed with the group. In developmental facilitation the role of the facilitator is to not only keep the group on track and make sure the goals and objectives are met, but also to help the group learn how to intervene itself so that it may eventually run its own meeting without a facilitator.

The second step is to then interview possible facilitators to determine what their style is and if he or she is a fit with the coalition. Facilitator styles can range from being very non-directive or hands-off to being extremely bossy and controlling. Depending upon the developmental stage of the coalition and the personalities of those involved, many different styles may be appropriate. The earlier in the life of a coalition, the more controlling a facilitator may need to be to manage the process. The later in the life of a coalition, the less controlling a facilitator may need to be because the coalition may be able to manage some of the process itself.

The third step is to develop a contract with the facilitator. Initially, it is a good idea to have a limited contract until both the coalition and facilitator are comfortable with each other. Once everyone agrees that the facilitator and coalition are working together well, a longer-term contract can be negotiated. Items to consider in negotiating a contract with a facilitator include:

- cost (coalitions may want to negotiate for a no-cost facilitator if available from one of the coalition's members) which can range from a low of $100 per day or $10 per hour to an industry standard of $500 to $1000 per day depending upon the skill and expertise of the facilitator

- supplies which may be brought by the facilitator or provided by the coalition but which usually include an easel stand and pads, markers, name tags, pens, tape, etc.

- length of the contract (either based on a period of time like months or by amount of service such as number of meetings or number of hours).

Evaluating Facilitators

When a coalition has been using a facilitator, it is worthwhile and important to periodically evaluate the effectiveness and contributions of the facilitator. Ideally, a facilitator will ask the group being facilitated to evaluate at the end of each meeting. Even with this immediate feedback, it is still important to reflect on your facilitator's performance. Some specific issues you may want to consider include:

- creating an environment in which people feel safe
- providing enough structure so that people know where things are going
- establishing ground rules and procedures for meetings
- enforcing ground rules and procedures fairly and equitably
- intervening appropriately to help the group move forward

Schwarz, Roger M. *The Skilled Facilitator: Practical Wisdom for Developing Effective Change Groups*, San Francisco: Jossey-Bass Publishers. 1994.

Tool S-8

Decision Making, Consensus & Conflict Management

Coalitions or groups make decisions in various ways. Some groups vote and the majority wins, while others continue talking until everyone can agree to support a particular decision. While there is no right way to reach decisions, one method that is particularly effective because it ensures the most buy-in or group support for decisions is called consensus decision making. Buy-in and support are important because if they are absent, then individual group members may not support group decisions which can result in group conflict. Group conflict, if not managed properly, can lead to the destruciton and dissolution of a coalition.

Consensus decision making can be defined as a group agreeing to support a decision because not only was the process used to reach the decision fair and equitable, but also because each member, whether personally agreeing with the decision or not, will endorse the larger group's decision and not work to undermine or sabotage it in any way. Groups usually reach consensus in either 1) through dialogue and listening too each point of view until a position becomes clear, 2) through the use of Rational Decision Making Tools, or 3) through a combination of both.

Decision Making, Consensus, and Conflict Management

Rational decision making tools are techniques or processes used by groups to generate information to aid and enhance the quality of and support for group decision making. While there are many kinds of rational decision making tools, four are of particular importance: Brainstorming, Multi-voting, Priority matrix, and Decision matrix. Each of the four tools is described below including a definition, purpose, and procedure.

Brainstorming

Brainstorming is defined as an activity in which two or more people generate as many ideas as possible. The purpose is to generate a large number of ideas in a judgment-free environment which should produce more effective results. The procedure is as follows:

1. Identify your goal or problem.
2. Select a scribe to record all ideas.
3. Small groups, of no more than eight people each, are best.
4. No criticism or evaluation of ideas during this first phase; all ideas are valuable!
5. Remember, the more ideas the better.
6. Far-fetched ideas are encouraged, because they may trigger more practical ideas.
7. Set a time limit.
8. Select a method of participation.

a. Popcorn Method: People randomly call out ideas. This method offers spontaneity.

b. Round Robin Method: Each person takes a turn offering an idea. This method offers more structure with fewer interruptions.

Multi-voting

Multi-voting is defined as being similar to a straw poll or vote. The purpose is to reduce a large list of issues or ideas to the most important or popular with a minimum of discussion. The procedure is as follows:

1. Generate a list of items.
2. If two or more items seem similar, combine them, but only if the group agrees.
3. Number the items.
4. Begin voting. Each member has a number of votes equal to one-third of the total items on the list (e.g., 45 items = 15 votes). Remember that only one vote can be applied to one item (members cannot place several votes on one item). Each member should select the appropriate number of items, writing down the item or item number on a piece of paper (this can also be done by placing post-it pad sheets by the items on the list).
5. After everyone has made selections, tally the votes. Individuals may raise their hand to indicate a vote for a given item, or if secrecy is necessary, individuals may submit a written ballot.
6. Now, eliminate those items with the fewest votes from the list. If a coalition has five people or fewer, a good rule of thumb is to delete those items with one or two votes. If your coalition has 6 to 15 members, eliminate those items with four or fewer votes.
7. Repeat steps 3-6 as necessary to reduce the list.

Priority Matrix

A Priority Matrix is defined as narrowing the voting grid based upon predetermined criteria. The purpose is to narrow the focus to a group of solutions which meet predetermined criteria. The procedure is as follows:

1. Draw a matrix, similar to the one on page 71.
2. Put your criteria in the top (horizontal) row and list the solutions in the left hand (vertical) column.
3. Using a scale of 1 to 5, where 1 = does not meet criterion and 5 = strongly meets criterion, have each person independently rate each solution according to each of the criterion.
4. Have each person sum the scores for each solution in the far right hand column.
5. Collect all matrices and tally the scores by adding up all the group members' totals for each solution.
6. Summarize the results by ranking the solutions from highest score to lowest.
7. Use dialogue to lead the group discussion about results.

Decision Matrix

A Decision Matrix is defined as a Priority Matrix with a weight applied to each criterion. The purpose is to allow the coalition to focus on the solution that meets the most important criteria. The procedure is as follows:

1. Use a form similar to the one on page 72 to determine the weight of each criterion. *Remember, the group may have to develop a list of criteria before it can use a Decision Matrix and it may wish to use the other rational decision making tools to do this.* List the solutions in the far left hand column. List the criteria across the top of the matrix. Fill in the weight of each criterion.
2. Using a scale of 1 to 5, where 1 = does not meet criterion and 5 = strongly meets criterion, have each person independently rate each solution according to each of the criterion.
3. Multiply the rating by the weight and write the score in the space provided for each criterion.
4. Have each person add up the totals for each solution.
5. Tally all the scores and summarize the results by ranking the alternatives from highest to lowest.
6. Discuss the results as a group to reach consensus.

One way to envision these tools is to picture a narrowing funnel with Brainstorming at the widest at the top followed by multi-voting, priority matrix, and ending in the most narrow part with consensus. Each tool narrows the field even more thus helping the coalition reach consensus. Keep in mind that while the rational decision-making tools often provide numbers which appear as hard facts, their purpose is to develop data that groups such as coalitions can use as a basis for discussion. Discussion and dialogue are what eventually lead to consensus.

Schwarz, Roger M. *The Skilled Facilitator: Practical Wisdom for Developing Effective Change Groups*, San Francisco: Jossey-Bass Publishers. 1994.

Priority Matrix

Instructions: Fill each cell using a scale from 1 to 5, where 1 = does not meet criterion and 5 = strongly meets criterion.

Solutions	Criterion 1 Weight:	Criterion 2 Weight:	Criterion 3 Weight:	Criterion 4 Weight:	Criterion 5 Weight:	Total

Decision Matrix

Instructions: Fill each cell using a scale from 1 to 5, where 1 = does not meet criterion and 5 = strongly meets criterion while multiplying the score by the weight of each criterion

Solutions	Criterion 1 Weight:	Criterion 2 Weight:	Criterion 3 Weight:	Criterion 4 Weight:	Criterion 5 Weight:	Total

COALITION BUILDING

Tool S-9

Transition Checklist for Storming to Norming

Review the following items to determine if the group has visited the storming phase to work out issues and achieve consensus.

1. Set up meeting structure:
   - ☐ Identified a neutral facilitator
   - ☐ Established ground rules for meetings
   - ☐ Determined communication system among group members, the group and the community

2. Provided Team Building Sessions:
   - ☐ Reviewed individual agency perspectives and agenda for joining the coalition
   - ☐ Identified decision making models to use
   - ☐ Used Force Field Analysis tool

3. Formed an initial steering committee:
   - ☐ Prioritized problems
   - ☐ Identified target group
   - ☐ Reviewed potential effort needed to address problems

4. Developed preliminary organizational structure:
   - ☐ Determined a name for the group
   - ☐ Organized group structure
   - ☐ Identified roles of group, members, agencies as a part of the coalition
   - ☐ Formalized leadership chain within the group

Norming

Description

In the norming stage of development, an ever more formal leadership structure is characterized by bylaws, decision-making processes, advisory structures, and other indications that the new entity is unique. The coalition now is more than the sum of its members, and has its own dedicated staff, with a fairly clear, widely accepted and supported coalition-specific vision and mission.

This developing structure allows the coalition to begin transforming its vision and mission into specific goals and objectives. These in turn are translated into concrete activities and events that will result in the desired change in the issue or condition which motivated its existence.

The principal work of this stage is developing an action plan to define the real work to be performed by the coalition. Also critical at this stage is the hiring of coalition staff, including an executive director, charged with implementing the action plan agreed upon by the members. The coalition members become the board of directors.

The executive director is hired by and responds to the board, which sets policies and approves action plans, allocates resources, and oversees the coalition operation. The executive director hires and trains additional staff and volunteers, including staff the coalition members may assign work tasks.

> A STRONG, COMMONLY UNDERSTOOD MISSION IS ESSENTIAL.
> —Amy Case, Kidney Health Care

The norming stage involves the solidification of the structure and governance of the coalition, with definition of roles, jobs, and functions. Each specialized function, which can take the form of a special department, subcommittee, task force or team, has a specific job to perform, resources allocated for its work, standards of quality for the expected product, and time deadlines to perform its tasks.

There is a project-management structure in place, with one or more visible operational heads, chairs, or leaders, as well as decision-making boards, community advisory groups, and possibly external content and process consultants.

The assets of the coalition, such as its initial working capital, constitute the main limitation to proposed activities. Often, there is already a financial function in place to administer and account for the coalition's assets. The function can serve as a proactive resource acquisition unit, exploring sources of funding, soliciting contributions from other organizations, businesses and individuals for both general operation and specific coalition activities, events, materials, and products or services.

## Prescription: Steps and Lessons Learned About Norming

Most of these tasks and steps are necessary and may be carried out in sequence and in repeated cycles. Professionals who have worked with

coalitions suggest these tasks and steps as most important to the process. Specific tools and examples are described to help a coalition succeed in dealing with these tasks. The actual tools, ready-to-use or adapted for special needs, are presented at the end of this section under the heading "Tool Box: Norming."

■ Decide how the coalition will build infrastructure by:

> THE MORE TIME TAKEN IN THE PLANNING STAGE, AND THE DIFFERENT VIEWPOINTS REPRESENTED, THE MORE SUCCESSFUL THE OUTCOME.
> —JOHN BURLINSON, REPROGRAPHICS AND LIBRARY SERVICES

1. Assessing coalition participants and organizations.

2. Developing and implementing a blueprint for conducting business.

3. Documenting actions taken by the coalition.
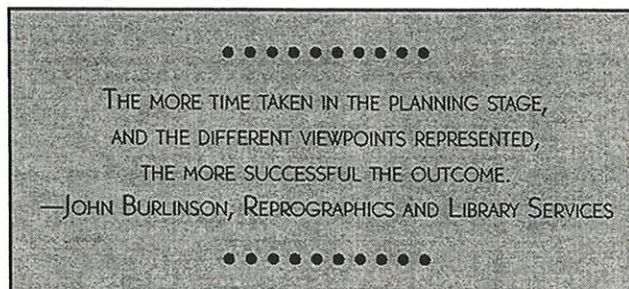
■ Decide how the coalition will work once a common mission and objectives have been defined. Develop a plan of action by:

1. Creating work groups based on individual interests and coalition objectives to formulate or implement an action plan for each activity or event.

2. Reporting back to the coalition about the plan and processes for implementing actions/tasks.

3. Setting into motion the action plan.

4. Hiring or appointing a coalition staff, including an executive director.

Support Needed for Norming

The type of support needed for successfully proceeding assumes the coalition does not have these resources within its membership. Some experts may be needed for a limited time, or for a limited scope of work. These experts include professionals in the following areas:

■ Management

■ Finance

■ Research and evaluation

■ Health promotion/health education science

■ Organizational design and development

■ Training and adult education

■ Politics and law

Evaluation Indicators for Norming

The following list provides examples of written documentation that can be used for evaluation. These indicators provide evidence of a coalition's progress, impact on the

target audience, human and financial resource utilization, unintended benefits and costs, and processes by which goals and objectives are achieved. For a more thorough discussion of how to evaluate a coalition, refer to the section on evaluation.

