# Building Drug-Free Communities

## A Planning Guide



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Community Anti-Drug Coalitions . . . AMERICA

OJJDP

EXECUTIVE OFFICE OF THE PRESIDENT OF THE UNITED STATES
OFFICE OF NATIONAL DRUG CONTROL POLICY

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Dear Friend and Colleague:

Community Anti-Drug Coalitions of America (CADCA) is pleased to provide *Building Drug-Free Communities: A Planning Guide* to the coalition field. This document is intended to provide a thorough and thoughtful review of how a community can form a coalition.

We realize that forming a coalition is hard work. However, the hard work has incredible potential to ensure the health and well being of a community. Community coalitions are vital organizations that bring multiple sectors of the community together to develop comprehensive solutions to their unique drug problem. This manual provides tools and guidance that can help coalitions:

- Frame the vision and mission of the coalition.
- Develop measurable goals and objectives.
- Create logic models that will guide the work.
- Conduct comprehensive needs and resource assessments.
- Document their progress towards stated goals.

> ***"Coming together is a beginning. Keeping together is progress. Working together is success."***
> ***— Henry Ford***

CADCA invites you the reader to join or launch an effort in your community to reduce, prevent, and treat substance abuse and related problems. CADCA believes that it is only through the collective efforts of concerned citizens in the community that real change occurs.

Sincerely,

Arthur T. Dean

**Arthur T. Dean**
Major General, U.S. Army, Retired
Chairman and CEO

# Building Drug-Free Communities: A Planning Guide



## Presented in Six Chapters

# Chapter One

## Introduction to Substance Abuse Prevention

- Historical Overview
- Importance of Prevention
- Public Health Model
- Risk and Protective Factors

# Historical Overview of Substance Abuse Prevention

Substance abuse prevention is a unique discipline that has a longstanding role in reducing and preventing problems related to drug use. In 1972, the Federal government invested 20 million dollars in demand reduction programming that included drug abuse treatment and prevention. The goal of this early prevention programming was to: 1) educate children in school about the dangers of substance abuse, 2) train teachers, 3) develop programs to educate adults, 4) provide counseling and early intervention services, and 5) enable community-based programs to create local solutions to the problem. Evaluations conducted of these early efforts revealed that, "... greater emphasis must be placed on education and prevention efforts that promote the healthy growth of individuals and discourage the use of drugs as a way to solve (or avoid) problems." (Coombs & Ziedonis, 1995, p. 9).

After decades of research, we know a great deal about how substance abuse affects individuals, families, and communities. For example, we now know that substance use during adolescence is a predictor of substance abuse problems in later life. (Ammerman, R. T., Ott, P. J., & Tarter, R. E., 1999). Public concern in the last decade about increasing rates of drug use among adolescents has, "...stimulated a major effort on the part of researchers and clinicians to identify effective ways of deterring or delaying the onset of this behavior." (Bell & Battjes, 1990, p.1). The formation of the Prevention Research Branch in the Division of Clinical Research at the National Institute on Drug Abuse (NIDA) in 1982 marked a critical point in substance abuse prevention research and ushered in the onset of the first grant awards to support a wide array of research on substance abuse prevention.

In 1986, the Office for Substance Abuse Prevention (OSAP) was created through the Anti-Drug Abuse Act to address a resurgence of illicit drug use and provide Federal leadership for prevention. The Center for Substance Abuse Prevention (CSAP) was established as the successor to OSAP as one of three centers within the Substance Abuse and Mental Health Services Administration (SAMHSA) in 1992 and currently serves as the Federal lead agency in the effort to prevent alcohol, tobacco, and illicit drug problems. CSAP fosters the development of comprehensive, culturally appropriate prevention policies and systems that are based on scientifically defensible principles and target both individuals and the environments in which they live.

Under leadership of NIDA, CSAP, and others, studies were conducted to learn more about the causes of drug abuse among youth, which in turn could be used to develop prevention programs to eliminate or reduce the risk factors for drug abuse. Additional studies of the coalition-building approach to community-based problem solving on the drug issue were also conducted and found to yield promising results on the effectiveness of community-based prevention interventions.

Early research paved the way for more sophisticated studies that are being conducted today. Ammerman, R. T., Ott, P. J., & Tarter, R. E. (1999) describe the early years of substance abuse prevention research as vibrant and informative, which led to the evolution and definition of prevention science. This new science describes the systematic approach to addressing substance abuse that requires involvement of youth; parents; business community; media; schools, youth-serving organizations; civic and volunteer groups; health care professionals; state, local and tribal governments; and other organizations involved in reducing or preventing substance abuse. Multiple sector, diverse representation is essential to coalition effectiveness, and prevention theory and research underscore its value.

# The Importance of Prevention and Community Coalitions

The March 1997 General Accounting Office report *Drug Control: Observations on Elements of the Federal Drug Control Strategy* highlights the establishment of community anti-drug coalitions that target young people as one of the most promising drug prevention strategies.

Research confirms that multi-sector, multi-strategy approaches—as community coalitions often implement—are most likely to lead to success in substance abuse prevention. Direct evidence from the field also demonstrates that community anti-drug coalitions can help reduce drug abuse significantly. The results of the national community partnership evaluation conducted by SAMHSA/CSAP, *Prevention Works Through Community Partnerships*, underscore that community partnerships are a viable strategy for preventing substance abuse. The study reinforces the need for communities to work together as they develop substance abuse strategies.

Anti-drug coalitions routinely involve leaders and stakeholders from key sectors of the community—parents, young people, business leaders, law enforcement officials, health care and treatment providers, school administrators and teachers, social service providers, drug abuse practitioners, media leaders, the clergy, and many others. Together, community leaders craft and implement initiatives to prevent, reduce, and treat drug abuse in the neighborhoods, regions, and states in which they live. These coalitions are achieving results. A five-year study of community partnerships for CSAP showed that communities with coalitions have lower rates of substance abuse than matched communities without coalitions (CSAP 1999).

