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PLANNING HEALTH PROMOTION PROGRAMS

AN INTERVENTION MAPPING APPROACH

FOURTH EDITION

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Fourth Edition

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CONTENTS

Figures and Tables	vii
Acknowledgments	xiii
About the Authors	xvii

Part One: Foundations **1**

Chapter 1 Overview of Intervention Mapping	3
Competency	3
Perspectives	7
Intervention Mapping Steps	12
Core Processes for Using Theory and Evidence	20
The Role of Culture in Intervention Planning	28
Navigating the Book	30
Important Repeating Concepts in the Book	31
Summary	32
Discussion Questions and Learning Activities	38
References	39
 Chapter 2 Behavior-Oriented Theories Used in Health Promotion	 57
Competency	57
Perspectives	58
Overview of Theories	65
Learning Theories	66
Theories of Information Processing	70
Theories of Health Behavior	74
Theories of Reasoned Action	78
Theories of Goal-Directed Behavior	84
Theories of Automatic Behavior, Impulsive Behavior, and Habits	89
Stage Theories	95
Attribution Theory and Relapse Prevention	99
Theories of Persuasive Communication	101
Theories of Self-Regulation	105
Social Cognitive Theory	109
Theories of Stigma and Discrimination	113

Diffusion of Innovations Theory	116
Summary	120
Discussion Questions and Learning Activities	120
References	121
Chapter 3 Environment-Oriented Theories	145
Competency	145
Perspectives	146
General Environmental-Oriented Theories	149
Interpersonal-Level Theories	155
Organizational-Level Theories	160
Community-Level Theories	167
Societal and Governmental Theories	184
Summary	192
Discussion Questions and Learning Activities	192
References	193
Part Two: Intervention Mapping Steps	209
Chapter 4 Intervention Mapping Step 1: Logic Model of the Problem	211
Competency	211
Perspectives	212
Tasks for Step 1	214
Summary	261
Discussion Questions and Learning Activities	262
References	263
Chapter 5 Intervention Mapping Step 2: Program Outcomes and Objectives—Logic Model of Change	283
Competency	283
Perspectives	284
Tasks for Step 2	286
Summary	330
Discussion Questions and Learning Activities	331
References	332
Chapter 6 Intervention Mapping Step 3: Program Design	345
Competency	345
Deciding How to Start	345
Perspectives	350
Tasks for Step 3	355

Summary	416
Discussion Questions and Learning Activities	417
References	418
Chapter 7 Intervention Mapping Step 4: Program Production . .	435
Competency	435
Perspectives	436
Tasks for Step 4	437
Summary	475
Discussion Questions and Learning Activities	475
References	476
Chapter 8 Intervention Mapping Step 5: Program Implementation Plan	483
Competency	483
Perspectives	484
Tasks for Step 5	494
Summary	528
Discussion Questions and Learning Activities	529
References	530
Chapter 9 Intervention Mapping Step 6: Evaluation Plan with Patricia Dolan Mullen	541
Competency	541
Perspectives	541
Tasks for Step 6	546
Summary	584
Discussion Questions and Learning Activities	585
References	585
Chapter 10 Using Intervention Mapping to Adapt Evidence-Based Interventions with Linda Highfield, Marieke A. Hartman, Patricia Dolan Mullen, and Joanne N. Leerlooijer	597
Competency	597
Perspectives	598
Intervention Mapping for Adaptation	603
Summary	642
Discussion Questions and Learning Activities	643
References	643
Index	651