- Bylaws
- Formal mission and vision statements
- Articles of incorporation
- Consultant reports
- Formative research (evaluation) reports
- Action plans

Tools and Examples for Norming

TOOL N-1
Letters of Commitment Checklist
Instructions and checklist of elements needed in a letter of commitment.

EXAMPLE N-a
Example of a Letter of Commitment
A sample commitment form/letter.

TOOL N-2
Community Resource Inventory Form
Instructions and form for conducting an inventory of community resources.

TOOL N-3
Determining Resource Needs and Availability Matrix
Instructions and form for assessing resource needs and availability.

EXAMPLE N-b
Resource Availability Summary
A completed resource availability summary example.

TOOL N-4
Meeting Agenda Outline
Instructions and form for creating a meeting agenda.

TOOL N-5
Meeting Summary Form
Instructions and form for documenting decisions made and steps to be taken to accomplish a task, activity, and/or objective.

TOOL N-6
Community Action Plan Worksheet
Instructions and forms to help planners write goals, objectives, and design activities resulting in measurable short-term and long-term outcomes.

TOOL N-7
Internal/External Support Checklist
Instructions and checklist for determining support for community activities sponsored by the coalition.

TOOL N-8
Assignment and Timeline Worksheet
Instructions and worksheet for determining tasks, responsible parties, timelines and cost.

EXAMPLE N-c
Example of a Memorandum of Agreement/Understanding
A sample memorandum of understanding which can be tailored to fit any health coalition.

EXAMPLE N-d
Model Bylaws for a Community Health Coalition
Sample bylaws for use by a health coalition.

EXAMPLE N-e
Example Documentation Procedures for Incorporating as a 501(c)(3)Nonprofit Organization
A list of procedures for incorporating as a nonprofit organization.

TOOL N-9
High Performance Team Worksheet
Instructions and worksheet for monitoring how well coalition members are working together.

TOOL N-10
Transition Checklist From Norming to Performing
A checklist to help determine the coalition's readiness to move from norming to performing.

Tool Box: Norming

List of Norming Tools and Examples

Tool N-1

Letters of Commitment Checklist

Letters of commitment are requested at various stages of coalition development. However, they are most critical at the norming stage when the group begins to organize and commit resources to its various activities.

Essential elements should be included in letters of commitment. At the forming stage, prospective member organizations and individuals find it helpful to have these main points when writing a letter of commitment. A sample letter of commitment is attached as Norming Example N-a: Example of a Letter of Commitment.

Instructions:

Use the following checklist when requesting a letter of commitment or use it to determine the level of commitment provided by a member organization.

Letters of Commitment Checklist*

	Yes	No
Is the letter written on the participating organization's letterhead?	❑	❑
Is the letter signed by the highest ranking authority?	❑	❑
Commitment to the planning process and the time it takes is understood and noted.	❑	❑
Acknowledgement of other partners and their contribution is communicated.	❑	❑
Commitment is made to vision, focus, desired results, and strategies of the coalition.	❑	❑
Statement of what the organization expects in return for participation is stated.	❑	❑
Types of powers that can be committed (connections, expertise, funds) are specified.	❑	❑
Areas of authority where the representative can commit resources and act on behalf of the organization are defined.	❑	❑

*Adapted from Amherst H. Wilder Foundation, 1994

Example N-a

Letter of Commitment

"Shots Across Texas" Coalition Participant

Name of Your Organization: <u>Texas Congress of Parents and Teachers (Texas PTA)</u>
Your Name and Title: <u>John Schneider, Executive Director</u>
Purpose, mission, goals of your organization: <u>To promote the welfare of children and youths in home, school, community, and place of worship. To secure adequate laws for the care and protection of children and youths. To develop between educators and the general public united efforts to secure for all children and youth the highest advantages in physical, mental, social, and spiritual education.</u>

How many members are in your organization? <u>800,000 members in Texas</u>
Where are they located (which part[s] of state[s])? <u>Statewide</u>

Include any details about your membership relevant to mobilizing the local immunization efforts. (e.g., during the last five years, my organization initiated and managed the immunization of children and adults in a ten-county area in northwest Texas; or, our membership is divided into five regions with 67 local chapters that could be recruited to publicize an immunization week in April; I can help with the immunization-initiative education of other physicians; I will publish articles in my newsletter that goes to 400 housing project managers; my organization wants to sponsor a special immunization project; my organization likes to raise money for children.)

The Texas PTA Communicator (official magazine of the Texas PTA) published two articles in the August 1993 issue about free immunizations offered during August and a routine immunization schedule for children. *The Communicator* is mailed free-of-charge to all PTA presidents in Texas (more than 2,000). The magazine's circulation is about 5,000. Texas PTA is composed of 18 districts, 115 councils, and more than 2,600 local units. Each level provides opportunities for communicating the need to immunize children. Texas PTA provides an excellent channel of communicating with parents statewide.

List your ideas about how your organization may contribute to the immunization initiative.
<u>1. Communication through newsletters at state, district, council, and local levels.</u>
<u>2. Workshops at Texas PTA Summer Leadership Seminar in July.</u>
<u>3. Material distribution at Texas PTA Annual Convention Nov. 19-21 in San Antonio.</u>

Please complete and return form by Oct. 13 to the Immunization Strategic Coordinator, Bureau of Communicable Disease Control, Room T-402, Texas Department of Health, 1100 West 49th Street, Austin, Texas, 78756; FAX 512-458-7601 (phone 512-458-7455).

* Adapted from "Shots Across Texas" Immunization Initiative, 1993.

Tool N-2

Community Resource Inventory Form

It is advisable to conduct an inventory of community resources as part of the initial assessment phase of forming a coalition. This information is expanded as community organizations commit to working with the coalition and is essential to the norming stage when resources are allocated to specific tasks.

Instructions:

Generate a thorough listing of existing programs and policies in the community that address the selected risk factor and target group. The final list should include the name of the organization, contact person, address, telephone number, type and quality of programs provided, and the number of target group members served.

Community Resource Inventory Form

Behavioral Risk Factor _____

Target Group _____

Organizations (name, contact person, address, telephone numbers)	Services (Type and quality)	Numbers Served

Resource Availability Summary*

Resource	Provider of Resource	Availability Of Resource	Is the Resource Limited?	Date Resource is Needed
$10,000	D. Smith of the local pharmaceutical company	Available as of 6/94	Yes	7/96
Two health professionals volunteering their time	J. Roberts of the local Health clinic	Available as of 9/94 for 4 months on Saturdays	Yes	10/94
Small Meeting Room (capacity < 20)	T. Reeves of Reeves Hospital Supply Co.	Available as of 10/94 for one year on Monday and Tuesday afternoons	No	10/99

*Adapted from "Managing the Journey of Change: Assessing and Improving Community Health." Manual 1-Building a Community Health Coalition, Missouri Hospital Association, Missouri Department of Health and Anderson Consulting LLP, 1994

Tool N-3

Determining Resource Needs and Availability Matrix

During the norming stage as you determine an action plan, inquire again about the resources that are needed to operate, and who has access to these resources. If an essential resource is missing, new members or organizations may need to be enlisted.

Instructions:

The following exercise is helpful in assessing your coalition's resources and membership when activities are clearly stated and needed resources have been compared to the resources available. The group uses this worksheet to identify possible sources. A method for summarizing this information is included.

Determining Resource Needs and Availability Matrix*

Name of Project [   ]

Activities	Resources Needed	Resources Available
		Yes No
When are Resources Available for Use?	Date Resource is Needed	
Resources Needed but not Available	Possible Sources for Each	

*Adapted from *Partnerships for Community Development,* S. Habana-Hafner, H.B. Reed & Associates, 1989

Tool N-4

Meeting Agenda Outline

The methods to communicate with coalition members are as important as the strategies to implement the coalition's action plan. The coalition should choose its preferred methods/channels for communicating whether electronically, by hard copy, or both. Meeting agendas are prepared in advance so that members have adequate preparation time.

Instructions:

The meeting agenda outline is an example of how a meeting can be structured. Future agenda items are identified by participants at the close of the present meeting. The time allotted for each agenda item should be adhered to.

Meeting Agenda Outline*

Coalition name: _____

Purpose of next meeting: _____

Meeting date: _____

Location: _____

Start and end times: _____

Convener: _____ Phone: _____ E-mail: _____

Participants (see membership roster for addresses, phone and E-mail numbers): ____

_____

_____

Guests (Name, organization, purpose for attending) _____

_____

_____

Agenda Item	Outcome/Disposition Desired	Responsibility	Time

*Adapted from Amherst H. Wilder Foundation, 1994

Tool N-5

Meeting Summary Form

Meeting summaries provide a method for documenting decisions and steps needed to accomplish a task, activity, and/or objective. They serve as a progress report, memory for coalition members, and as a basis for evaluation. Summaries accompany the agenda for the next meeting.

Instructions:

The designated scribe for each meeting completes the meeting summary form and distributes it to coalition members. Prior to the norming stage a method for accepting the summary as written or amending is established. Meeting summaries include: members present/absent, date, location, key decisions, key discussion points, next course of action, responsible participant, deadlines, next meeting date(s), and name of the meeting summary scribe.

Meeting Summary Form*

Coalition Name _____

Meeting Summary Date: _____ Location: _____

Members Present/Absent: _____

_____

_____

Key Decisions Made	Actions to be Taken	Responsibility	Deadline

Other Key Decision Points: _____

_____

_____

_____

Next Meeting and Location: _____

Meeting Scribe: _____

*Adapted from Amherst H. Wilder Foundation, 1994

Tool N-6

Community Action Plan Worksheet

The Community Action Plan Worksheet provides an outline for the coalition implementation plan. It gives a snapshot of what is to be accomplished. When the coalition has completed its action plan, the coalition will be ready to move to the performing stage.

Instructions:

This tool can be used with the entire group or used as part of a subcommittee function. Each part of this form can be addressed in a sequential manner. Determine that consensus has taken place before moving on to the next section. Strive for specificity.

Strategies often include objectives, most often expressed as impact and/or process. Impact objectives are based on a 1 to 5 year projection. They help determine if community interventions have been effective in producing positive change in the environment and/or behavior of the target population. Process objectives, based on one year, include the level of utilization that will achieve the impact objectives. They focus on what is being done, and how.

Determine how the coalition will monitor and evaluate this objective; what indicators will point to the achievement of this objective; how will this information be collected and analyzed; and, who will be responsible for this function.

Process and impact objectives ask the following questions: what changes are to take place; who performs that change; to whom will change occur; how much change will occur; when and where will the change occur.

Tasks or activities are work items that enable coalition members to accomplish the process objectives.

Community Action Plan Worksheet

Community: _____

Date: _____

Vision Statement: _____
_____

The Norm that we wish to address is: _____

As determined by our Assessment: _____

Strength Areas: _____

Challenge Areas: _____

Our Target Will Be: _____

Goal	Strategies	Tasks	Person	Due	Cost

COALITION BUILDING

Tool N-7

Internal/External Support Checklist

It is important to identify sources of support within your group and outside of your coalition once your coalition has focused on a specific activity. Identifying opposition before implementing your community activities also will provide you with an idea of how to strategize effectively.

Instructions:

The following chart provides a picture of your support and opposition. This group exercise helps illuminate the potential pitfalls and serves as a discussion point for strategizing.

Internal/External Support Checklist

	Neutral About the Project	Against the Project	Support the Project
Inside the Coalition			
Staff/volunteers of the Coalition			
Representatives of member organizations			
Staff/volunteers of member organizations			
Outside the Coalition Individuals			
Groups			
Organizations			

Tool N-8

Assignment and Timeline Worksheet

After a specific activity is selected, a method for allocating responsibilities is devised. Time frames are attached to each task. Coalition members determine the tasks, responsible parties and timelines to encourage ownership of coalition activities.

Instructions:

As a group, use the chart to determine specific tasks. Identify the responsible participant, set realistic deadlines, and assign an individual to take leadership for each task.

Assignment and Timeline Worksheet

What Task	Which Member Organization	By Whom		By When
		Volunteer	Paid	
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

Tool N-9

High-Performance Team Worksheet

To evaluate how well a coalition/team is working together, use this checklist to make sure these components are adequately covered from the forming to performing stage. Written documentation reflects the operational aspects of these components.

A team can have varying performance levels depending on the framework in which it operates. The goal of the team development process is to build a framework with components that support high-performance levels. Seven components distinguish high-performance teams from teams experiencing problems.