**Prevention**

**"A proactive process . . . that empowers individuals and systems to meet the challenges of life events and transitions by creating and reinforcing conditions that promote healthy behaviors and lifestyles."**

A study funded by the Annie E. Casey Foundation, conducted by Community Anti-Drug Coalitions of America (CADCA) and published in 2000 (*Lessons From the Field: Community Anti-Drug Coalitions as Catalysts for Change*), examines community coalitions across the country, providing insight into the organization, operation, sustainability, and impact of the coalition movement. The study report is based on in-depth case studies of eight effective community coalitions and found that a coalition with strong member input can:

- *Help change community norms and values.* Involving key members of the community can dispel myths and reinforce pro-social, drug-free norms and values.
- *Create a wider base of support for behavioral change.* The more people involved from a wide variety of different groups, agencies, and programs within the larger community, the more likely the collaborative efforts will achieve success.
- *Develop greater capacity for successful interventions.* A good cross-section of representatives from the community can provide the information needed to assess gaps and resources needed to implement the various strategies the coalition selects. Coalition members can also leverage needed resources (both formal and informal) from throughout the community.
- *Galvanize public support.* Good representation from the community in the coalition will help develop community ownership of coalition efforts.
- *Lead to long-term changes.* Strategies and tactics integrated into the community through long-term strategic planning will lead to sustainability and institutionalization.

## Recent Support for Community Collaboration

On June 27, 1997, President Clinton signed into law the Drug-Free Communities Act of 1997. The Drug - Free Communities Support Program, which is sponsored by the Office of National Drug Control Policy (ONDCP) and administered through the Office of Juvenile Justice and Delinquency Prevention (OJJDP), offers communities grants of up to $100,000 to fund substance abuse prevention efforts. The program requires that a coalition of community members have worked together on substance abuse reduction initiatives at least six months prior to submitting a grant application and be involved in the process. The coalition must represent the targeted community and include at least one representative of each of the following groups:

- Youth
- Parents
- Business community
- Media
- Schools: public, private and parochial
- Youth-serving organizations
- Institutions of higher learning
- Law enforcement agencies
- Religious or fraternal organization
- Civic and volunteer groups
- Health care professionals
- State, local, or tribal governmental agencies with expertise in the field of substance abuse
- Other organizations involved in reducing substance abuse.

Elected officials and important community stakeholders, such as the mayor, judges, and high visibility community activists, should be represented on this list. The representatives of each group should be individuals of some stature within that group or individuals who have access to the group's leaders and resources. Diversity is also important. If an important segment of the community is left out of the process of identifying the problem, it is unlikely that they will accept or participate in the solutions.

Solutions to community-identified problems must be based on sound theory and practice. The theoretical framework that guides community coalition activity is the public health model.

The Drug-Free Communities Support Program offers communities grants of up to $100,000

# The Public Health Model

A public health model stresses that problems arise through the relationships and interactions among the agent, the host, and the environment. In the case of alcohol, tobacco, and other drug problems, the agent is the substance, the host is the individual drinker or drug user, and the environment is the social and physical context of drinking or drug use. Of particular importance to prevention are environmental influences on substance abuse.

This model requires the coalition to think in a comprehensive manner beyond the part of the problem they can see. Since this model is widely used by health agencies, it can also help to create a common language to support the local planning process.

Prevention programs in the past, including drug abuse programs, often neglected to deal with the environment. Often they focused exclusively on inoculating the host/individual through educational efforts expecting that information on the risks associated with alcohol, tobacco, and other drug use would be sufficient to prevent use and avoid problems. However, a teenager (host) who attends a well-presented educational seminar on prevention at school may go home to a neighborhood (environment) where use is glamorized on billboards, laws are not enforced, and alcohol, tobacco, and other drugs (agent) are plentiful. A public health approach to prevention requires not only an understanding of how the three factors of host, agent, and environment interact, but also inclusion of a plan of action for influencing all three.

## Influencing the Host

Prevention practitioners can reach people directly though schools, social programs, workplaces, day care centers, religious organizations, and other groups. Efforts to reach the host and his/her peer group typically employ some combination of the following information- and skill-building strategies:

- Developing problem-solving and decision-making skills;
- Increasing self-awareness and self-efficacy;
- Learning non-use skills for dealing with anxiety and stress;
- Enhancing interpersonal skills, such as the ability to express displeasure, anger, and needs; and
- Understanding the relationship between alcohol, tobacco, and other drug use and health concerns.

## Influencing the Agent and Other Causative Factors

The agent in the public health model is the substance. Public health advocates have had some success in influencing legal agents such as alcohol and tobacco. Requiring warning labels on alcoholic beverage containers and cigarette packages and advertising are examples of these successes.

## Influencing the Environment

Programs that influence the environment to reinforce healthy behaviors are increasingly part of community-based prevention efforts. Within a public health model, environments include schools, families, neighborhoods, and communities, as well as the broader social and cultural environments that are influenced by legislation, pricing, advertising, and media portrayals of alcohol, tobacco, and other drug use.

The public health model demonstrates that programs that depend exclusively on teaching the host, altering the agent, or changing the environment, oversimplify the complex problem of alcohol, tobacco, and other drug use. Each factor—the agent, host, and environment—must be considered for effective prevention. Effective prevention using the Public Health Model requires that a coalition focus on both the risk and protective factors that exist for the agent, the host, and the environment.

# Risk and Protective Factors Framework

An important theoretical framework for prevention is the risk and protective factors model. Used to gather data on the strengths and challenges in an individual and a community, this framework helps to describe aspects of a person, group, or environment that make it more or less likely that individuals will develop a substance abuse problem. The result of this data gathering and analysis process is detailed information on the scope and nature of the problem in a community. Over the past 30 years, researchers have identified risk factors for drug abuse, juvenile delinquency, and related problems in the following domains: family, school, peer group, community, and interpersonal (see list beginning on page 7). The more risk factors present in a community or within an individual, the greater the likelihood that a problem with drug or alcohol abuse will develop.