FIGURES AND TABLES

Figures

1.1	Intervention Mapping Steps	13
1.2	Logic Model of the Problem	15
1.3	Logic Model of Change	16
2.1	Logic Model for Methods, Determinants, Behaviors, Environmental Conditions, and Health	62
4.1	Logic Model of the Problem	227
4.2	Epilepsy PRECEDE Model	234
4.3	Integrating Qualitative and Quantitative Methods	244
4.4	It's Your Game PRECEDE Logic Model	259
5.1	Logic Model of Change	285
5.2	IYG Logic Model of Change	320
6.1	Intervention Logic Model	348
6.2	Schematic Representation of Shift in Environmental Levels	349
6.3	Cultivando La Salud	358
6.4	Developing Tailored Feedback	366
7.1	MINDSET Top Level Flow Diagram Depicting Data Input to Produce a Tailored Action Plan	444
7.2	Example Draft Screen Map Mock-Ups for MINDSET	445
7.3	Flowchart and Screen Maps Outlining the Data Input Process for MINDSET	446
7.4	Screen Maps Outlining the Generation of Tailored Decision Support Recommendations for MINDSET	447
7.5	Tasks for Producing a Print Piece	461
7.6	Tasks for Producing a Video	462
7.7	Activity Sequence for an It's Your Game Computer Lesson: Healthy Dating Relationships	470
7.8	Example of an It's Your Game Computer Lesson Tailored by Sexual Experience	471
7.9	Design Document for a <i>Reel World</i> Series	472
7.10	Example Role Play Activity From It's Your Game	473
7.11	It's Your Game Parent Newsletter (Sample Pages)	474

7.12	Screen Captures Depicting Change Methods and Practical Applications From It's Your Game . . . Keep It Real Computer Activities	474
8.1	The EBI and Implementation Intervention Targets and Outcomes	487
9.1	Intervention Logic Model	547
9.2	Illustration of the PRECIS Criteria to Characterize Research Studies	572
9.3	IYG Intervention Logic Model for Evaluation	581
10.1	Adapting an Evidence-based Health Promotion Intervention	605
10.2	Logic Model of the Problem With Guiding Questions	606
10.3	Logic Model of Change With Guiding Questions	607
10.4	Parts of a Program	616
10.5	Case Study Logic Model of the Problem	632
10.6	Case Study Logic Model of Change	633

Tables

1.1	Provisional List of Answers Regarding Condom Use Among Adolescents	22
1.2	Examples of Theories for Intervention Mapping Steps and Questions	25
1.3	Programs Developed Using Intervention Mapping	34
2.1	Examples of When to Use Theory in Intervention Planning	58
2.2	Theories Arrayed by Level	61
2.3	The Precaution-Adoption Process Model	97
3.1	A Comparison of Empowering Processes and Empowered Outcomes Across Levels of Analysis	154
3.2	Principles Underlying Effective Tactics	181
4.1	Questions to Guide Recruitment of Stakeholders	216
4.2	Group Facilitation Processes	219
4.3	Examples of Secondary Data Sources for Health, Behavior, Environment, and Quality-of-Life Description	247
4.4	Community Asset Assessment	252
5.1	Performance Objectives for Consistently and Correctly Using Condoms During Sexual Intercourse	296
5.2	Environmental Performance Objectives for the ToyBox-Study	299
5.3	Environmental Performance Objectives for T.L.L. Temple Foundation Stroke Project	300

5.4	Performance Objectives to Reduce Stigma and Promote HIV Testing	301
5.5	Performance Objectives for Condom Use Among HIV+ Men Who Have Sex With Men (MSM) Using a Self-Regulatory Approach	303
5.6	Judging Importance of Determinants of Performance Objectives	307
5.7	Sample Matrix for Children in the Toy-Box Study	310
5.8	Sample of Rows From Matrices for Interpersonal and Organizational Environmental Change in the ToyBox-Study	311
5.9	Examples of Cells From a Behavior Matrix: Consistently and Correctly Using Condoms During Sexual Intercourse	315
5.10	List of Action Words for Writing Change Objectives: Organized by Levels of Complexity of Learning Tasks	317
5.11	Examples of Cells From a Simulated Matrix to Address a Habitual Behavior	319
5.12	Behavioral Outcomes, Environmental Outcomes, and Performance Objectives for It's Your Game . . . Keep It Real	323
5.13	Work on Determinants of Middle School Students' Choosing Not to Have Sex	324
5.14	Work on Determinants of Parents' Communication With Child	325
5.15	Matrix for Behavioral Outcome: Student Chooses Not to Have Sex	325
5.16	Matrix for Behavioral Outcome: Student has Healthy Relationships With Friends, Girlfriends, or Boyfriends	327
5.17	Sample Cells for Matrix for Interpersonal Environmental Outcome: Parent Communicates With Child About Dating and Sexual Health Topics	328
6.1	Scope and Sequence of the T.L.L. Temple Foundation Stroke Project	359
6.2	Communication Channels and Vehicles	361
6.3	Examples of Objectives and Methods for Changing Awareness and Risk Perception	371
6.4	Examples of Objectives and Methods at Various Levels	373
6.5	Basic Methods at the Individual Level	376
6.6	Methods to Increase Knowledge	381
6.7	Methods to Change Awareness and Risk Perception	382
6.8	Methods to Change Habitual, Automatic, and Impulsive Behaviors	383