Instructions:

Place a check mark by those components that are operational and apparent to coalition members. Use this as a monitoring tool. Action for improvement follows this tool. Members discuss their findings and decide on a course of action for change.

High-Performance Team Worksheet*

Clear Team Goals—Goals are specific, attainable, and well-communicated in terms of quantity, quality, and how to attain them. In order to maximize performance and progress steadily toward meeting common goals, has the team:

Yes No
- ❑ ❑ Developed a clear and challenging direction?
- ❑ ❑ Agreed on goals?
- ❑ ❑ Understood the work scope?
- ❑ ❑ Understood how each team member fits into the process?

Well-Defined Roles—Well defined roles help team members optimize performance. Has the coalition:

- ❑ ❑ Identified formal roles and responsibilities?
- ❑ ❑ Set clear boundaries for each role?
- ❑ ❑ Identified team job responsibilities that use each member's talents?
- ❑ ❑ Rotated responsibilities among team members?

Clear Communication—Effective communication is the driving force behind high-performance teams. Have coalition members:

- ❑ ❑ Agreed on guidelines for how they should communicate?
- ❑ ❑ Listened actively?
- ❑ ❑ Explored diverse ideas?
- ❑ ❑ Shared information?
- ❑ ❑ Provided constructive feedback?

Well-Defined Decision Procedures—Have coalition members:

- ❑ ❑ Explored important issues by polling members?
- ❑ ❑ Decided important issues by consensus?
- ❑ ❑ Used high-quality data as a basis for decisions?

Established Ground Rules—Setting rules for the coalition involves coalition members deciding what are acceptable and unacceptable behaviors within the coalition, and openly stating formal and informal norms of the group. Has the coalition:

- ❑ ❑ Defined task functions?
- ❑ ❑ Identified what each coalition member should do on the job?
- ❑ ❑ Determined how coalition members should work with one another?

Balanced Participation—Coalition members are allowed equal participation in coalition functions to maximize performance. Multi-tasking also helps strengthen the team's performance and improve the group process. Without balanced participation, certain members may have too much or too little influence based on their skills. Has the coalition:

Yes No

☐ ☐ Shared responsibility?

☐ ☐ Worked on multiple tasks at one time?

Improvement Plan—This plan has action steps a coalition develops to address identified performance problems to produce higher quality products and services. The improvement plan consists of the following five guidelines.

1. Maintain communication with team members, other teams, and community members.

2. Solve obvious problems that are identified in the coalition process.

3. Look ahead and identify larger issues affecting the group to make long-lasting improvements.

4. Document identified progress and problems, so improvements, not problems, are repeated.

5. Monitor changes that correct problems and processes to ensure that the new solutions are working.

Example N-b

Memorandum of Agreement/Understanding*

This Memorandum of Understanding is entered into by and between the Texas Department of Health, hereinafter referred to as the "department," and the _____ Coalition, a Texas non-profit corporation, hereinafter referred to as the "coalition."

WHEREAS, the mission of the coalition is to mobilize statewide public and private-sector resources to immunize Texas children, and

WHEREAS, the department's statewide immunization initiative benefits from the coalition activities and will benefit in the future;

THEREFORE, the department and the coalition enter into this Memorandum of Understanding to set forth their agreements concerning the duties and responsibilities of the department and the coalition in implementing the statewide immunization initiative.

A. The department and coalition agree that:

1. To the best of its ability, the coalition shall strive to see that activities, including fundraising, by the coalition:

   a. Complement the mission, vision, and goals of the department's statewide immunization initiative by promoting the immunization of young children through educational projects for consumers and medical providers, and through the solicitation of funds to increase resources for the childhood immunization initiative.

   b. Employ accepted rules of ethics, including ethical fund raising strategies.

   c. Are appropriate activities for the coalition.

   d. Benefit the coalition and have relevance to the mission of the coalition.

B. The department agrees to fund the following items to be provided to the coalition:

1. The department's immunization strategic coordinator, to act as the coalition coordinator and TDH staff liaison. Salary and fringe benefits, office space, and all communication support systems needed to coordinate the effort will be provided by the department.

2. Clerical support to facilitate communication within the coalition's board of directors, and among board, the various work groups, and with the statewide members of the coalition.

3. Development and distribution of the statewide newsletter.

4. Administrative and clerical support for financial activities of the coalition, working with the coalition treasurer and president.

5. Office space for the coalition which will serve as the principal office of the coalition, and meeting space for coalition meetings.

6. The media plan shall be jointly developed by the department and the chair and co-chair of the media/communications work group of the coalition. Each party may use the logo for fundraising, promotional, and educational purposes.

C. The coalition will provide funds for its own:

1. Letterhead and envelopes, postage, board packets, and various fund raising materials and tools.

2. Special event and board insurance.

3. Recognition of donors and volunteers.

4. Bond for officers and/or those persons with significant responsibility, should the board deem this necessary.

5. Fundraising consultant services and technical fundraising assistance.

6. Fundraising to supplement resources available to the department.

D. The coalition will comply with state and federal laws and regulations applicable to non-profit corporations and 501(c)3 organizations.

E. The coalition and immunization strategic coordinator will share and coordinate any information regarding immunizations, which is intended to be distributed to elected officials or their staff, in advance of distribution.

F. Should other conflicts arise between the coalition and the department, an independent, third-party arbitrator, agreed upon by the coalition and the department, will assist both parties in resolving the conflict.

G. This Memorandum of Understanding is subject in all of its provisions to the requirements of the department rules in Title 25, Texas Administrative Code, Sections 1.221-1.228.

*Adapted from "Shots Across Texas" Immunization Initiative, 1993

Example N-c

Model Bylaws for a Community Health Coalition

ARTICLE I. NAME

The name of this Coalition shall be _____ Community Health Coalition.

ART II. PURPOSE AND GOALS

The overall mission of the Coalition is to assist the Board of Health by advising the Board regarding the health problems of _____ County and thus assist the Board in its responsibility to undertake community assessment. The Coalition will promote the prevention of premature death, disability, and illness by developing a _____ community health plan for recommendation to the Board. The role of the Board of Health is to support the Coalition by providing the resources needed by the Coalition to undertake the work, and by facilitating the planning process. The following is a proposed mission statement.

The mission of the Coalition is to assist the Board of Health by:

1. Developing a community health plan, which includes health problem identification; problem analysis incorporating the identification of risk factors; direct and indirect contributing factors.

2. Proposing actions to remedy indirect contributing factors, remove associated barriers to such remedies, and obtain resources, which can contribute to the remedies.

3. Establishing priorities for all identified health problems.

4. Identifying department/organization work teams which should coordinate efforts with respect to each health problem.

5. Drafting and presenting to the Board the recommended health plan.

6. Promoting and supporting the importance of reducing the health problems to the Board and the community.

7. Developing and maintaining good communications with the Board via monthly reports to the Board by the Health Officer and periodic reports from the Executive Committee of the Health Coalition.

ART. III. MEMBERS

SECTION 1. *Number.* The Coalition shall consist of no fewer than 12 members and no more than 28. A vacancy shall not prevent the Coalition from conducting business.

SEC. 2. *Appointment and removal.* Initial members of the Coalition shall be appointed by the Board of Health. Future members to fill vacancies of the

Coalition shall have the right to remove Coalition members for good cause shown after notice and a hearing before the Coalition as a whole. A two-thirds (2/3) majority is required for removal. Automatic removal results when a member misses three (3) consecutive meetings or six (6) meetings in a calendar year.

SEC. 3. *Term.* Coalition members shall serve for staggered three (3) year terms. This does not preclude any member from being reappointed.

SEC. 4. *Compensation.* All members of the Coalition shall serve without compensation.

SEC. 5. *Voting.* Each member or a Coalition-approved proxy shall be entitled to one vote on each matter submitted to a vote of the Coalition.

SEC. 6. *Staff Members.* Staff and coordination will be provided by the Health Department.

SEC. 7. *Volunteer Status.* Coalition members and proxies serve on a volunteer basis to the Board of Health.

SEC. 8. *Board of Health Representative.* The Health Officer or a designated representative shall act as a representative of the Board of Health.

ART. IV. MEETINGS.

SECTION 1. *Regular Meetings.* Regular meetings of the Coalition are to be held on a monthly or on an as-needed basis.

SEC. 2. *Special Meetings.* Special Meetings of the Coalition may be held on call of the Board of Health, the Chairperson of the Coalition, or by any three

(3) members of the Coalition.

SEC. 3. *Notice of Meeting.* Written notice stating the date and hour of each meeting shall be delivered or mailed to each member not fewer than five days before each meeting. Announcements of meetings will be made through the local media.

SEC. 4. *Quorum.* A quorum for the purpose of holding a meeting shall consist of no fewer than six (6) Coalition members.

SEC. 5. *Manner of Acting.* A quorum for the purpose of holding a meeting shall consist of no fewer than six (6) Coalition members.

SEC. 6. *Parliamentary Procedure.* Robert's Rules of Order is adopted.

ART. V. OFFICERS

The officers of the Coalition shall consist of the following, and officers the Coalition may designate and appoint:

(a) Chairperson
(b) Vice Chairperson
(c) Recording Secretary
(d) Executive Director

The Chairperson shall preside at all meetings of the Coalition. In the absence of the Chairperson, the Vice Chairperson shall preside. The Recording Secretary shall supervise and present minutes at each meeting.

ART. VI. COMMITTEES

Section 1. Subcommittees may be appointed specializing in concerns relative to children, adolescents, adults, seniors, or subject matter.

SEC. 2. The Executive Director shall report to and meet periodically with the Board of Health to report Coalition efforts to the Board and to plan developmental/revision status.

ART. VII. TASK FORCES

Task forces may be appointed as needed to accomplish specific short-term objectives.

ART. VIII. BOOKS AND RECORDS

The Coalition shall keep minutes of all proceedings of the Coalition and such other books and records as may be required for the proper conduct of business and affairs.

ART. IX. AMENDMENTS

These Bylaws may be amended at any regular or special meeting of the Coalition. Written notice of proposed Bylaw change(s) shall be mailed or delivered to each member at least five (5) days prior to the date of the meeting. Changes in the Bylaws must be approved by the Board of Health. Bylaw changes require a two-thirds (2/3) majority vote of the Coalition members present.

Example N-d

Documentation Procedures for Incorporating As a 501(c)(3) Nonprofit Organization*

I. Procedures for Incorporating a Nonprofit Organization in Texas

A. Selecting a Name

1. The name cannot contain any word or phrase indicating it is organized for any purpose other than the purpose set forth in the Articles of Incorporation.

2. The name may not be the same or deceptively similar to the name of another incorporation in Texas.

3. An available name may be reserved for 120 days by executing the form from the Secretary of State and filing it with a $25 fee.

B. Checklist for Drafting Articles of Incorporation

1. Name of Corporation

2. Statement of Non-Profit Status

3. Duration- (A corporation in Texas may be perpetual or for any term of years.)

4. Purpose(s)

   a. A non profit corporation may be organized for any lawful purpose except those expressly excluded by the Texas Nonprofit Corporation Act. This clause must state the non profit intentions of the organization.

   b. To satisfy IRS requirements, the corporation's purpose must be limited to one or more of those specified in Internal Revenue Code Section 501(c)(3).

   c. Articles cannot expressly empower corporations to engage in, except to an insubstantial amount, activities which do not further its exempt purposes. Limitations on lobbying and prohibitions against engaging in political activities exist.

5. List Members. If there are no voting members, a clause so stating must be included in the articles.

6. Registered Agent and Street Addresses.

7. Initial Directors and Addresses. There must be at least three initial directors named in the articles.

8. Incorporator and Street Address. There must be one incorporator who is a natural person over the age of eighteen named in the articles.

9. Dissolution Clause. It is necessary to include this clause to satisfy IRS requirements.

10. Inurement Clause. Net earnings cannot inure to the benefit of directors, officers, or private individuals.

C. Filing Articles of Incorporation

1. The articles are signed in duplicate by the incorporator.

2. The articles are submitted to the Secretary of State with a $25 filing fee.

D. Drafting of Bylaws - Checklist

1. Name of Corporation

2. Purpose(s). Should be the same as in the Articles of Incorporation.

3. Board of Directors

    a. Number, qualification, and term in office

    b. Nomination, election

    c. Removal procedures

    d. Vacancies

    e. Place, time, and number of meetings

    f. Quorum

    g. Committees

4. Officers

    a. Number and election

    b. Powers and duties

    c. Removal procedures

5. Advisory Board

    a. Appointment

    b. Duties

    c. Composition

6. Members, if any

    a. Classification

        1. Prior to 1959, all Texas non profit corporations had members, even if all members served as directors.

        Current law provides that:

            i. There need not be voting members.

            ii. There may be various classes of voting members, or

            iii. There may be a combination thereof. Many organizations have contributors, who are called members with no voting rights. This is not considered a "membership" corporation.