## Risk and Protective Factors Defined

A risk factor is defined as an association between some characteristic of an individual, group or environment and an increased probability of a problem. A number of research studies have found multiple risk factors associated with substance abuse. Risk factors may be associated with multiple problems. Research on this topic has revealed that by addressing a risk factor for one problem, such as substance abuse, we may also be addressing a risk factor for another problem, such as teen pregnancy. Risk factors are found among individuals, peer groups, families, schools, and communities.

The study of protective factors has emerged from research that has found that some children who had been exposed to multiple risk factors for substance abuse did not use abuse substances. Not only did they avoid substance abuse, they often excelled in life. These factors have been labeled protective factors. Protective factors are defined as those factors that inoculate or protect persons and can strengthen their determination to reject or avoid substance abuse. Protective factors can inhibit self-destructive behaviors and situations that advance substance abuse. Protective factors also moderate the effects of exposure to risk.

Identifying and understanding the risk and protective factors in your community provides a solid base from which to develop the coalition prevention plan. Selecting risk factors to address is an important step in the logic model planning process. Several researchers have assembled risk and protective factor lists since the framework was first delineated by Hawkins, Catalano, et al, in *Risk and Protective Factors for Alcohol and Other Drug Problems in Adolescence and Early Adulthood: Implications for Substance Abuse Prevention* (1992). The risk and protective factors on the chart that follows on pages 8-9 are from *Science-based Practices in Substance Abuse Prevention—A Guide* (CSAP, 1998).

## Individual (Interpersonal) Risk and Protective Factors:

Individuals who feel they are not part of society or are not bound by rules or feelings of responsibility and accountability are at increased risk for substance abuse. These individuals may not perceive themselves as valuable and have lowered expectations and feelings of self-efficacy. Often these individuals associate with peers who maintain the same or similar views, which exacerbates the feelings.

*Specific individual and interpersonal risk factors include:*

- Little information on positive health behaviors and the risks of drug use
- Negative relationships with adults
- Low level of bonding to pro-social culture
- Early sexual activity/teen pregnancy
- Violence/aggression
- Risk-taking propensity/impulsivity

*Specific individual and interpersonal protective factors include:*

- Negative attitudes toward substances and substance abuse
- Social competence
- Low level of mental/emotional stress
- Sense of well-being/self-confidence
- High level of self-esteem
- Knowledge of the dangers of alcohol, tobacco and other drugs
- Positive relationships with adults

## Peer Group Risk and Protective Factors:

Association with drug using peers is one of the more consistent predictors of drug use. Even in the absence of other risk factors, peer drug use greatly increases the risk that an individual will use.

*Specific peer group risk factors include:*

- Bonding with anti-social peers
- Reinforcement of negative norms about substance use within peer group
- Gang involvement and ties to deviant peers
- Inappropriate sexual activity

*Specific peer group protective factors include:*

- Association with peers who are involved in school, recreation, service, religion or other organized activities

## Family Risk and Protective Factors:

A genetic predisposition due to a family history of drug use is not the only family risk factor that places individuals at increased risk for use of drugs. In families where the parents, adult caregivers, or other adults who influence the lives of children use or have favorable attitudes toward drug use, other risk factors are more likely to be present.

*Specific family risk factors include:*

- Family conflict/abuse
- Parental or sibling substance use

*Specific family protective factors include:*

- Consistency of parenting/family interaction
- Positive family dynamics
- Social bonding

## School Risk and Protective Factors:

The school environment has an important role in the development of health behaviors. Peer, adult, and environmental influences are present in the school that could serve as risk factors for drug using behaviors.

*Specific school risk factors include:*

- Academic failure/dropping out of school
- Truancy
- Schools norms/policies

*Specific school protective factors include:*

- School bonding
- School attendance
- Positive instructional climate
- School responsiveness to student needs

**Community Risk and Protective Factors:**
Communities may have social norms (attitudes and policies), communicated through social practices or law enforcement patterns, that indicate a positive or negative perceptions of drug use.

*Specific community risk factors include:*

- Community acceptance of substance abuse
- Convenient access to alcohol, drugs and/or tobacco
- Latchkey status/lack of monitoring for many youth

*Community protective factors include:*

- Availability of constructive recreation
- Existence of widely supported community prevention efforts

**Societal/Environmental Risk and Protective Factors:**
Community standards, policies and attitudes influence attitudes and behaviors relative to substance abuse. Changes in these factors can affect norms, availability, and, ultimately, use of alcohol, tobacco, and other drugs.

*Specific societal/environmental risk factors include:*

- Low retail prices of alcohol, drugs, or tobacco
- Exposure to mass media messages that support substance abuse

*Specific societal/environmental protective factors include:*

- Enforcement of minimum purchase laws
- Media literacy and counter-drug advertising

| | Individual | Peer Association |
|---|---|---|
| Risk Factors | • Rebelliousness<br>• Friends who engage in the problem behavior<br>• Favorable attitudes about the problem behavior<br>• Early initiation of the problem behavior<br>• Negative relationships with adults<br>• Risk taking propensity/impulsivity | • Association with delinquent peers who use or value dangerous substances<br>• Association with peers who reject mainstream activities and pursuits<br>• Susceptibility to negative peer pressure<br>• Strong external locus of control |
| Protective Factors | • Opportunities for prosocial involvement<br>• Rewards/recognition for prosocial involvement<br>• Healthy beliefs and clear standards for behavior<br>• Positive sense of self<br>• Negative attitudes about drugs<br>• Positive relationships with adults | • Association with peers who are involved in school, recreation, service, religion or other organized activities |