6.9	Methods to Change Attitudes, Beliefs, and Outcome Expectations	385
6.10	Methods to Change Social Influence	387
6.11	Methods to Change Skills, Capability, and Self-Efficacy and to Overcome Barriers	388
6.12	Methods to Reduce Public Stigma	391
6.13	Basic Methods for Change of Environmental Conditions	392
6.14	Methods to Change Social Norms	393
6.15	Methods to Change Social Support and Social Networks	394
6.16	Methods to Change Organizations	395
6.17	Methods to Change Communities	396
6.18	Methods to Change Policy	398
6.19	Methods and Applications for Emergency Department Matrices in the T.L.L. Temple Foundation Stroke Project	408
6.20	Scope and Sequence for It's Your Game . . . Keep It Real	411
6.21	Sample of Methods and Applications for Students From It's Your Game . . . Keep It Real	414
6.22	Sample of Methods and Applications for Parents From It's Your Game . . . Keep It Real	415
7.1	Design Document Highlights From the T.L.L. Temple Foundation Stroke Project—Community Component Materials	442
7.2	Additional Design Document Details for the Stroke Project	443
7.3	Suitability Assessment of Materials Rationale	450
7.4	Pretesting and Pilot-Testing Purposes and Methods	466
8.1	Examples of Change Objectives From the Peace of Mind Program	515
8.2	Peace of Mind Program Implementation Intervention Plan	517
8.3	It's Your Game . . . Keep It Real: Matrices of Change Objectives for Implementation	520
8.4	It's Your Game . . . Keep It Real: Methods, Practical Applications, and Program Materials to Enhance Program Implementation	527
9.1	Evaluation Stakeholders	544
9.2	Evaluation of a School HIV Prevention Program	551
9.3	Process Evaluation Questions for a Program to Increase Colorectal Cancer Screening (CRCS) Among U.S. Veterans	554
9.4	Diabetes Program Performance Standards	555
9.5	Hypothetical Process Evaluation of Diabetes Counseling Program	556
9.6	Comparison of Domains of Asthma Knowledge	563

9.7	Evaluation Plan Summary: School AIDS Prevention Program	578
9.8	Partial Evaluation Plan for It's Your Game . . . Keep It Real (IYG)	582
10.1	Terms for Thinking About Evidence	610
10.2	Websites for Full EBIs and General Intervention Strategies	612
10.3	Adaptation "To-Do List" for Telephone-Counseling Program	619
10.4	Examples From the Design Document Template for the Telephone-Counseling Program	622

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An instructor's supplement, which includes case studies, Power-Point lecture slides, and student assessments, is available at <http://www.wiley.com/go/bartholomew4e>. Please follow the URL and select the link for "Companion Site" in the "For Instructors" box. You will be instructed to sign-up and then a Wiley representative will contact you and provide you with access to the site. Additional materials, such as videos, podcasts, and readings, can be found at www.josseybasspublichealth.com. Comments about this book are invited and can be sent to publichealth@wiley.com.

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PART ONE

FOUNDATIONS

OVERVIEW OF INTERVENTION MAPPING

Competency

- Choose and use a systematic approach to planning health promotion programs.