        2. Qualifications

3. Right of Voting Members

    i. To elect the Board of Directors

    ii. To amend Articles of Incorporation

    iii. To amend bylaws unless specifically delegated to Board of Directors

    iv. Other rights specified in articles or bylaws.

    v. Not personally liable for debts or liabilities of corporation.

    vi. In a church, management of corporation may be vested in members.

b. Dues

c. Meetings, notices

    1. There must be at least an annual meeting of the members.

    2. Unless the Bylaws provide that no notice is required, notice of the time, date, and place of the meeting shall be delivered no fewer than ten, nor more than 50 days prior to the meeting.

d. Quorum. If not otherwise stated in the bylaws, the quorum shall be one-tenth of the members entitled to vote.

7. General Provisions

    a. Fiscal year.

    b. Authority to sign checks.

    c. Authority to enter into contracts.

    d. Authority to accept gifts and donations.

8. Amendment Procedures

II. Requirements of State Law for Board of Directors

A. Board of Directors are vested with the management of the affairs of the corporation.

1. Must be a minimum of three directors at all times; the number shall be determined by the Bylaws or articles, and may be increased or decreased by amendment. Subject to the minimum, the number may be kept open and determined by resolution.

2. Directors need not be residents of Texas unless required by organizational instruments.

3. Unless otherwise specified, the term of office shall be one year.

4. Directors are elected or appointed as provided by the articles or Bylaws either by the membership or, in a non-membership corporation, by the Board of Directors. Directors may be divided into classes. The term of office of the several classes need not be uniform.

B. Officers

1. Officers consist of a president, one or more vice presidents, secretary, treasurer and other officers as deemed necessary. The same person may hold two offices simultaneously except the office of president and secretary.

2. Term of office may not exceed three years, and if not so stated, shall be one year.

3. Election of officers is either by the membership or the Board of Directors as provided by the organizational instruments.

C. Committees

1. Executive Committee

   a. This committee must be provided for in the Bylaws in order to have the authority of the Board of Directors.

   b. Formation of such committee does not relieve the Board of Directors of any responsibility imposed by law.

   c. Committee has the authority of the board meetings.

2. Other Committees

   a. May be provided by resolution and need not be included in the bylaws.

   b. Appointment to such committees may be made by the president or the board.

   c. Means to allocate management tasks to groups of board members.

Tool N-10

Transition Checklist from Norming to Performing*

To determine if you are ready to move into the performing stage, use this checklist. Continue if you are able to answer these questions affirmatively.

1. **Have you established a community coalition with:**
   - ❑ Representation of your targeted groups
   - ❑ The ability to provide valuable links with the community
   - ❑ Skills and resources useful to the program

2. **Have you identified community needs and concerns by way of:**
   - ❑ Surveys/questionnaires
   - ❑ Focus groups
   - ❑ Public meetings or forums

3. **Have you determined the community's priorities, taking into account:**
   - ❑ Historical conditions
   - ❑ Traditional practices
   - ❑ Political and economic conditions

4. **Have you developed goals and objectives?**
   - ❑ Yes
   - ❑ No

5. **Have you decided on coalition strategies that:**
   - ❑ Fit with the resources and needs of the community
   - ❑ Reflect field testing
   - ❑ Dispel health misconceptions
   - ❑ Change behavior
   - ❑ Change the environment

6. **In order to implement your coalition's activities, have you:**
   - ❑ Prepared a timeline for program implementation
   - ❑ Listed people to be involved, and resources needed
   - ❑ Hired all staff (preferably from the community)
   - ❑ Developed linkages with other community agencies, as appropriate
   - ❑ Planned to carry out an evaluation

7. **Have you chosen appropriate methods and questions for:**
   - ❑ Process evaluation
   - ❑ Outcome evaluation

*Adapted from "Health Promotion in Diverse Cultural Communities," Stanford Center for Research in Disease Prevention, 1985

Performing

Description

Performing is the stage where the coalition goes into full-fledged implementation beyond planning and preparation. Activities previously designed in the norming stage to meet the objectives and goals and intended to produce the expected outcomes are set into motion.

> •••••••••
> LOCAL AREAS OFTEN NEED SIGNIFICANT AMOUNTS OF TECHNICAL ASSISTANCE TO ENABLE THEM TO ORGANIZE IN A PRODUCTIVE MANNER, TO OBTAIN THE PARTICIPATION OF THE COMMUNITY, AND TO CARRY OUT THEIR RESPONSIBILITIES.
> —JANNA ZUMBRUN, HIV/STD FIELD OPERATIONS
> •••••••••

The knowledge and skills from leaders, experts, and professionals to the targeted community, individuals and organizations are transferred.

The implementation is designed to empower the community and its individual members and organizations by transferring valuable social knowledge and control to those who need to take control over their own health.

The performance of tasks becomes the collective responsibility of the coalition, even though certain parts of the work may be performed by one of the member organizations. Only 20 percent of the members may actually perform the activities. There is a formal coalition management structure. Often a person serves as the executive director of the coalition, overseeing staff and volunteers hired or assigned by members to do the work of the coalition. Roles and tasks should be assigned evenly to members of the coalition with specific time frames for completion and reporting.

The executive director is accountable to the coalition, now acting as a Board of Directors. The coalition sets policy and priorities; the executive director implements those directives. Only major departures from the plans are dealt with by the full coalition, often by special subcommittees or an executive committee, decreasing frequent and intensive meetings which characterized the previous stages.

The evaluation function provides monitoring information about process and completion of tasks to the executive director or committee chairs, and data on the impact of activities, on changes in knowledge, attitudes or practices of participants, and on environmental changes in the community.

Prescription: Steps and Lessons Learned About Performing

These tasks and steps are more or less typical of the process of implementing any project. The work of a coalition is more complicated because of the

> •••••••••
> YOU NEED TO SET SPECIFIC DATES FOR COMPLETION OF PROJECTS AND STAY ON TOP OF THEM TO GET THE PROJECTS COMPLETED. ONE LESSON LEARNED WAS THAT IT IS SOMETIMES NECESSARY TO MODIFY THE SCOPE OF THE ORIGINAL CHARGE.
> —JANET WIER ROURKE, BUREAU OF NUTRITION SERVICES
> •••••••••

involvement of multiple organizations which need to be brought together into a seamless performance. Specific tools and examples are described that can help a coalition succeed in dealing with the tasks. The actual tools, ready to use or adapted for special needs, are presented at the end of this manual under the heading "Tool Box: Performing."

After the coalition has accomplished the norming stage to a satisfactory level, the group can move toward performing the tasks outlined in the action plan.

■ Action plan implementation includes:

1. Reviewing the goals, objectives, and activities developed by the group.

2. Confirming the roles and responsibilities of the assigned members to the activities listed.

3. Contacting additional members, as needed, to join the group and implement the goals, objectives and tasks.

4. Establishing contact with the populations affected by the coalition activities to promote the coalition's vision and mission.

5. Initiating events or activities specifically planned for the target population.

6. Promoting the activities of the coalition or the planned events through the use of media outlets.

■ Maintaining the coalition requires:

1. Nurturing the coalition through meetings, communication of events, and member training.

2. Researching funding sources for staff and members, supplies and resources, and meeting sites.

3. Revisiting unresolved issues and entertaining new ideas through the storming and norming stages.

> ● ● ● ● ● ● ● ● ● ● ●
> FLEXIBILITY IS NECESSARY TO MAKE SURE
> EVERYTHING GETS DONE ON TIME AND PROPERLY.
> —RUTH E. McBURNEY, BUREAU OF RADIATION CONTROL
> ● ● ● ● ● ● ● ● ● ●

4. Reassigning of tasks and responsibilities to old members, and providing orientation, assigning tasks and responsibilities to new members.
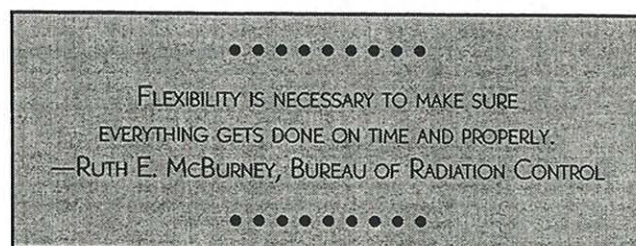
■ Performance is evaluated by:

1. Developing evaluation tools relative to the coalition's goals, objectives, and activities.

2. Monitoring progress made by the coalition as a group.

3. Administering evaluation tools during specific events held in the community.

4. Reviewing evaluations and adjusting the plan or process according to evaluation outcomes.

5. Reporting back to the coalition and community on the results of the evaluation.

Support Needed for Performing

Types of support needed for successfully proceeding through this stage reflect lessons learned from the experiences of others who have done this kind of work. Although the coalition may already possess some of these resources within its membership, it is advisable to engage outside professionals as needed in relation to the coalition's objectives and activities. Such professionals include:

■ Content experts

■ Management consultants

■ Evaluation consultants

Evaluation Indicators of Performing

The following list provides examples of written documentation that can be used for evaluation. These indicators provide evidence of coalition progress, impact on the target audience, human and financial resource utilization, unintended benefits and costs, and processes by which goals and objectives are achieved. For a more thorough discussion of how to evaluate a coalition, refer to the section on evaluation.

■ Field notes

■ Knowledge, attitudes and behavior questionnaires and surveys of participants

■ Brief (intercept) interviews of participants

■ In-depth interviews

■ Public records

Tools for Performing

TOOL P-1
Local Media Contact Chart
Instructions for collecting information about local media contacts, formats, and deadlines.

TOOL P-2
Task Assignment Sheet(s)
Work-management tool to keep track of specific tasks, timelines, and resources allocated to individual staff or volunteers.

TOOL P-3
Event Report Form
A format for recording and reporting information about public events produced or sponsored by the coalition. This includes attendance, description of participants, content, what worked well and what did not, and recommendations for future events.

TOOL P-4
Transition Checklist for Performing to Adjourning
Review of items to determine if the group performed and is ready to phase into adjourning or transforming.

Tool Box: Performing

List of Performing Tools

Tool P-1

Local Media Contact Chart

Instructions:

The following chart will help plan and organize the coalition's advertising campaign. Fill out each section with the following information:

Media Contact—Name each contact within your area who can communicate your message to the public. Include names of individuals, titles, organizations to contact, phone numbers and addresses.

Media Item—Name the vehicle to best serve your messages, such as PSAs, articles, visual graphics, video.

Date/Location—Note the dates you want the various items to appear in your area. Space the messages out so they appear on different dates and times. Identify where the items are to be located geographically to ensure that they cover the entire area.

Local Media Contact Chart

Media Contact	Type of Media Item	Date/Location to be Previewed
TV Stations		
Local		
Regional		
Statewide		
Radio Stations		
Local		
Regional		
Statewide		
Newspapers		

Local Media Contact Chart

Media Contact	Type of Media Item	Date/Location to be Previewed
Newsletters		
Organizational		
Church		
Professional		
Worksites		
Others		
Billboards		
Daily		
Weekly		

Local Media Contact Chart

Media Contact	Type of Media Item	Date/Location to be Previewed
Fliers		
Handbills		
Cards		
Posters		
Others		

Tool P-2

Task Assignment Worksheet

The task assignment worksheet is used as a template for detailing work tasks assigned to specific coalition members. It covers planning and preparation, organizing and confirmation, implementation and delivery, and evaluation and follow-up. This worksheet is maintained by the coalition builder and/or the lead workgroup member.

Instructions:

Complete this form beginning with planning and concluding with evaluation and follow-up. A worksheet is filled out for each objective/activity undertaken by the coalition.

Task Assignment Worksheet

Community Objective

_____

_____

_____

_____

Target Population

_____

_____

_____

_____

Activity

_____

_____

_____

_____

Lead Coordinator

_____

_____

_____

_____

Committee Members

_____

_____

_____

_____

Planning and Preparation	Scheduled Date(s)	Responsible Member
Preliminary Contacts to Make		
Preliminary Arrangements to Make		
Sites		
Advertisements		
Dates		
Guidelines/Rules		
Equipment/Supplies		
Speakers/Volunteers		
Costs/Budget		
Evaluation Methods		
Data Collection		
Special Needs		
Other:		

COALITION BUILDING

Organizing and Confirmation	Scheduled Date(s)	Responsible Member
Final contacts and confirmations		
Confirmation of arrangements		
Sites		
Advertisements		
Dates		
Equipment/Supplies		
Speakers/Volunteers		
Costs/Budget		
Materials		
Evaluation Methods		
Data Collection sheets		
Special Needs		
Other:		

COALITION BUILDING

Implementation and Delivery	Scheduled Date(s)	Responsible Member
Delivery/setup of equipment or materials		
Presentation of activity		
Collection of Data		
Sign in sheets		
Materials given out		
Type of presentation		
Participant satisfaction with the program		
Description of participants		
Breakdown of site/equipment		

COALITION BUILDING

Evaluation and Follow-up	Scheduled Date(s)	Responsible Member
Thank yous to contacts		
Review of data		
Written summary of the activity		

Tool P-3

Event Report Form

Instructions:

Before each activity, a plan for documenting the event should be in place to report on the numbers, identity and location of participants. This form provides you a beginning basis.