| Family Environment | School Related | Community Environment | Society Related |
|---|---|---|---|
| • Family history of high-risk behavior<br>• Family management problems<br>• Family conflict<br>• Parental attitudes and involvement in the problem behavior | • Early and persistent antisocial behavior<br>• Academic failure beginning in elementary school<br>• Low commitment to school | • Availability of drugs<br>• Community laws, norms favorable toward drug use<br>• Extreme economic and social deprivation<br>• Transition and mobility<br>• Low neighborhood attachment and community disorganization | • Impoverishment<br>• Unemployment and underemployment<br>• Discrimination<br>• Pro drug-use messages in the media |
| • Bonding<br>• Healthy beliefs and clear standards for behavior<br>• High parental expectations<br>• A sense of basic trust<br>• Positive family dynamics | • Opportunities for prosocial involvement<br>• Rewards/recognition for prosocial involvement<br>• Healthy beliefs and clear standards for behavior<br>• Caring and support from teachers and staff<br>• Positive instructional climate | • Opportunities for participation as active members of the community<br>• Decreasing substance accessibility<br>• Cultural norms that set high expectations for youth<br>• Social networks and support systems within the community | • Media literacy (resistance to pro-use messages)<br>• Decreased accessibility<br>• Increased pricing through taxation<br>• Raised purchasing age and enforcement<br>• Stricter driving-while-under-the-influence laws |

**An understanding of the public health model and the risk and protective factor framework is essential for effective planning in prevention. The next section outlines the logic model, which integrates the theory and practice as discussed thus far.**

# The Logic Model Framework: Planning for Success

Recent funding opportunities for coalitions call for the use of a logic model to guide planning efforts. A logic model is a guide to strategic planning that identifies the links between goals, objectives, activities, and outcomes. The logic model represents an evaluative process that helps coalitions organize their activities to achieve the best possible outcomes.

Specific steps in the logic model will be described in greater detail in Chapter 4. However, the basic steps are listed below.

1. Identify long-range goals.
2. Assess community risk and protective factors.
3. Identify baseline data indicators.
4. Select desired outcomes (objectives) linked to the risk and protective factors.
5. Select strategies [preferably a science-based program(s)] and implement: the action plan.
6. Measure immediate and intermediate indicators.
7. Measure long-range outcomes.

A logic model with these elements can serve as a vehicle for developing consensus among coalition members regarding the direction, structure, and function of the coalition. A logic model also serves as a tool to develop core hypotheses or relationships between known risk factors, their specific context in the community, and identification of possible solutions. Finally, a logic model can enable a coalition to develop a measurement framework as a critical first step toward development of a proactive evaluation strategy. A coalition can use data generated from a logic model-driven framework to evaluate the efficacy of interventions and plan for the success of future interventions.

Developing a logic model need not be difficult. A logic model requires that the conceptual map—the underlying factors that contribute to a specific substance abuse problem—be theoretically accurate. Guidance will be offered in Chapter 4 on how to collect the most meaningful data and use it effectively.

A logic model is a living document that should change as the community conditions change. Additional guidance will be offered on how to collect the most meaningful data in Chapter 4 on strategic planning. However, successful coalitions have found the following sources as excellent resources for community level data on substance abuse and related problems. Coalitions should consult the appropriate agencies in their communities as they develop their logic model. (See Appendices for a schematic of the Logic Model.)

Coalitions that conduct yearly reviews of their planning process and logic model find it a critical part of the evaluation process, which is, after all, an ongoing and iterative process. If immediate (process) and intermediate (taken at the conclusion of each component of your intervention) measures show that your objectives are not being met, it is time to examine the logic model through re-evaluation of your original risk and protective factors.

# Summary/Conclusion

The challenges of developing your coalition are formidable, but not insurmountable. An understanding of prevention theory and its impact on prevention program selection and implementation can help you achieve your goals. Coalition leaders, prevention specialists, volunteers, and others involved with the coalition are encouraged to consult available training and technical assistance resources and the prevention science literature to become more familiar with this body of knowledge. A community coalition that involves all sectors of the community, uses the public health model to guide its activity, and uses the risk and protective factors framework to identify the outcomes it seeks will be on track to plan its programming for maximum success.

# Resources

Ammerman, R. T., Ott, P. J., & Tarter, R. E. (Eds.). (1999). *Prevention and societal impact of drug and alcohol abuse.* New Jersey: Lawrence Erlbaum Associates Publishers.

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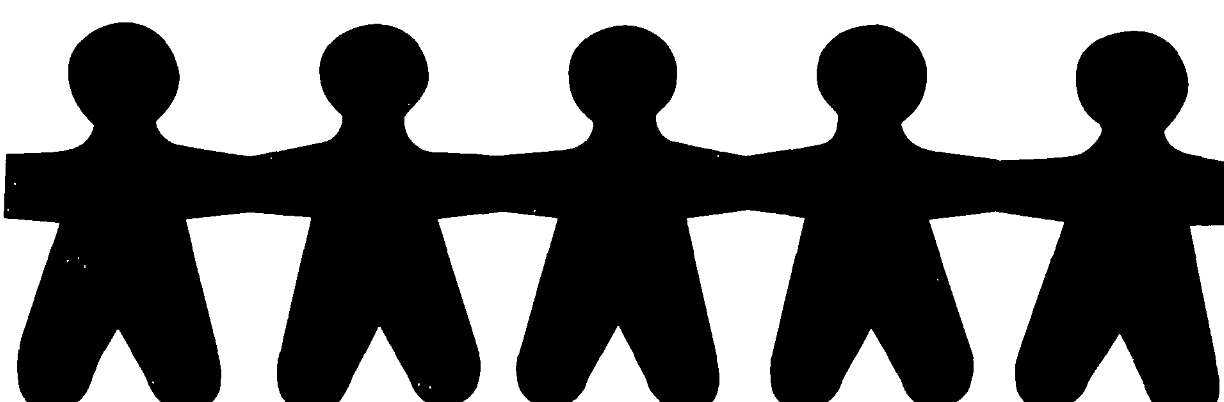
# Chapter Two

## Establishing a Coalition



- Coalition Characteristics
- Stages of Community Mobilization
- Coalition Development
- Meeting Facilitation



# Characteristics of Community Coalitions

As we enter the 21st century, problem solving has shifted from an emphasis on national government and global solutions to a greater focus on neighborhoods and regional approaches. This shift represents a more inclusive approach and thus is perfectly suited to the development of community coalitions, which promote collaboration and engage all sectors of the community in the solution of community-based problems.