In this chapter we present the perspectives underlying Intervention Mapping and a preview of the program-planning framework. The purpose of Intervention Mapping is to provide health promotion program planners with a framework for effective decision making at each step in intervention planning, implementation, and evaluation. Health promotion has been defined as combinations of educational, political, regulatory, and organizational supports for behavior and environmental changes that are conducive to health (Green & Kreuter, 2005), and health education is a subset of health promotion applications that are primarily based on education. This book uses the terms *health educator*, *health promoter*, and *program planner* interchangeably to mean someone who is planning an intervention meant to produce health outcomes. One difficulty which planners may encounter is that of knowing exactly how to create health promotion or education programs that are based on theory, empirical findings from the literature, and data collected from a population. Existing literature, appropriate theories, and additional research data are basic tools for any health educator, but often it is unclear how and where these tools should be used in program planning. In Intervention Mapping, these tools are systematically applied in each step of program development.

LEARNING OBJECTIVES AND TASKS

- Explain the rationale for a systematic approach to intervention development
- Describe ecological and systems approaches to intervention development
- Explain the causal logic of public health problems and solutions
- List the steps, tasks, and processes of Intervention Mapping
- Explain how to use theory and evidence in intervention development

BOX 1.1. MAYOR'S PROJECT

Imagine a health promoter in a city health department. The city's mayor, who has recently received strong criticism for inattention to a number of critical health issues, has now announced that a local foundation has agreed to work with the city to provide funding to address health issues. Youth violence, childhood obesity, adolescent smoking, and other substance abuse as well as the high incidence of HIV/AIDS are among the many issues competing for the mayor's attention. Not only does the allocated sum of money represent a gross underestimation of what is needed to address these issues, but also the city council is strongly divided on which health issue should receive priority. Council members do agree, however, that to dilute effort among the different issues would be a questionable decision, likely resulting in little or no impact on any single issue. As a response to increasing pressures, the mayor makes a bold political move and invites stakeholders who have advocated for these health issues and others to work with the health department to decide on the issue that should be chosen and to build and implement an intervention. The mayor agrees to help secure yearly funds, contingent on the project's effectiveness in producing significant, measurable improvements in the chosen issue at the end of each fiscal year.

The health promoter is to be the project lead from the city health department. Although she is apprehensive about the professional challenge as well as the complications inherent in facilitating a highly visible, political project, the health promoter feels encouraged by the prospect of working with community and public health leaders and is energized by the possibilities in the new project.

The first step the health promoter takes is to put together the planning group for the project. She considers the stakeholders concerned with health in the city. These are individuals, groups, or other entities that can affect or be affected by whatever project is chosen. She develops a list of community, health services, and public health leaders and invites these individuals to an initial meeting where they will discuss the project and make plans to expand this core group. She uses a "snowball" approach whereby each attendee suggests other community members who may be interested in this project. The superintendent of schools begins the process by suggesting interested parents, teachers, and administrators. After the first meeting, the health educator has a list of 25 people to invite to join the planning group.

Twenty-five people is a lot for one group, and the project lead knows that this multifaceted group will have to develop a common vocabulary and understanding, work toward consensus to make decisions, maintain respect during conflicts, and involve additional people throughout the community in the process. Members must be engaged, create working groups, believe that the effort is a partnership and not an involuntary mandate, and work toward sustainability of the project (Becker, Israel, & Allen, 2005; Cavanaugh & Cheney, 2002; Economos & Irish-Hauser, 2007; Faridi, Grunbaum, Gray, Franks, & Simoes, 2007).

The composition of the city's planning group is diverse, and group members are spurred by the mayor's challenge and enthusiastic to contribute their expertise. With this early momentum, the group devotes several weeks to a needs assessment, guided by the PRECEDE model (Green

& Kreuter, 1999). The members consider the various quality-of-life issues relevant to each of the health problems, the segments of the population affected by each issue, associated environmental and behavioral risk factors for each health problem, and determinants of the risk factors.