Fill out the following information:

Intervention (Activity)—List the event, program or occurrence. This also can be listed as the previously developed objectives.

Participants—Report the number of people, age range, gender, race, and other pertinent information. This helps determine if the event targeted the intended group. If it did not, additional review and planning should occur to adjust the program.

Location—Describe where the activities occurred. This documents successful and unsuccessful sites to hold your interventions. This will also provide feedback on where programs have been and where further help should be provided.

Materials—List all materials used.

Costs—Actual or estimated costs of materials, personnel, rentals, provides financial information for future planning and budgetary requests.

Intervention	Participants	Location
Activity:	Males reached	
	Females reached	
	Anglos reached	
	African-Amer. reached	
	Hispanics reached	
	Other	
	Age range	
	Education level	
Staff hours:		
Materials:		
Costs:		

COALITION BUILDING

Tool P-4

Transition Checklist from Performing to Adjourning

Review the items on this checklist to determine if the group performed and is ready to phase into adjouring or transforming. Continue if you are able to answer these questions affirmatively.

1. Have you reviewed the action plan:

   Yes No
   - ❑ ❑ Visited the goals and objectives
   - ❑ ❑ Solicited additional input from members of the target population and control experts
   - ❑ ❑ Confirmed the roles or responsibilities of group members

2. Have you implemented planned activities:
   - ❑ ❑ Group members initiated activities
   - ❑ ❑ Adjustments made in plans as necessary
   - ❑ ❑ Tasks completed

3. Activities evaluated:
   - ❑ ❑ Participation records reviewed
   - ❑ ❑ Gathered written and oral feedback from participants
   - ❑ ❑ Noted change in participants' behavior, knowledge, or attitudes toward the problem

4. Coalition structure reviewed:
   - ❑ ❑ Performance of group evaluated
   - ❑ ❑ Additional resources researched for continuing the coalition
   - ❑ ❑ Group convenes to review progress on goals and objectives

Adjourning and Transforming

Description

Objective indicators may determine the coalition's success in solving the problem or condition that brought it into existence. Coalition members celebrate, report their experiences for others to benefit, and return to their individual pursuits.

A successful coalition's legacy is the necessary social knowledge and skills. Real community empowerment is reflected in the continuation of preventive activities and continued surveillance of the problem as a normal function of the community.

> •••••••••••
> LONG RANGE PLANNING, WITH IINPUT FROM THE MEMBER-
> SHIP, IS IMPORTANT TO REVISITING THE PURPOSE.
> —RUTH E. MCBURNEY, BUREAU OF RADIATION CONTROL
> •••••••••••

An important part of the lifecycle of a coalition is its formal dissolution. It is necessary to commit that history to print for the record. A member of the coalition should be left as the repository of coalition reports and documents. Requests for information will come long after the coalition has dissolved, yet retains its viability in the community.

Sometimes, success is so energizing that, instead of adjourning, a coalition returns to the drawing board. Through transforming, it focuses its attention and resources on a new challenge, an extension of the original goal or a related community issue or concern. The storming stage does not occur, since there is intimate knowledge of each member and a sharing of philosophy and methods. The coalition engages in a new forming stage, and concludes with a complete plan to address the new concern.

Prescription: Steps and Lessons Learned About Adjourning and Transforming

The steps and needs in Transforming differ from those needed for Adjourning. For both, specific tools and examples can help a coalition complete the tasks necessary to dissolve or continue. The actual tools, ready-to-use or adapted for special needs, are presented at the end of this manual under the heading "Tool Box: Adjourning/ Transforming."

Transforming

When coalition members decide to address other related needs, they need to reassess the available skills and resources in relation to any challenges posed by the revised vision and mission.

It may be necessary to identify new partners, especially those with the experience and resources to address the new goals and objectives.

It also may be necessary to re-energize the public relations activities to make the larger community aware of the changes taking place within the coalition. The public image of the coalition will be adjusted.

A revisit is made to some of the issues that were examined during the earlier forming stage. The issues include a clarification of the new vision and mission, taking stock of available resources, and dealing with the need to realign operations to meet the new challenges. Unlike the first time around, little storming will occur. Most of the energy will be devoted to the new round of forming as the coalition develops the structure and procedures to identify goals, objectives, and activities, and develops appropriate action plans to move to the new performing phase.

Adjourning

If the coalition members decide it is time to turn their attention to their own concerns, it is critical that the history of success or failure of the coalition be recorded and shared with others. Public events will inform the community and celebrate success. The final evaluation report will be prepared and distributed to appropriate stakeholders.

Information about the coalition and its work may be delayed reaching more remote locations. Reactions, inquiries, requests for information and technical assistance, and invitations to present at meetings and conferences may arrive after the coalition has ceased to exist.

It is advisable to identify the coalition member with permanency and stability to be the repository of the coalition records. This member would continue distributing the final report and, perhaps, make available some of the forms and instruments, protocols, guides, transparencies, and other materials to those willing to pay the expenses of reproduction, postage, and handling.

These measures ensure that the coalition and its work will continue to be useful beyond its lifespan.

Mourning

When a coalition fails, whether for internal or external causes, a few realistic options can be recommended. When the cause for failure is internal, it is unlikely members will seek guidance from this manual in order to accomplish an orderly adjourning.

However, for people working together on future projects, it is important to have a debriefing regarding the closing of the coalition. It ties up loose ends and brings closure to the work. It also is a time for forgiveness of some members who may have been an obstacle or did not carry out their responsibilities.

A group assessment in a safe environment is a viable format. Members discuss the positive processes regarding the coalition and identify areas for improvement. The improvement comments should be presented as lessons learned to be useful for all members in their future professional work. Comments directed at or about individuals are not allowed. At the end of this process, the leader distributes the comments to all members with a cover letter thanking them for their contribution.

If the reason for failure is external, beyond the control of the coalition members, such as the loss of critical funding or support due to outside conditions, mourning the failure has an external object to attach blame. Members can follow some of the

recommended procedures for adjourning after a coalition has accomplished its original goal. Although a celebration may not occur, it is important to salvage the

collective memory of collaboration and team work, and to resurrect the coalition when external conditions change. The following tasks are suggested as part of the overall adjourning phase:

> YOU MUST HAVE A STRONG, DEDICATED LEADER TO
> PROVIDE DIRECTION AND IMPETUS.
> STEVE McANDREW, RETAIL FOOD DIVISION

- **All agreements are finalized by:**

    1. Reviewing contracts to ensure all promises have been fulfilled. Members are appointed to follow-up with specific contract specifications, if needed.

    2. Reviewing requirements from funding sources for any final requests.

    3. Finalizing accounting requirements, putting all books in order and paying all debts.

- **All corporate memory is collected and summarized by:**

    1. Identifying an official historian to collect meeting agendas, minutes, membership lists, and committee reports and to organize them in chronological order in a notebook.

    2. Creating a photo album depicting important events, people, and places.

    3. Collecting all documents created (invitations, products, press releases).

- **A final report is created or prepared by:**

    1. Reviewing funding source requirements as well as organization member requirements.

    2. Involving several key members in creating the report and soliciting their input on the report design and content.

    3. Ensuring the following sections:

        - Project description and overall mission.
        - Coalition members.
        - Complete description of the activities performed.
        - Description of intentional and unintentional outcomes.
        - Recommendations for follow-up or continuation of the project.
        - Principal lessons learned for the benefit of others.

- **Accomplishments can be recognized and celebrated by:**

    1. Holding a victory party as a culminating event for the coalition.

    2. Recognizing individual and organizational/agency contributions.

    3. Highlighting coalition accomplishments.

4. Contact appropriate media to report the coalition's accomplishments to the community.

The final report can be used to request funding for new, related missions and should be provided to all stakeholders and community members.

Support for Adjourning/Transforming

The types of skilled support needed for successfully proceeding through these stages include:

- Professional writers
- Celebration planners
- Word processors
- Media consultants

Evaluation Indicators of Adjourning/Transforming

The following list provides examples of written documentation used for evaluation. These indicators provide evidence of coalition progress, impact on the target audience, human and financial resource utilization, unintended benefits and costs, and processes by which goals and objectives are achieved. For a more thorough discussion of how to evaluate a coalition, refer to the section on evaluation.

- Contracts
- Final report
- Accounting records
- Notebook/photo album

Tools for Adjourning/Transforming

TOOL A-1
Final Report Checklist
Instructions and checklist for preparing a final report which features the coalition's accomplishments.

TOOL A/T-2
Evaluation Worksheet
A worksheet to be used to frame the coalition results and lessons learned.

TOOL A/T-3
Celebration/Closure for a Coalition
Recommended activities to celebrate adjourning and to achieve closure.

Tool Box:
Adjourning/Transforming

Forming Tools and Examples

Tool A/T-1

Final Report Checklist

Instructions:

The following sections are included in a final report. The checklist lists supporting documents and documents lead the writer or responsible party.

Opening Letter

Include reason or process that led to establishing coalition, include statistics to support your cause, reflect on the accomplishments, and thank those who contributed to the coalition.

Executive Summary

Highlight reason for coalition, process for accomplishing goals and brief summary of met and unmet accomplishments and recommendations for follow-up work.

Coalition Mission

Feature the purpose statement of the coalition.

Coalition Members

List individual and/or group coalition members. Describe experience and contribution of individual/group member.

Rationale/Purpose

Describe in more depth the purpose of the coalition, and the vision of what could be accomplished. Include reason for establishing a coalition to achieve the goal (as opposed to working independently). Cite statistical information about the problem the coalition is attempting to solve. Include the location and target audience for the coalition (regional, local, state).

Methodology/Process

Summarize the process of the coalition as it functions, and steps taken to achieve the goals set. Include findings from any studies/surveys/focus groups conducted either during the coalition or used to support decisions. Refer reader to the appendix section of the final report for actual tools used. Mention any process used for public input (hearings, symposiums, fliers, advisory panels). Describe the interventions used, media channels tapped and volunteers secured to carry out project.

Accomplishments/Evaluation

Feature the work achieved by the coalition. Include accomplishments, such as securing funds, in-kind support from the community, as well as behavioral changes or products produced. Include any unanticipated accomplishments. Include attendance numbers, people reached or other quantitative information. Provide qualitative information based on community feedback and coalition member comments.

Recommendations

Make recommendations for follow-up work or highlight how the work of the coalition will be carried out in the future.

Appendix

Place any research instruments (surveys, important documents, or budget) items in this section.

Final Report Checklist

Section	Supporting Documents	Responsible Party
Opening Letter		
Executive Summary		
Coalition Mission		
Coalition Members		
Rationale/Purpose		
Methodology/Process		
Accomplishments		
Evaluation		
Recommendations		
Appendix		

Tool A/T-2

Evaluation Worksheet

Evaluation is an ongoing process. It is particularly helpful to report the results of the coalition's activities at various junctures in its development. This worksheet helps frame the findings and lessons learned.

Instructions:

Review all accomplishments found in coalition documents, reports, and summaries. Cover both process and outcome measures.

Evaluation Worksheet

Process Evaluation	Results Evaluation
1. State the separate interests of each organization and how it will know when its interests are being met:	1. State the desired community benefits and how the coalition will know if the effort is successful:
2. Note when milestones were accomplished and what helped and hindered their accomplishment:	2. Outline the methods used, such as lobbying, delivery of services, creation of information packets:
3. Describe the communication processes between members of the coalition:	3. Summarize critical junctures toward achieving community benefits:

Adapted from Amherst H. Wilder Foundation, 1994

Evaluation Worksheet (continued)

Process Evaluation	Results Evaluation
4. Summarize the coalition's impact on the member organizations. What has each contributed? How did the coalition change the way each organization does business?	4. Describe the characteristics of the targeted community, the number and diversity of people involved, their reaction to the effort and its methods, and changes in the community that might be attributed to this effort.
5. Note side effects. Who else became involved? How did that help the effort?	5. Note side effects. Who else became involved? How did that help the effort?
6. Other:	6. Other:

Now, draw some conclusions:
- What lessons were learned?
- What needs to be changed or added?
- What previous challenges should be reviewed?

Adapted from Amherst H. Wilder Foundation, 1994

Tool A/T-3

Celebration/Closure for a Coalition

As a coalition progresses through its stages of growth and development, it reaches a point at which the initial coalition ends. A coalition ends in one of several ways: 1) it ceases to exist because it has competed its goals and objectives and celebrate, 2) it ceases to exist because it has not completed its goals and objectives, and will be unable to do so, and mourns, or 3) it transforms into a new coalition as grows and develops by taking on new goals and objectives, and acknowledges and moves on. In order to end a coalition appropriately and give the members a sense of completion, the following activities are suggested for the different endings.