While there are many definitions of a coalition in the substance abuse literature, and no one definition fits every community, there are certainly broad similarities. In fact, the definition of a successful coalition often has as much to do with whom the coalition represents as it does with the scope of the work performed. For instance:

- The application materials for the Drug-Free Communities Support Program suggests that effective coalitions have diverse, multi-sector, multi-system representation to achieve the goals of reducing substance abuse and strengthening community collaboration.
- A more functional approach defines a coalition as "an organization of individuals representing diverse organizations, factions, or constituencies who agree to work together to achieve a common goal (Feighery and Rogers, 1989)."
- Community Anti-Drug Coalitions of America (CADCA), a non-profit association that represents substance abuse coalitions nationwide, defines coalition as:

  "A formal arrangement for collaboration between groups or sectors of a community, in which each group retains its identity, but all agree to work together toward a common goal of building a safe, healthy, and drug-free community."

The common and significant element these definitions share is the commitment of individuals and groups to working together—shared purpose and shared group identity. This shared purpose and group identity requires that a coalition, like any other community-based organization, mobilize its resources, examine/develop its structure, and plan for action. Each stage of development will be addressed in this section.

# The Stages of Community Mobilization

**Coming together is a beginning; keeping together is progress; working together is success.**
**— Henry Ford**

Community mobilization demands a commitment to action that will lead to an overall improvement in the health and well-being of the community. As the Henry Ford quote suggests, the community mobilization experience follows a specific process that begins with the concern of community members, proceeds through the articulation of a vision and mission, the formulation of a strategic plan, implementation of action steps that are designed to bring about community change, and, finally, analysis and evaluation of results that lead to strategy adjustments and future success.

The process of community organization requires the support of concerned and committed individuals who represent all facets of the community, responsive and capable organizations, and a sense of community purpose that can be widely accepted by the community. It is important to assess the mobilization capacity of the community during the early stages of coalition development. It may be that the capacity is not present to develop a substance abuse prevention coalition at this time; it may be that steps can be taken to enhance the community's mobilization capacity.

The National Institute on Drug Abuse (NIDA) identifies mobilization capacity as a key element in assessing a community's overall readiness for implementing substance abuse prevention programs. In a 1997 publication, *Drug Abuse Prevention and Community Readiness: Training Facilitators Manual*, NIDA outlines the evolutionary stages of coalition development. They include:

**Tolerance**
Substance abuse may exist in a community; however, in order for a community coalition to form, it may require an intolerable level of substance abuse or a tragic and compelling event to generate the public will to address the issue. Some believe that there will always be substance abuse in a community and that some level is acceptable. Finding your community's tolerance level is an important first stage to coalition mobilization.

**Denial**
There are communities whose residents maintain there is no drug problem present in their community. These are the hardest communities in which to generate support for a coalition. Some communities have successfully addressed denial by engaging individuals in efforts to prevent the problem from ever occurring in the community. The insidious nature of substance abuse in a community is an important "reality check" for some individuals.

**Awareness**
Once the problem has begun to reveal itself in a community, it is important for the coalition to leverage this awareness and provide specific information on how the issue is impacting the community. Often the evidence that is seen is only the tip of the iceberg and should encourage the community to conduct more comprehensive assessments to determine the true scope and nature of the problem in the community.

**Pre-planning**
Awareness can help some in the community to think about strategies and ways to address the problem. Most often the individuals who develop an in-depth awareness of the substance abuse problem in the community emerge as the founding or convening leaders of the coalition effort. Their contribution can encourage others in the community to become involved to support the development and launching of a coalition.

**Preparation**
Moving from pre-planning to preparation requires an individual or organization to examine their commitment to becoming part of the solution and begin formalizing how that commitment could be made operational in the community.

**Initiation**
Implementing activities and moving forward to meet goals and objectives established are important features of the initiation stage. The coalition and its members have numerous opportunities in this stage to learn and demonstrate how their unique contribution can facilitate solutions to substance abuse problems in the community.

**Institutionalization**
Moving beyond program and service delivery that is time-limited or grant-dependent to having a coalition that is a vital and necessary part of the community is the institutionalization phase. Coalitions that are at this stage are an integral part of community planning and deemed a critical partner in the community-building and community-development process.

**Expansion**
Many coalitions begin addressing their substance abuse prevention specifically but find that in order to effectively address the range of substance abuse problems in the community, they must also consider substance abuse treatment, housing, childcare, economic development, policymaking, and education as important priorities for action. Determining how to expand and grow while maintaining a focus on the organization's mission is critical at this stage.

**Professionalism**
The substance abuse prevention field has made great strides in becoming recognized as a unique discipline. Efforts must continue at the community level to establish the coalition, its staff, and volunteers as helping professionals with unique and important roles in the development of the community.

Community mobilization demands a commitment to action that will lead to an overall improvement in the health and well being of the community.

# Mobilization Guidelines

Coalitions are not effective and efficient overnight. They need sufficient time and flexibility to develop a sense of identity, a strategic plan, a membership base, funding resources, and an evaluation process. Moreover, many challenges exist to making coalitions work effectively. For example, collaboration is *not* always easy. Later in this chapter, a step-by-step guide will outline how to start a coalition. First, however, here are some overall mobilization guidelines:

a. Clearly define your purpose and goals.

b. Be inclusive.

c. Involve ordinary citizens.

d. Encourage democratic decisionmaking.

e. Communicate regularly.

f. Provide opportunities for action, successes, and celebration.

g. Identify and build leadership.