Planning group members recognize the importance of all of the health issues discussed by the group, and they want to work with community members to ascertain what problem might be most relevant to the community and most feasible to address. Even though the planning group comprises many segments of the city's leadership, health sector, and neighborhoods, the members realize that they do not have a deep enough understanding of what health problems might be of most relevance in their community. A subgroup takes on the role of community liaison to meet with members of various communities within the city to discuss health problems. The community liaison group wants to understand community members' perceptions of their needs, but it is equally concerned with understanding the strengths of the communities and their unique potential contributions to a partnership to tackle a health problem. The subgroup invites members of each interested neighborhood to join the planning group. Jointly, the planning group, the communities, and the funders agree to select a problem as the focus of an intervention. The health promoter knows that with a group this large she will have to strategize about using smaller work groups for different tasks. However, knowing the history of the city and the feeling of some stakeholder groups that they are often excluded from initiatives, she welcomes all interested participants.

The group's initial work on the needs assessment identifies childhood obesity as an important problem, one that the community members could agree to work on, and one that disproportionately affects lower-income and minority children. This initial work facilitates group cohesion and cultivates even greater enthusiasm about generating a solution for the health problem; however, despite the considerable needs assessment work that remains to be done (see Mayor's Project, Chapter 4), several members of the group even begin to imagine the victory that would be had if the group were to produce a change in half the allotted time because so much of the needed background information has already been gathered. The project lead knows that there remains a lot of work to be done but is comfortable with the group's enthusiasm as well as their pace and productivity. Once the group decides which issue to address, it faces the challenge of moving to the program-planning phase. In her previous work the health promoter used Intervention Mapping to develop programs and felt fairly confident about scheduling the first planning meeting devoted specifically to intervention.

What the health promoter hasn't anticipated is that in the course of conducting the initial part of the needs assessment, each group member independently began to conceive of the next step in the planning process as well as to visualize the kind of intervention that would be most suitable to address the problem. The day of the meeting arrives, and on the agenda is a discussion of how the group should begin program planning. What follows is a snapshot of dialogue from the planning group that illustrates several differing perspectives.

School Board Member: As we see from the work of our community liaison group, parents are concerned about obesity in children. According to community development techniques, we have to start where the people are. I think we should begin by conducting a series of focus groups with parents and have them tell us what to do.

City Council Representative: But we also heard a lot about the barriers to eating good food and exercising. Some of these barriers are environmental. I think we ought to develop a program for the Department of Parks and Recreation.

Community Member Parent: Well, I think a school-based program is most important. Our children need to learn what to eat.

Community Member/Teacher: Yes, children do have a role. Helping children make nutritious choices is important, but what about the quality of food they are served at home and in the schools?

Community Agency Participant: I think the program should focus on excess television watching and sedentary behavior. All community members just need to get up and move!

Parks and Recreation Representative: We are talking about one dimension of the problem at a time. This is a very big, very complicated problem. How will we ever address everything? Maybe it is just too big. Maybe we need to take on a simpler problem.

Religious Leader: Well, it is big. Maybe we will need an agency coordinator. I say we find a nonprofit group to serve as a community coordinating center from which various interventions and services can be implemented. That way, programs are sustainable and a variety of activities can be offered.

Youth Club Board Member: One of the national obesity programs has great brochures and videos—in three languages. We have numerous testimonials from kids, teachers, and parents about how motivated they were by these interventions. This approach is quick and easy; it's low cost; and I've already made sure we can get the materials. Plus, if the materials come from a national center, they must be effective.

Community Member: But, are those materials really powerful enough? It seems like a problem as complex as obesity would have to be addressed in many different ways. For example, what about the food service providers in schools? I think we have to think more carefully about how to address the many factors that may be causing this problem and making it hard to solve.

Health Care Provider: We know it takes more than learning information to change behavior. We have to address factors such as attitudes and self-efficacy. But how do we measure a change in attitudes? I think we should measure behavior directly.

Educator: Well, clearly we have to begin by designing a curriculum. What are our learning objectives?