Type of "Ending" and Objective	Recommended Activities
Celebrate to signify a job well done	■ Party ■ Awards dinner ■ Picnic ■ Press release ■ Thank you letters/notes/cards ■ Certificates of appreciation ■ Open house ■ Photo album
Mourn to signify a failure	■ Wake ■ Funeral ■ Roast ■ Press release ■ Thank you letters/notes/cards ■ Certificates of appreciation ■ Death certificates ■ Photo album
Acknowledge and Move On to signify the success of the past and to share the vision of the future	■ New direction ceremony ■ Party ■ Awards dinner ■ Picnic ■ Press release ■ Thank you letters/notes/cards ■ Certificates of appreciation ■ Open house

Tool A/T-4

Transition Checklist for Adjourning to Transforming

Review the following items to determine if the group is ready to move from Adjourning to Transforming.

1. Goals and objectives reviewed:

    Yes No
    - ❑ ❑ Group determined degrees of success/failure achieved
    - ❑ ❑ Activity reports compiled from all members
    - ❑ ❑ Summary decisions made

2. Outcomes reported:
    - ❑ ❑ Additional activities suggested
    - ❑ ❑ Final report made and distributed to the community
    - ❑ ❑ Feedback solicited from the community

3. Continuation plans determined:
    - ❑ ❑ Group members determined need to continue as a coalition
    - ❑ ❑ More formalized organizational structure put in place or activities transferred to another group
    - ❑ ❑ Coalition structure disbanded and files transferred to appropriate sources

4. Celebration occured:
    - ❑ ❑ Coalition celebrated completion of planned activities
    - ❑ ❑ Historical information presented to new structures
    - ❑ ❑ Last-minute work completed

Chapter 3: **Evaluation**

Introduction

The goal of the evaluation process is to provide data to make decisions and take direct actions. Evaluation without action is worthless. Evaluation is an ongoing process that supports the coalition, provides feedback on objectives, and reinforces commitment to the guiding principles of a coalition.

The proposed integrated evaluation plan is:

■ Generic and useful to coalitions and their work in any phase of development, from initiation through implementation and maintenance.

■ A feedback tool to allow leaders and managers to make informed, data-based decisions at all stages throughout the life of a coalition.

■ Practical, user-friendly, and adaptable to coalitions of any size and level of the health agency delivery system.

A literature review was conducted by the Coalition Task Force. Using some concepts from selected evaluation models as references, an eclectic evaluation approach is proposed. Following an introduction outlining some general standards for an evaluation plan, major concepts include:

■ Why evaluation tasks need to be incorporated into all aspects of the life and work of a coalition.

■ Who should manage the evaluation function.

■ What elements of a coalition should be evaluated.

■ When a coalition should be evaluated.

■ How a coalition should be evaluated.

■ What evaluation methods are appropriate.

Why Evaluate

Efforts and resources should be allocated to support an evaluation plan for the following reasons:

> REFER TO YOUR GOALS.
> JOHN HERON, DIVISION OF
> COMMUNITY HEALTH NURSING

1. To determine if coalition activities are successfully meeting the goals and interests of its members, and of those of the community.

2. To assess coalition accomplishments and ensure that they are having the intended effect, and to identify weaknesses to make necessary adjustments.

3. To document the coalition's activities and their effect on the community for accountability and replication purposes.
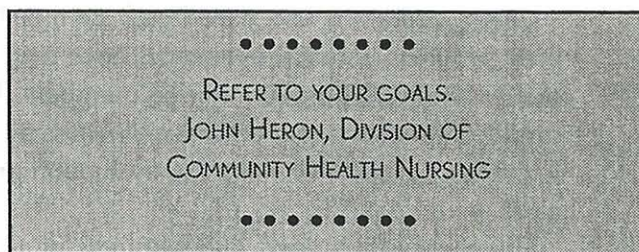
4. To document the utility, importance, and effectiveness of activities, and to provide feedback to participants and encourage their continued support.

5. To assure resources are being used efficiently and are having maximum impact.

Who Should Manage the Evaluation Tasks

Early in the life of a coalition, members should decide if they want to conduct the evaluation internally or hire an external evaluator. Both options deserve consideration so an understanding and consensus are reached.

External Evaluators

Many universities and private consultants offer comprehensive evaluation services for educational programs and coalitions. Often, these external evaluators specialize in complicated process evaluations and impact measurement. They are highly skilled and objective. External evaluators may be more objective than internal evaluators, since they are not part of the authority structure or vested in the success or failure of the coalition. A coalition may decide to use an external evaluator when no coalition member is skilled in evaluation.

Although external evaluators are viewed as objective, members may be uncomfortable with an outside evaluator. It is important to acknowledge that it is the coalition that is being evaluated, not the performance of individual staff or member organization. This should be discussed in the initial stage of evaluation, since some members and staff may view the external evaluator as a threat and may not fully cooperate with the process.

A common misconception is that the quality of the work of an external evaluator will be higher than that of an internal evaluator. An external evaluator must fully grasp the workings and purpose of the coalition, or risk inadequate evaluation results.

Internal Evaluators

Often, coalitions use skilled staff or members within their organization to assess their progress. Internal evaluators have easy access to information and foster cooperation and collaboration among members. They have an understanding of how the coalition functions and embrace the mission. Having common values and familiarity with the coalition will make the evaluation process less disruptive and easier to complete.

The most often cited disadvantage of using internal evaluators is their limited objectivity. Self-assessment requires a great deal of distance, difficult to achieve as an internal participant. Conflict of interest is a common concern with internal evaluators. The question of their objectivity in judging the success or failure of their work or of their colleagues are common concerns. Conducting and completing the evaluation may be inhibited or delayed if the evaluators have additional roles within or demands from the coalition.

A candid discussion of who will conduct the evaluation is beneficial to understand the limitations and benefits of each option. Most coalitions, aware of the pitfalls,

select an internal self-monitoring process. When the evaluation is performed by those responsible for the coalition work, they are more likely to embrace the recommendations. Timely use of evaluation findings to improve the work of the coalition and to enhance the effectiveness of its activities outweighs the risk of subjectivity.

What to Evaluate

The whole lifespan of a coalition can and should be documented. Conditions that predate the actual existence or the formal birthdate of a coalition also should be documented because these are the initial reasons which motivated two or more organizations and/or individuals to join forces and form a coalition. Although the conditions predate the existence of the coalition, but can be assessed because they are recorded in internal documents and other public records, such as newspapers and other sources of information.

Coalition Original Goal(s)

The perception of the need for a coalition must be documented with: existing objective data, such as formal needs assessment, a critical event, or an invitation; a formal requirement from a funding agency; and/or other documented conditions serving as a justification to coalesce.

The quality (validity, reliability, and currency) of the data can be examined and judged. This is part of the research necessary to establish the baseline need or problem whose solution will be attempted by the formation of a coalition.

Coalition Member Organizations

The original members who form the coalition have characteristics that can be described and assessed in terms of their relative contribution to the strength and viability of the coalition.

1. Each member organization has:

- A history—age, longevity.
- People—leaders, staff, members, supporters.
- A structure for governance, membership, financial base.
- Rules for functioning, including goal setting, decision making, and procedures to carry out activities and operations to fulfill its goals, record-keeping, and fiscal management.
- Assets—equipment, property, inventory, credit, expertise, credibility, client base.
- Liabilities—allocated resources, commitments, debts.
- Records and documents.

2. Each individual who is a member of a coalition has:

- An identity and personal history.
- Preferred forms of functioning and relating to others.
- Personal assets—knowledge, experience, reputation, motivation, resources.
- Personal liabilities—other responsibilities and loyalties, other commitments and obligations, reputation.

Coalition Assets

The assets of the coalition are the sum total of the resources contributed by each member and any other resources from other sources. The assets are tangible resources, such as staff, money, credit and equipment, and intangible resources, which include skills, experience and expertise of members, access to membership, constituencies and clients of individual member organizations, and assets of individual members.

Coalition Objectives

Objectives chosen by the coalition must be specified by stating what is to be accomplished, by whom, by what means, and by when. The determination of attainment of objectives is a main purpose for conducting evaluations.

Coalition Activities

Objectives are usually achieved through discrete activity. Activities have a beginning, a duration, and an end, take place in some physical setting, and involve or affect one or more people. The following categories of information can be collected about each activity undertaken by a coalition:

- Cost
  Activities have a cost, which is the sum of the resources used in producing them. These may include preparation of materials, time to identify and invite participants, the cost of the time of a leader, teacher, facilitator, monitor, technician, observer, and service provider, cost of the use of space and equipment, and cost of consumable goods.

- Benefit
  Activities should have a measurable effect or benefit for participants, measurable in the form of new knowledge or skills, or material objects created or transferred.

- Effectiveness
  The extent to which an activity accomplishes the changes or the transfer of knowledge, skills, and materials to its target is a measure of its effectiveness.

- Efficiency

  The ratio of the benefit derived relative to the cost incurred to produce the benefit is the relative efficiency of the activity.

- Unintended Benefits

  Activities by the coalition to accomplish its goals can have secondary benefits. These may include the effect on friends and relatives of the target individuals. At the community level, activities can become a model to tackle other social programs. They can change community norms and expectations resulting in policy changes that affect the whole community.

- Unintended Costs

  Activities of a coalition also can have a negative effect on individuals and organizations, and create new problems. Unintended costs are likely to affect member organizations and individual members of the coalition.

Cost and Benefit for Participating Coalition Members

Coalition member organizations benefit by increasing their own organizational strength in terms of new experiences, new technology, increased visibility, prestige, and new members or supporters. When the cost of participating in the coalition is greater than the perceived value of those benefits, members tend to drop out. The same is true for participating individuals of the coalition.

Coalition Processes

Unlike regular organizations' work that is determined and carried out through internal decision making processes and procedures, a coalition must manage its own staff and resources, and coordinate and use the specific resources each member organization contributes to the coalition.

This special situation creates a more complex management challenge, one likely to involve many face-to-face meetings. The effectiveness and efficiency of those meetings are critical to the viability of the coalition. Meetings are needed at various points during the implementation to plan and develop the specific work of the coalition. Coalition staff, members and/or volunteers manage the implementation. The designated evaluator manages the activities designed to determine the extent to which the goals or outcomes of the coalition are being met.

Timely evaluation and feedback on the processes used to do the work of the coalition, including its internal meetings, are critical to the effectiveness and viability of the coalition as a separate and independent entity.

The validity and reliability of conclusions reached are affected by the nature of the instrument and by the number of individuals or observations. Observations based on too few individuals may not have enough statistical power to detect changes or differences.

The process evaluation tasks generate data regarding what has been done, when it was done, who did it, to whom, how often, and how well. Special focus is on quality.

Process evaluation examines:

- Coalition inputs.
- Goals and objectives.
- Resources.
- Internal functioning.
- Intervention activities.

Examples of documentation:

- **Staff.** Number of staff people and their experience, knowledge, educational background, and technical skills. Many coalitions rely solely on volunteers and do not have staff.
- **Individual members.** Age, sex, race, socioeconomic status, reading level, health status, and lifestyle.
- **Interactions among project staff and members.** Interpersonal and cultural skills.
- **Coalition setting.** The appropriateness of the facilities, accessibility of the site, adequacy of records, and the level of coalition support provided for the project.
- **Resources.** Personnel, equipment, materials, and funds.
- **Methods and activities of the coalition.** Behavioral change techniques, use of mass media, and special events.

When to Evaluate

A clear definition of coalition goals at the start will set the stage for a good evaluation design. A review of the coalition's goals, objectives, and activities will help define the purpose and design of the evaluation. A clear mission statement, objectives that flow from the mission, and activities designed to meet those objectives make evaluation tasks easier to design and implement.

A review of the coalition's proposed activities, the allocation of resources, and existing written records should be conducted before an evaluation design is developed. It is important to consult with interested stakeholders and take their thoughts into consideration early in the evaluation process.

> • • • • • • • • •
> THIS NEEDS TO BE A GROUP EFFORT
> PERFORMED PERIODICALLY.
> JOAN WIER ROURKE, BUREAU OF NUTRITION SERVICES
> • • • • • • • • •

Once the purpose of an evaluation effort has been determined, the next step is the selection of an approach.

Answers to the following questions, determined before coalition work starts, will provide a framework to determine the scope, depth, and nature of the evaluation design. Methods and instruments can be constructed to generate the data required.
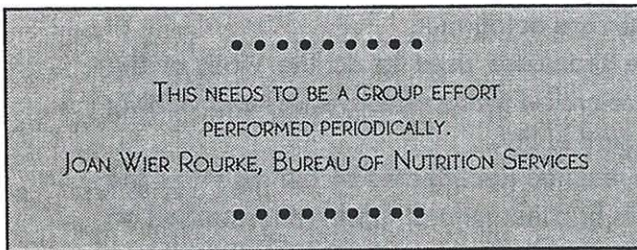
- **Who wants the evaluation data and for what purpose?** The aim is to structure a systematic process of identifying, measuring, analyzing, and interpreting data appropriate for the chosen purpose.