Following is a more detailed discussion of why these guidelines are important:

**a. Clearly define your purpose and goals**
Building a successful coalition begins with a clear vision. A shared mission and goals that incorporates the interests of everyone at the table is critical to a coalition's success, as it will keep everyone focused on the same agenda.

**b. Be inclusive**
There are three groups who need particular attention as you consider who should be invited to coalition membership: key community stakeholders, individuals who are most affected by this issue, and people from typically disenfranchised populations.

- *Key stakeholders*
  It is important to include persons of influence from all sectors of the community. Such individuals are well positioned to soften the resistance and barriers to coalition efforts. These are the individuals who can also make sure that activities involving community resources get accomplished; that the coalition's message is communicated; and that financial resources are mobilized.

- *Individuals most affected by the issue*
  People experiencing substance abuse-related problems, such as high-risk youth, their parents/guardians, people in recovery, those with HIV/AIDS, and others should also be recruited for coalition membership. By involving those most affected, coalition efforts will be better informed about problems and barriers to solving those problems, as well as privy to practical solutions from people who have "been there."

- *Traditionally disenfranchised populations.*
  People of color, people from low socio-economic groups, and other minorities should be actively recruited for coalition membership. Their advice and participation should be a constant. Although initial discussions may reflect quite divergent viewpoints vis à vis substance abuse prevention, middle ground agreed upon by all is the critical starting point for coalition work. Coalition leaders can then "push from the middle" toward both ends.

**c. Involve ordinary citizens**
Include both individuals who are community residents and those individuals who represent groups within your community, such as business, labor, education, and faith. Be sure to reach out to youth, parents, people in recovery, and interested citizens.

**d. Encourage democratic decisionmaking**
The way decisions get made by your coalition sends a powerful message about the values of your coalition. It is critical to establish a structure to ensure that the leadership and committee members are accountable to the coalition as a whole. There are various democratic decisionmaking processes available to you—from *Robert's Rules of Order* to simple consensus. Different stakeholders will feel comfortable with different processes. Be sure to use a decision-making process that is comfortable to all.

**e. Communicate regularly**
Coalition and community members need to hear about the coalition's work on a regular basis. Develop a strategy (e.g., newsletter, fax, neighborhood visits, E-mail, a newspaper column, etc.) and a schedule for keeping everyone informed. Keep in mind that how you communicate might influence who has access to information (e.g., not everyone has E-mail). Moreover, differing levels of access to information can create tension in a coalition.

**f. Provide opportunities for action, successes, and celebration**
Concrete results early in your coalition's development will lead to support from members and the community. Begin with realistic strategies that can be accomplished in the short term. Be sure to take time out to celebrate the coalition's achievements with its membership, participants and the community. Recognition events acknowledging the support and hard work of staff and volunteers can motivate and engender continued support.

**g. Identify and build leadership**
As coalitions have evolved and grown over the years, so have the needs of the individuals who lead those coalitions. Many coalitions begin under the inspired and dedicated leadership of one or a few people. In order to lead sustainable substance abuse prevention efforts, coalitions need to foster an atmosphere in which new leaders can emerge and continue the work.

# Steps to Developing a Coalition

Coalitions form at the local level when grassroots groups seek safety or power in numbers. They may form when opportunities for new funding arise or cutbacks necessitate cooperation or consolidation. The basic idea is that "working together can move us forward." CADCA has identified steps to follow in the initial stages of coalition development to facilitate the collaboration process. These steps are listed below and discussed in greater detail on the following pages. A checklist for each step will help you follow each step to completion.

**Steps to Forming a Community Coalition:**

1. Get a small group of people together.
2. Define the problem and its impact on the community.
3. Identify key stakeholders.
4. Convene a first meeting.
5. Begin the process of strategic planning.

## STEP 1.
## Get a small group of people together

This meeting can be quite small—perhaps just a handful of people who have come together over concern about a specific incident or what appears to be a growing incidence of substance abuse. You will want to discuss the problem from several perspectives, identify the stakeholders who need to be involved and the resources available for launching a coalition, and set the date for the next meeting.

*Checklist for Step 1:*

__ Identify specific events that have recently heightened awareness of the problem within your community.

__ Develop a list of individuals and groups who are affected by the coalition's main issue: substance abuse.

__ Target existing and potential resources for launching the effort.

__ Set up the next meeting.

### Sharing Perspectives

At the first few meetings of the coalition, various perspectives about the causes of drug use and how to solve the problem will be shared. The coalition conveners need to facilitate discussion that allows everyone to be heard respectfully, while framing the comments to help in the formation of problem statements and, ultimately, a vision for the community.

Substance abuse affects everyone, in every family, in every community, and in a number of very different ways. For example, there are those who believe this is exclusively an issue of crime and punishment. Perhaps they lost a close friend or relative to a drunken driving crash. Perhaps a family member was victimized by an addict seeking money to buy drugs.

At the other end of the continuum are those who see this problem of substance abuse exclusively as a health issue rather than of people engaged in a criminal activity that needs to be punished. There are also many people with attitudes that fall between these two extremes. This is why it is important to use the public health model, which looks at the intent of both.

## STEP 2.
## Define the presenting problem and its impact on the community

In order to begin to address the problem of substance abuse in a community, it is essential to know the scope and nature of the presenting problem in the community: Who is using drugs? What kinds of drugs are being used? Has there been a recent increase or decrease in drug abuse? Was the change caused by a community event? What are the specific negative effects felt by the community due to drug use? Has an event occurred that has brought more attention to this issue? Answering these questions is a part of the first step in addressing drug use in your community.

During the strategic planning phase, the coalition will become involved in very specific data collection activities with the goal of targeting resources and problems to meet your community's needs. At this preliminary stage you will want to collect only minimal data from school, police, and health departments, and county or local substance abuse agencies to give your stakeholders in your first coalition meeting a short presentation on the overall problems that the coalition is going to examine.