The health promoter is worried but undeterred by the cacophony of comments about program development. She is prepared to lead group members through a series of systematic steps to construct the intervention and realizes that the group could work through their differences in the process. She is pleased to have a group with so much cumulative experience. The planning group decides to complete the needs assessment by organizing the information about obesity using an effective model that has been applied to many health issues (Green & Kreuter, 2005). (See Intervention Mapping [IM] Step 1, Chapter 4.) The members agree to take an ecological perspective, that is, the belief that most health problems are multidetermined and that one must intervene at individual, organizational, community, and societal levels to resolve a problem (Kok, Gottlieb, Commers, & Smerecnik, 2008). But, as the group dialogue indicates, each group member brought a different set of experiences and training to the meeting. This is a common experience in group activities. Each member makes an important and relevant contribution worthy of consideration in the creation of the intervention. To help the group move to solutions to the problem that they describe in the needs assessment, they will specify behavior and environmental conditions that should change and also the determinants of the desired change (IM Step 2, Chapter 5); design an intervention, including theory- and evidence-based change methods and applications (IM Step 3, Chapter 6); produce a deliverable program (IM Step 4, Chapter 7) and specify how it will be implemented (IM Step 5, Chapter 8); and make plans for program evaluation (IM Step 6, Chapter 9).

Perspectives

Intervention Mapping is a planning approach that is based on using theory and evidence as foundations for taking an ecological approach to assessing and intervening in health problems and engendering community participation.

Theory and Evidence

We agree with Kurt Lewin's adage that nothing is as useful as a good theory (Hochbaum, Sorenson, & Lorig, 1992). The use of theory is necessary in evidence-informed health promotion to ensure that we can describe and address the factors that cause health problems and the methods to achieve change. Teachers of health promotion and education suggest that the field would be well served with better guidance in how to use theory to understand health and social problems (DiClemente, Salazar, & Crosby, 2011; Glanz & Bishop, 2010; Glanz, Rimer, & Viswanath, 2015; Jones &

Donovan, 2004). In the text, we address this need by providing guidance on the how-to of theory selection and use (Brug, Oenema, & Ferreira, 2005).

In Intervention Mapping we use theory from a problem-driven perspective. Program planners, even those who are primarily researchers, often approach theory in a way that is fundamentally different from either theory generation or single theory-testing. A person who wants to find a solution to a public health problem has a different task from one who wants to create or test a theory. In practice, problem-driven, applied behavioral or social science may use one theory or multiple theories, empirical evidence, and new research to assess a problem and to solve or prevent a problem. In this approach, the main focus is on problem solving, and the criteria for success are formulated as outcomes related to the problem. Contributions to theory development may be quite useful, but they are peripheral to the problem-solving process.

Choices have to be made when developing an intervention, and theories are one tool to enable planners to make better choices. Health promotion planners are likely to bring multiple theoretical and experiential perspectives to a problem rather than to define a practice or research agenda around a specific theoretical approach. To understand a problem, the planning team begins with a question about a specific health or social problem (Buunk & Van Vugt, 2013; Ruiter, Massar, Van Vugt, & Kok, 2012). The team then accesses social and behavioral science theories and research evidence of causation of the health problem and its behavioral and environmental contributors. Causal theories help describe the health problem and its causes. Change theories suggest approaches to problem solutions. The planner then proceeds to gather evidence for the factors theory suggests. By the term *evidence*, we mean not only data from research studies as represented in the scientific literature but also the opinion and experience of community members and planners. In this way, theoretical and empirical evidence is brought to bear on meeting a health or social need. Intervention Mapping provides a detailed framework for this process.

Ecological Models and Systems Thinking

The social ecological model, an underpinning for Intervention Mapping, has been used extensively in health promotion and is consonant with and encompassed by systems thinking (Kok et al., 2008; *American Journal of Community Psychology*, 2007; McLeroy, 2006; National Cancer Institute, 2007; Trochim, Cabrera, Milstein, Gallagher, & Leischow, 2006). In the social ecological model, health is a function of individuals and of the environments in which individuals live, including family, social networks, organizations, communities, and societies (Berkman, Kawachi, & Glymour, 2014; Crosby, Salazar, & DiClemente, 2011; Marmot, 2000; Richard, Gauvin, & Raine, 2011; Stokols, 1996).