- **Is the design practical in terms of evaluation purpose, content, and processes?** The evaluation design must be feasible and useful. It is feasible if it can be implemented within the existing financial and time constraints. It is useful if the information gathered can be applied to a pre-determined purpose.

- **Are project objectives and/or activities expressed in measurable terms?** Measurable standards must indicate achievement of progress toward the goals. These are success or failure indicators. A coalition can assess its impact on the community by determining if the resultant changes or modifications were consistent with the intended outcomes.

Evaluation efforts can be described in terms of the larger purpose for which the evaluation findings will be used. The intended use determines to some extent the scope and intensity of the evaluation efforts, the methods and instruments used, and the sources of data included.

Monitoring and Accountability

Monitoring suggests an independent view of the program's operation by an outsider, usually on behalf of a funding agent, to ensure the available resources are used appropriately. A well-developed evaluation design can gather and provide data suitable to monitor program activities. This is useful to outside monitors and to project leaders, managers, and staff.

Self-Assessment

Assessment refers to the quantifying of a given trait or characteristic at one point in time. It is descriptive in nature, and by itself, is not a value judgment of good or bad, positive or negative, but simply one of being present/absent, yes/no, or a quantity on an arbitrary scale. The valuative judgment of good or bad, positive or negative is assigned by those who examine and interpret the meaning of the assessment data. A comparison of two similar assessments at two different points in time is a measure of change from before something to after an intervention, with the assumption that the "something" explains the difference, or is the "cause" of the difference.

Self-assessment refers to the initiator of the assessment. When an organization (or an individual) wants to learn more about itself, it can engage in a formal and systematic examination of its behavior and practices. It can use instruments, self-examinations, checklists and other devices, such as the analysis of products, records, and other physical evidence. Human groups often remove themselves from familiar surroundings and interruptions to concentrate on the work involved in self-examination. In these retreats, they can use all the methods and tools employed in a formal evaluation.

Formal Research

Formal research designs compare the relative advantages of one or more approaches to accomplish the same objectives. The level of effort involved in this type of evaluation is significant. It involves pre- and post measurements and comparison groups. They seldom satisfy standards of experimental research. The term "quasi-experimental" has been used to describe designs with no random assignment to conditions. This design is unlikely to be used with complex groups such as coalitions.

Evaluation Methods and Approaches

Qualitative and Quantitative Evaluation

Coalitions are complex human organizations operating in the real world. Any approach to generating knowledge about its history, purpose, function, activities and effectiveness will have to rely on a variety of sources of data. The nature of these data determine the approach used, as well as the methods of analysis, presentation, and the potential usefulness of the information, and the conclusions which can be derived. Few people would want to restrict an evaluation plan to only qualitative or quantitative data. Each type of information contributes different elements to develop a comprehensive picture of what happened to whom, when and how much.

Generally, qualitative methods are used for process evaluation tasks, to describe what happened and how people perceived what happened. The focus is descriptive of the intervention, and of the activities and events of coalition members, staff and volunteers to design and implement the actual activities.

Examples of qualitative data include personal opinions, insights, and views from coalition members and participants in activities and events. These data are useful in providing information to facilitate decision making.

Qualitative data can provide:

- Reactions and views expressed by the coalition members. Individuals may be affected in various ways, and may have had different experiences with the coalition, which may be discovered through self-reports or through observation of coalition business meetings.

- Observations of the coalition's activities and interactions among coalition members and the target population.

- Feedback obtained through debriefing of both the target group members, and from others involved in collaborative and intervention activities related to the coalition.

- Situations with limited, valid, reliable standardized instruments to measure the coalition impact on individuals or the community.

- Situations where the collection of qualitative data illuminates and clarifies issues when quantitative methods seem inconclusive, or findings appear contradictory or counter to common sense.

Quantitative methods provide information that is quantifiable, measurable, and objective. Close-ended surveys and questionnaires, knowledge, attitude and self-reported behavior, checklists and other paper and pencil instruments produce this kind of data. The number of individuals present, number and duration of events, and physical measurements are produced.

These data are appropriate for:

- Confirmation of members served or reached, profile of members—age, sex, race, ethnicity, education level.
- Characteristics that can be ranked or scored.
- Assessment of changes in the scores before and after participation or exposure to coalition activities.
- Instruments used to control statistically for various factors that may influence findings, such as age, sex, and educational attainment.

Data Collection Techniques

Data can come from existing sources, or be new data collected using appropriate methods and instruments. Common data collection techniques are listed below:

- Self-report paper and pencil questionnaires
- Surveys
- Personal interviews
- Participant interviews (debriefing)
- Exit polls
- Brief interviews
- Structured interviews
- Semi-structured interviews
- Focus groups
- Simulation scenarios
- Systematic observation
- Participant observation
- Physiological measures
- Unobtrusive methods
- Content analysis of documents

Different kinds of outcomes can be expected depending on the goals and objectives of a coalition. The following are common outcomes and devices used to measure attainment of goals and objectives:

New or improved knowledge

Paper and pencil questionnaires can be objectively scored, such as true/false items and multiple-choice questions.

Skills

A situation is created for the participant to use or demonstrate skills learned, through simulation or role playing or direct observation.

Attitudes

Information on beliefs, values, attitudes, perceptions, and behavioral intentions can be obtained through paper and pencil self-report instruments. More in-depth understanding of the dynamics of motivations and complex interpersonal situations can be obtained through in-depth personal interviews.

Behavioral change

Change can be inferred through careful observation, physiological measures, self-reported data, and questionnaires, if similar data are compared at two or more points in time. Two points in time usually means before an intervention, participation or exposure to some activity, and then after the completion of the intervention.

The confidence placed in the conclusions depends on the validity and reliability of the instruments used and on the relative number of observations. Statistics based on few observations may not have enough statistical power to detect changes from before to after, or to discern differences among groups.

Chapter 4 **Glossary**

Glossary of Terms

Archival Data: Data collected by someone other than the evaluator for purposes other than the evaluation. Clinical records, school records, police records, and census data are examples.

Assessment: The objective determination of the absence, presence or relative amount or intensity of a trait or quality.

Attitudes: Thought to predispose individuals to act in a particular manner, and to influence how easily new knowledge is acquired or behaviors are performed.

Behavior: Actual practices, actions and procedures a program seeks to influence in the target population.

Coalition: An organization of individuals representing diverse organizations, factions, or constituencies that agrees to work together in order to achieve a common goal. An organization of diverse interest groups that combine human and material resources to effect a specific change that members are unable to bring about independently.

Collaboration: A win-win situation where the common interest is the focus of the process and individual positions are set aside.

Community: A social group determined by geographical boundaries and/or common values and interests.

Community-based: Identified, owned, supported, solved, for, and by the community.

Consensus: A general opinion or agreement held by a group. The two basic types of consensus are valuative and normative. Consensus also is a method by which a group comes to agreement.

Consortium: Any association, partnership, or union.

Constituency: A group or body that patronizes, supports, or offers representation for an organization.

Customer: Any entity that receives your product or service. Customers may be internal (inside the organization) or external (outside of the organization).

Descriptive statistics: Statistical analysis that presents data describing the characteristics of samples or populations. Frequency distributions and measures of central tendency (mean, median, mode) are the most commonly used descriptive statistics.

Efficacy: The level of effectiveness of a program for a defined target population under ideal conditions for program implementation.

Efficiency: The relative cost of a program strategy is less in comparison to other strategies for achieving the same level of results.

Effectiveness: The level of benefit of a particular program strategy for a defined target population under average or typical conditions of program implementation.

Empowerment: A process and outcome that begins with the assumption that all human beings are psychologically healthy. Every human being always has direct access to an innate, core state of common sense, of wise and compassionate vision, of unconditional self esteem and motivation to improve the quality of life for themselves and their community. (Roger C. Mills, 1994). As an outcome, empowerment is the state where human beings act in a way that encompasses all the characteristics of the process.

Evaluate: Systematically collect information about how the program operates, the effects it may have on the population of interest, and other questions of interest.

Evaluation design: The manner in which people or events are grouped and variables manipulated in order to answer questions posed in an evaluation.

Experimental design: An evaluation design in which potential program participants are randomly assigned into experimental and control groups. Those in the control group either are provided no services or an alternative service to the experimental program.

External evaluator: An individual or organization outside the coalition with no association with the coalition or its members.

Formative evaluation: An evaluation oriented to provide ongoing feedback to program decision makers to improve the program.

Grassroots: Type of informal citizen partnership structure that is distinguished from the formal political/official leadership. Efforts are more spontaneous and less planned. Mobilization often occurs through direct involvement with neighborhood residents. This model is important in building critical awareness among citizens.

Impact Evaluation: An evaluation that focuses on the generalized effects of a program in a community, school, or other larger target population that goes beyond the immediate, direct program participants.

Inferential Statistics: Statistical analysis that generalizes to a population based on known characteristics of samples from the population. Inferential statistics are based on mathematical probability theory.

Instrumentation: Measuring devices used in an evaluation, which may involve questionnaires, interview schedules, standardized tests, or human observers.

Interest: Special attention to a common goal and the willingness to participate because of perceived advantage, benefits, or responsibility.

Internal evaluator: An individual or group already a member of the coalition and appointed by the members.

Knowledge: Factual information taught in the program. Ability to recall or understand information is just one aspect of a program impact measure.

Monitoring: Ongoing assessment of the extent to which a program conforms to its design, plans and regulations, reaches its specified target population, delivers the

intended level, volume, and nature of services, and/or is meeting the need for its services.

Monitoring system: Ongoing data collection and reporting mechanism to obtain information needed for monitoring purposes.

Needs assessment: A systematic approach to determine the level of need in a particular geographic area or population for a proposed program or service. Techniques include analysis of social indicators, social area surveys of citizens and/or service providers, and community group approaches—forums, nominal groups, Delphi techniques.

Outcome evaluation: Assessment of the extent to which a program attains its objectives related to short- and long-term change in program participants' behavior, attitudes, knowledge, or levels of problems and dysfunctions. Assessment of the extent to which the intended change occurs in community change programs.

Outreach: Active transmission of health information or messages from one person or group of people to another person or group with the ultimate goal of changing the health behavior of the latter.

Operationalization: The transformation of the concepts that make up a program's theory or goals into measurable indicators.

Participant observation: An approach to data collection in which the researcher becomes a part of the program while systematically observing and analyzing the ongoing activity. The participant observer is not necessarily a provider or recipient of the services. Field notes (the primary data record) are prepared during or after the observation.

Position: The laying down of a proposition or thesis. A point of view.

Process evaluation: Description, analysis, and assessment of program input and activities. Process evaluation considers the means by which a program seeks to attain its outcome objectives. Process evaluation can address need for a program, the actual implementation of program theory and plans, staff and participant interaction, and actual delivery of services. Monitoring is one part of process evaluation.

Program: Generically refers to an organized effort to affect some human problem or conditions. Programs can range from small local level efforts staffed by one or two paid staff or volunteers at a single site like telephone hot lines to complex, multi-site (often nationwide) efforts, such as AFDC, the food stamp program, CMHCs or SSI.

Program evaluation: The systematic collection, analysis, and interpretation of data for the purpose of determining the value of a social policy or program. It is used in decision making about the policy or program.

Project: A set of organized activities that are planned, implemented, and evaluated in a specific time-frame. They have a clearly limited time span. Examples are pilot projects, demonstration projects, and

research projects. Successful projects can become programs, which are more regular, stable, and have recurring sets of activities.

Qualitative data: Systematically collected information that uses a human observer as the instrument. Qualitative data are verbal, narrative, or pictorial, and do not readily lend themselves to quantification. Qualitative data are usually collected by participant observation and/or intensive interviewing.

Quantitative data: Systematically collected information which yields numerical representation. Quantitative data are usually collected by questionnaire, structured interview forms, tests, and/or by counting the frequency or intensity of particular events.

Quasi-experimental design: Research and evaluation designs that attempt to approximate experimental designs when random assignment to groups is not feasible.

Relevance: The usefulness of an instrument within the programmatic context, including consistency with program objectives and program definitions, appropriateness to program target population, usefulness in relationship to the community's culture, and believability to key decision makers.

Reliability: The extent to which a measure is internally consistent and/or stable (i.e., yields the same results over repeat administrations, assuming all relevant factors remain the same).

Skills: Ability to use knowledge to carry out particular activities. Requires practice to develop aptitude or ability to carry out a particular activity.