*Checklist for Step 2:*

___ Define the problem as you think it exists.

___ Collect any available data on the problem from schools, police, health departments, and other data sources.

___ Prepare a fact sheet for distribution at your first meeting.

## STEP 3.
## Identify key stakeholders

Now that the drug abuse problem in your community has begun to be defined, the coalition organizers should have a better sense of what the coalition is confronting. Selecting those individuals and groups to help accomplish the mission is a vitally important component of coalition development. This is such an important step that the entire next chapter has been devoted to it. The discussion here is just an overview.

This list of individuals, agencies, and organizations is the coalition's resource for defining the problem and also the primary lead in establishing a coalition of committed and affected individuals. Coalitions need to involve:

- People most affected by the problem,
- Representatives from each sector of the community,
- Diverse cultural and ethnic groups,
- People with influence in the community, and
- People who control and/or have access to the resources in the community.

Answering the following questions will help bring together a dynamic group of people who can help confront the drug problem.

- In assessing the community's needs, was a specific area uncovered that needs to be focused on with greater intensity?
- Is the target population youth? If so, parents, youth, coaches, teachers, school administrators, youth-servicing representatives, family members, and other individuals who have a vested interested in the target population should be involved.

- Are there specific geographic areas that need to be given more attention than others? Are there community leaders from the particular area involved in the coalition?
- Finally, who makes things happen in your community? These are among the first people who need to be engaged in this effort. The key leadership of the community MUST be involved to make the coalition a success. Those handling the initial contact of these individuals should do their homework. Knowing the position of key leaders on this issue before they are contacted facilitates preparation of a convincing argument that they should contribute to the efforts of the coalition.

*Checklist for Step 3:*

___ Develop a list of groups currently working on the issue, as well as a list of which groups will benefit from coalition activities.

___ Make sure organization representatives that you invite to the coalition meetings have decision-making power.

___ Be sure that the coalition has the involvement of key community leaders and their representatives.

## STEP 4. Convene the first coalition meeting

As a practical matter, schedule the first meeting in a recognizable neighborhood facility such as a recreation center, library, school, or church. Promote attendance at the meeting at least two weeks before the date and offer childcare.

The time and place of the first meeting are important. You should set the time and place depending on where the stakeholders in your community typically meet. For example, in rural towns and rural communities there is usually a neighborhood restaurant where the local stakeholders can meet for breakfast. This restaurant may have a group room where the community coalition can have its first meeting.

Some communities may want to meet in the evening over potluck. Food is always an important ingredient for first meetings!

The stakeholders need to be invited by letter at least three weeks before the meeting. The letterhead and signature need to be of a major community leader whom people recognize. This person may serve as honorary chairperson.

The letter of invitation should contain three paragraphs: paragraph one states the name of the coalition, the purpose of the meeting, place, time, and a

### Meeting Facilitation Tips

Much of the work of coalitions is done in meetings and other public venues. Given the inordinate amount of time spent in meetings, it is important that attention be given to making the meeting experience productive and engaging. Meetings are designed for decisionmaking and progress reports. Meetings work best when the process clearly reveals that decisions belong to all coalition members, when there is focus and attention given to the overall mission and vision of the coalition, and when the progress reports clearly demonstrate growth and development of the coalition. Below are tips on how to enhance the efficiency of coalition meetings:

- Divide agenda items among coalition members so that responsibility for an effective meeting is shared.
- Share suggestions, ideas, or alternatives when the meeting is not progressing as planned.
- Be sure to keep the agenda moving.
- Observe process, notice changes in the mood or temperament of the group, and adjust the meeting tempo if needed.
- Appoint an assertive timekeeper!

one-hour agenda. In this first paragraph, also mention other convenience items, such as parking and food.

The second paragraph of the letter states that the person has been identified as a leader in the community, and their presence is critical. Urge them not to send a designee.

The third paragraph stresses the importance of the event, reiterates the importance of this individual's presence and provides the name of a person and a phone number for responses. The deadlines for RSVPs should be the day before the meeting.

This letter is followed up by a personal phone call three days before the event.

On the day of the meeting, the convener(s) should be there early to make sure everything is prepared for the meeting. The honorary chairperson should be at the door to greet people and network before the meeting begins.

Make sure there is a sign-in sheet giving name, address, E-mail and phone number. The facilitator should be someone who can keep the pace of the meeting moving, will remain focused on the meeting objectives, can act as mediator in case of controversy, and will treat everyone in attendance with respect.

The second meeting needs to follow within a month of the first meeting. Announce the date, time, and place at the first meeting.

At the second meeting you may wish to institute a meeting format to follow for all future meetings. The format may include the chairperson's reading of the minutes, brief training session, strategic planning exercise, subcommittee reports, and other new or recurring items. This will demonstrate that the coalition values their time and input.

*Checklist for Step 4:*

___ Have convenient meeting times and places been selected?

___ Have decision-making procedures been instituted that include:
- consensus,
- democratic voting,
- working consensus,
- organizational vetoes, and
- weighted decisions?

___ Have letters been mailed and phone calls assigned for follow-up?

___ Is the meeting location accessible by public and private transportation resources?

___ Is childcare, food, and parking available?

## STEP 5
## Begin the process of strategic planning

The strategic planning process, which is described in Chapter 4, starts with appointment of a strategic planning committee. The strategic planning committee has a huge job before it and members should be clear about the time commitment they are making by agreeing to serve. The committee will initiate the process of needs and assets assessment that will reveal risk and protective factors (see Chapter 1) that contribute to the presenting substance abuse problem. It examines what activities need to be in place to ameliorate the risk factors and bolster the protective factors. It identifies resources to make sure these activities can happen. It identifies the sectors of the community that can take responsibility for these activities and sets in place the measurement mechanism—the evaluation process to measure the outcomes of these activities.