A system is activities, actors, and settings that are affected by or affect a certain problem situation (Foster-Fishman, Nowell, & Yang, 2007). Using a systems perspective to assess the needs and strengths of the population; to understand a health problem and its causes; to form a group of stakeholders to plan, conduct, and disseminate an intervention; and to select the most effective leverage points to address a health-related problem can increase the effectiveness of planning. In particular, planners should understand that interventions are events in systems and that other factors within a system can reinforce or dampen the influence of an intervention on the specific behavior or environmental change being targeted (Hawe, Shiell, & Riley, 2009). See Chapter 3.

The social ecological paradigm focuses on the interrelationships between individuals (biological, psychological, and behavioral characteristics) and their environments. These environments include physical, social, and cultural aspects that exist across the individual's life domains and social settings. A nested structure of environments allows for multiple influences both within levels and across levels. Throughout the book, we have adopted the approach of D. G. Simons-Morton, B. G. Simons-Morton, Parcel, and Bunker (1988) of looking at agents (decision makers or role actors) at each ecological level: interpersonal (e.g., parents), organizational (e.g., managers of school food services), community (e.g., newspaper editors), or societal (e.g., legislators). Interventions at the various levels focus on agents (individuals or groups, such as boards or committees) in positions to exercise control over aspects of the environment. For example, adolescent uptake of smoking might be influenced by peers and parents at the interpersonal level of environment and by regulations and access at the social and community levels of environment. The picture that emerges is a complex web or system of causation as well as a rich context for intervention.

We present, as a beginning point, a template for simple, linear logic models focusing on the presumed cause-effect pathways related to health problems and their solutions articulated from theory and empirical research (Bartholomew & Mullen, 2011). See Chapter 4. However, we encourage the reader to adapt the logic model template to the complexity of the problem being analyzed, and we assume that the intervention, the system activity being targeted, and the proposed outcome are part of a complex multilevel system. An intervention at one environmental level can influence causal factors at multiple levels. For example, a program to conduct health-related lobbying may influence a legislative behavior (passing laws) that may influence individual health behavior. In illustration, one of our colleagues worked with a coalition in a large metropolitan area to use media and social advocacy to influence the police department and the U.S. Department of Labor to crack down on the use of young Hispanic children as dancers in bars and nightclubs (an activity that can lead to such health risk

behaviors as substance abuse and prostitution). Once policy-level change occurred, parents expressed more resolve to manage their children.

Participation in Health Promotion Planning

All health promotion program development, implementation, and evaluation should be based on broad participation of community members (Israel et al., 2008; Krieger et al., 2002; Minkler, 2004, 2005; Minkler, Thompson, Bell, Rose, & Redman, 2002; Wallerstein & Duran, 2006; Yoo et al., 2004). Inclusive community participation helps ensure that program focus reflects concerns for the local community. Broad participation can bring a greater breadth of skills, knowledge, and expertise to a project and can improve external validity of interventions and evaluation by recognition of the local knowledge of community members and practitioners (Israel, Schulz, Parker, & Becker, 1998; Israel et al., 2008). Green and Mercer (2001) also suggested that evidence-based health promotion interventions may be more acceptable to communities and potential participants when the research that has produced the evidence does not originate under special circumstances in distant places. In a discussion of environmental health promotion, Kreuter, De Rosa, Howze, and Baldwin (2004) described community participation as particularly important for

“wicked problems” wherein stakeholders may have conflicting interpretations of the problem and the science behind it, as well as different values, goals and life experiences. Accordingly, policy makers, public health professionals, and other stakeholders who grapple with these problems cannot expect to effectively resolve them by relying solely on expert-driven approaches to problem solving. (p. 441)

Planners can benefit greatly by applying principles for facilitating participatory action and partnerships suggested by Israel and colleagues (1998, 2008) and used by others to evaluate community-based participatory program efforts (Belansky, Cutforth, Chavez, Waters, & Bartlett-Horch, 2011; Horn, McCracken, Dino, & Brayboy, 2008; Israel et al., 2005 (see Chapter 4). Their principles are to:

- ♦ Recognize a partner community as a unit of identity
- ♦ Build upon community strengths and resources
- ♦ Facilitate collaborative, equitable decision making in which partners negotiate desired roles in all project phases and attend to social inequalities
- ♦ Foster colearning among partners
- ♦ Balance knowledge generation with community benefit