Stakeholder: Group of people that has direct or indirect interest in a coalition's effect.

Summative evaluation: An evaluation that assumes a stable and consistent program, and yields after-the-fact judgments of program effectiveness, usually without ongoing feedback of results.

Task force: An organization of individuals representing diverse organizations, factions, or constituencies that agree to work to together over a short term order to achieve a common goal or solve a particular problem.

Team: A group of people joined cooperatively in work activity. Used as both a noun and a verb to describe joint or collaborate effort.

Unobtrusive measures: Data obtained in a manner in which there is no burden put on those who are the subjects of the evaluation. Hidden observation, analysis of physical traces, and use of archival records are examples.

Validity: The extent to which an observed or measured situation reflects the true situation. Or the extent to which a particular measure adequately reflects the concept it is intended to measure.

Chapter 5 **Additional Resources**

Additional Resources

Coalition work requires a variety of skills common to other human service types of efforts. The following is a list of books, manuals, and journal articles containing useful information and resource to coalition workers.

BOOKS AND MANUALS

A Guide to Coalition Building
Tydeman, A.
National Citizen's Coalition for Nursing Home
Reform, Washington DC, 1979

Appalachian Leadership Initiative on Cancer.
Community Coalitions and Rural Practice
Speer, P.W., and D.M. Chavis
U.S. Department of Health and Human Services:
National Cancer Institute Monograph

Building a Grassroots Coalition
Montgomery County Department of Family Resources, 1992

Building Coalitions
Overall Tenant Advisory Council (OTAC), Miami, FL, 1990

Building Health Coalitions
Lopez, D. and E. Gantz-McKay
National Council of La Raza, Washington DC, 1991

Building Networks
Gilroy, N. and J. Swan
Kendall/Hunt Publishing Company, Dubuque, IO, 1984

Collaboration Handbook: Creating, Sustaining, and Enjoying the Journey
Winer, Michael and Karen Ray
Amherst H. Wilder Foundation
Saint Paul, Minnesota, 1994

Collaboration: What Makes It Work — A Review of Research Literature on Factors
Influencing Successful Collaboration
Mattersich, Paul W. and Barbara R. Moncey
Amherst H. Wilder Foundation
Saint Paul, MN, 1992

Community Organizing and Development
Rubin, R.J., Rubin, I.S.
MacMillan Publishers, New York, 1992

Developing Effective Coalitions: An Eight-Step Guide
Cohen, L., Baer, N. Satterwhite
Contra Costa Community Health Service Department
Prevention Program, Pleasant Hill, CA, 1994

Evaluation of Prevention Programs: A Basic Guide for Practitioners
Moberg, D. Paul
Wisconsin Clearinghouse, Madison, WI, 1984

Getting to Yes: Negotiating Agreement Without Giving In.
Fisher, R. and W. Ury
Penguin Books, New York, 1983

How to Make Citizen Involvement Work
Dale, D.
Center for Organizational and Community Development, University of
Massachusetts, 1978

Health Education Research: Theory and Practice
McLeroy, Kenneth R.
Health Education Research: Theory & Practice
Volume 9 issue 1
Oxford University Press, 1994

Interorganizational Coordination: Theory, Research, and Implementation
Rogers, D. L., Whetten, D. A. and Associates
State University Press, Ames, IO, 1982

Membership Recruiting Manual
Ballenger, B.
Northern Rockies Action Group, Denver, 1981

Models of Community Organization.
Rothman, J., and Tropman, J. E.
In Cox & others (eds.) Strategies of Community Organization
Itasca, Il, FE Peacock Publishers, Inc., 1987

Networking: A Trainers' Manual
Brandon, J. and Associates (Eds)
Center for Organizational and Community Development, University of
Massachusetts, 1982

Nurturing Grassroots Initiatives for Community Development:
The Role of Enabling Systems
Chavis, D.M., P. Florin, and M.R.J. Felix
In Mizrahi, T. & J. Morrison (Eds.) Community and Social Administration:
Advances, Trends, and Emerging Principles
Hawthorn Press, 1992

Organizing: A Guide for Grassroots Leaders
Kahn, S.
McGraw-Hill, New York, 1982

Partnerships for Community Development: Resources for Practitioners and Trainers.
Habana-Hafner, S. and H. B. Reed and Associates
Center for Organizational and Community Development, University of Massachusetts at Amherst, 1989

Planning for a Change
Dale, D. and N. Mitiguy
Center for Organizational and Community Development, University of Massachusetts, 1978

Playing Their Game Our Way: Using the Political Process to Meet Community Needs
Specter, G.
University of Massachusetts Citizen Involvement Training Project, Amherst, MA, 1978

PATCH (Planned Approach to Community Health)
Centers for Disease Control & Prevention,
Community Health Promotion Branch
Atlanta, GA

Prevention Plus II: Tools for Creating and Sustaining Drug-free Communities
Office of Substance Abuse Prevention, 1989

Prevention Plus III: Assessing Alcohol and Other Drug Prevention Programs at the School and Community Level. A Four-step Guide to Useful Assessment.
Linney, J. A & Wandersman, A.
Office of Substance Abuse, 1991

Promoting Health through Community Development
Fawcett, S., A. Paine, V. Francisco, and M. Vliet
In Glenwick, D. and Jason, L. (eds.) Binghamton, N.Y.

Promoting Health and Mental Health: Behavioral Approaches to Prevention.
Hawthorn Press, 1993

Roots to Power: A Manual for Grassroots Organizing.
Staples, L.
Prager Publishers, New York, 1984

Rules for Radicals
Alinsky, S. D.
Vintage Books, New York, 1972

The Future by Design: A Community Framework for Preventing Alcohol and Other Drug Problems Through a Systems Approach
Office of Substance Abuse Prevention, 1991

Step Three Goals & Objectives
Public Health Promotion
Texas Department of Health

The Block Booster Project: A Systems Approach to Understanding and Enhancing Grassroots Organizations.
Florin, P., D.M. Chavis, A. Wandersman, and R. Rich
In R. Levine & H., Fitzgerald (eds.) Analysis of dynamic psychological systems.
New York: Plenum, 1992.

The Community Collaboration Manual
The National Assembly of National Voluntary Health & Social Welfare Organizations.
Washington DC, 1991

The Future by Design: A Community Framework for Preventing Alcohol and Other Drug Problems Through a Systems Approach
Office of Substance Abuse Prevention, 1991

The Southwest Regional Center for Drug-Free Schools and Communities Manual
The University of Olkahoma
Norman, OK

JOURNAL ARTICLES

"A Program for Excellence in Human Services. University of Southern California."
Wholey, J.S.
Journal of Health Human Resources Administration., 1991 Fall

"Cities, Counties Address Access Needs with Hospital Partnerships."
Hudson, T.
Hospitals, 1992 May 5

"Cleveland Health Quality Choice: A Model for Collaborative Community-Based Outcomes Assessment."
Rosenthal, G.E., and D.L. Harper
Joint Commission Journal for Quality Improvement, 1994 Aug

"Collaborating to Develop a Community-based Health Service for Rural Homeless Persons. Fargo Community Health, North Dakota."
Dahl, S., C. Gustafson, and M. McCullagh
Journal of Nursing Administration, 1993 Apr

"Community Coalitions for Prevention and Health Promotion."
Butterfoss, F. D., Goodman, R. M. and A. Wandersman
Health Education Research, Vol. 8, No.3, 1993

"Creating Health Delivery Systems."
Wallace, S.T.
Health Care Strategy Management, 1992 Feb

"Creating Healthier Communities. Where's the money?"
Nord, T.A.
Ivinson Memorial Hospital, Health Forum Journal. 1993 May-June

"Development Sequence in Small Groups."
Tuchman, B. W.
Psychological Bulletin, 1965.

"Effective Coalition Building."
Linial, G.
Health Executive, 1995 Jan-Feb

"Four Area Hospitals Plant the Seeds for Closer Ties, Community Planning."
Taylor, K.S.
Hospital Health Network, 1993 Nov 5

"Health and Empowerment."
McNight, J.L.
Canadian Journal of Public Health 76:38-42, 1985 Supl. 1

"Health Education and Community Empowerment: Conceptualizing and Measuring
Perceptions of Individual, Organizational, and Community Control."
Israel, B., and Others
Health Education Quarterly, Vol 21, No. 2, Summer 1994

"Healthier Communities Compendium. The Healthcare Forum."
Health Forum Journal, 1993 May-June

"Hospitals, Employers Forge Cost/Equality Partnerships."
Cerne, F.
Hospital Health Network 1993 Sep 20

"Implementing the Boston Healthy Start Initiative: A Case Study of Community
Empowerment and Public Health."
Plough, A. and F. Olafson
Health Education Quarterly, Vol 21, No. 2, Summer 1994

"Introduction to Community Empowerment, Participatory Education, and Health."
Wallersten, N., and E. Bernstein
Health Education Quarterly, Vol 21, No. 2, Summer 1994

"May the Third Force Be with You: Community Programs for Affordable Health Care."
Brown, L.D., and C.G. Mclaughlin
Advancement of Health Economics and Health Services Research, 1988-9

"Measuring Community Competence in the Mississippi Delta: The Interface between Program Evaluation and Empowerment"
Eng, E. and E. Parker
Health Education Quarterly, Vol 21, No. 2, Summer 1994

"Networking, Coordination, Cooperation, and Collaboration: Different Skills for Different Purposes."
Loughran, E.
Community Education Journal, 14 1982

"On Healthier Communities. Pioneering Communities."
The Healthcare Forum.
Health Forum Journal, 1994 May-Jun

"Patience and Partnership. Health Systems Cultivate Two Ingredients to Create Healthier Communities."
Lumsdon, K.
Hospital Health Network, 1993 Dec 20

"Reform Should Begin in Our Communities."
Sullivan, S.
National Business Coalition Forum on Health
Business Health, 1993 Jan

"Schools as Centers for Collaborative Services for Families: A Vision for Change."
Uphold, C.R., M.V. Graham
Nursing Outlook 1993 Sep-Oct

"Systems Collaborate for a Healthier Community. A Community Health Advisory Board Focuses on Immunization."
Lindsey, S.E.
Health Program, 1994 Jan-Feb

"The ALERT Partnership Evaluation: Enhancing Health Program Evaluation with Qualitative Techniques."
Livingood, W. C., Woodhouse, L.D. & J. Natale
Community Health 1991.

"The Community as Partner in Primary Health Care."
Farley, S.
Nursing Health Care 1993 May

"The First Step Toward a Health Assessment: Define the Community."
Rice, J.A.
Healthcare Enterprise International, 1994 Oct

"The Measuring Stick. Is Health Care Ready for Full-Scale Outcomes Measurement?"
Bergman, R.
Hospital Health Network 1993 Dec 5

"The New Urban Healthcare Coalition"
Hughes, C.
Hadley-Hart Healthcare Group
Administrative Radiology, 1993 Aug

"Ultimate Partnerships Benefit Community Health Care Delivery."
Wallace, S.T.
St. Luke's Methodist Hospital, Trustee 1993 April

"Uncle Sam Wants You to Talk About Community Health."
Bacon, J.
Business Health, 1991 Sep

Team Building Resource List

Thomas A. Kayser *Mining Group Gold: How to Cash In On the Collaborative Brain Power of a Group*, Serif Publishing, El Segundo, CA, 1990.
- Provides an overview of effective group meetings, including how-tos and team roles.

Four Edward E. Scannell and John W. Newstom books on *Games Trainers Play* published by McGraw Hill, Inc., New York.
- These books provide warm-ups, games, ice-breakers, and ways to end meetings.

Roger M. Schwartz *The Skilled Facilitator: Practical Wisdom for Developing Effective Groups*, Jossey-Bass Publishers, San Francisco, CA, 1994.
- An excellent text for facilitators, full of how-tos.

Richard S. Wellins, William C. Byham, and Jeanne M. Wilson *Empowered Teams: Creating Self-Directed Work Groups That Improve Quality, Productivity, and Participation*, Jossey-Bass Publishers, San Francisco, CA, 1991.
- Describes the steps and tasks necessary for an empowered team, including tips and instruments.

Oscar G. Mink, Barbara P. Mink, and Keith Q. Owen *Groups at Work*, Educational Technologies Publications, Englewood Cliffs, NJ, 1987.
- Describes the steps and tasks necessary for an empowered team, including tips and instruments.

Any of the five *A Handbook of Structured Experiences for Human Relations Training* edited by J. William Pfeiffer and John E. Jones, published by University Associates, Inc., San Diego, CA.
- A series of texts that provide a variety of games and activities catagorized by topic or task (i.e., decision making, team building, communication).

Any of the numerous *ANNUALS*, edited by J. William Pfeiffer and John E. Jones, published by University Associates, Inc., San Diego, CA.
- A series of texts that provide a variety of games and activities catagorized by topic or task (i.e., decision making, team building, communication).