Finally, the strategic planning committee sets up the calendar for annual review and rewriting of the long-term strategic plan.

*Checklist for Step 5:*

___ Has the purpose of the strategic planning committee been established?

___ Have the rules of participation been delineated (i.e., commitment, time, and responsibilities)?

___ Has a process been established and a calendar set not only for the initial strategic plan but also for those in future years?

___ Have resources been identified and made available to the committee?

## Conclusion

Successful coalitions are started by committed groups of people who actively seek a diverse group of people to join them in a task that is well defined, well organized, and well managed. People who get involved will stay involved as long as they feel useful and get a sense of accomplishment from their contribution. A well-articulated strategic plan in which the members of the coalition see movement and positive outcomes will go far to attract and keep coalition members.

Never lose sight of the fact that changing and organizing a community takes time, effort, and perseverance. But the rewards are worth it!

# Elements of Successful Coalitions

## From *Lessons from the Field: Community Coalitions as Catalysts for Change*

**Community Anti-Drug Coalitions of America, in cooperation with the Annie E. Casey Foundation, conducted a study in 1999 of substance abuse coalitions that had been deemed effective. The following elements were often present in the eight coalitions studied:**

**Mission Statement**
The mission statement clarifies coalition goals both to members as well as the larger community, potential partners, and funding sources.

**Understanding of Community**
An in-depth understanding of the community, its assets, and its needs is of critical importance to coalitions. A needs assessment can be valuable in the endeavor, as can the personal knowledge of long-time community members.

**Strategic Planning**
Often created at a retreat, and often including the perspective of many constituencies, the strategic plan charts a course for the coalition over a given time period.

**Purposeful Decisions**
Coalitions should be able to clearly articulate their rationale for being involved in service brokering, service providing, and/or advocacy.

**Organizational Structure**
Coalitions benefit from a defined organization structure that is understood by all staff members and volunteers. A lead agency, which takes responsibility for some of the coalition's administrative tasks, can ease some of the organizational burden on the coalition itself.

**Diversified and Relevant Funding**
In order to truly sustain and advance the coalition, funding must be mission-specific and appropriate to coalition goals. It is also important to have diversified funding, which guards against funding cuts and brings additional partners into the coalition process. Funding can include in-kind donations (matching funds or donated services) as well as monetary grants.

**Leadership**
Strong, sustained leadership is critical to the success of a coalition. This ensures that essential relationships have time to develop and grow with the organization.

**Volunteers**
Volunteers are critical to the success of a coalition. In order to attract and retain volunteers, it is necessary for them to understand their value to the organization and to feel that they are part of a winning team.

**Representative Membership and Staff**
A coalition whose staff members and volunteers represent the diversity of its area will have greater success in involving, motivating, and empowering its community.

**Diverse Partners**
The greater the diversity among a coalition's partners, the greater its ability to think and act in creative and innovative ways.

**Clear Expectations**
Staff members and volunteers alike respond positively to concrete expectations.

**Access to Community Leaders**
In order to effect change, it is helpful for coalitions to have access to community leaders and decision-makers.

**Up-to-Date Technology**
Coalitions can use technology to their benefit in many ways, including accessing current research, communicating with volunteers, training staff members, and identifying new sources of funding.

**Communication**
Coalitions must create avenues for communication with all of their constituents, including partners, volunteers, the local community, funding sources, local businesses, and civil officials.

**Professional Development Opportunities**
Staff members, board of trustee members, and volunteers value and benefit from opportunities to expand their knowledge and network through professional development opportunities.

**Evaluation**
Evaluations, particularly those that include measurable outcomes, are critical for an important reason: They enable the coalition to understand whether it should continue or redirect its efforts.

*Editor's note: The final version of this report can be accessed via CADCA's Web site at www.CADCA.org.*

# Resources

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# Chapter Three

## Building Your Coalition Infrastructure

- Membership Development
- Recruitment Steps
- Volunteer Participation
- Coalition Roles
- Conflict Management

# Membership Development

As discussed in Chapters 1 and 2, the membership of a successful coalition must reflect all sectors of a community. This includes key stakeholders (persons of influence); individuals most affected by the issue (such as high-risk youth, their parents/guardians, people in recovery, those with HIV/AIDS); and traditionally disenfranchised populations (ethnic/racial or cultural minorities).

But there is another important area of representation to consider as membership development is undertaken, and that is the area of diversity. Coalition staff and members, leadership within the committees, and the board of directors should reflect the cultural diversity of the community and the target populations as well. This is not an easy task and is often considered late in the coalition development process. Effective coalition leaders must facilitate communication among the members to bring to light the specific issues and concerns regarding diversity. Specifically, the coalition and coalition members, both as groups and the individuals representing those groups, should be encouraged to:

- Become aware of cultural values, attitudes, definitions, and cultural indicators in general and substance abuse in particular in the community,
- Be sensitive to reactions and biases to other cultures,
- Sponsor multicultural events to foster cross-cultural relationships within the coalition and the community,
- Seek support and guidance from indigenous coalition members to appropriately adapt prevention strategies to make them relevant to different cultures.

**All of the following groups should be represented in a coalition:**

- Youth
- Parents
- Business community
- Media
- Schools: public, private and parochial
- Youth-serving organizations
- Institutions of higher learning
- Law enforcement agencies
- Religious or fraternal organization
- Civic and volunteer groups
- Health care professionals
- State, local, or tribal governmental agencies

Effective coalitions must actively seek ways to promote diversity. Below are some suggested activities to promote diversity within your coalition:

- Promote a climate of acceptance within the coalition.
- Establish open communication among all members.
- Strive to gain other's trust, but do not resent it if you do not get it right away.
- Anticipate diversity, and avoid stereotypes by sex, age, ethnicity, socioeconomic status, religion, and other social or artificial categories.
- Avoid assumptions about where people come from; let them tell you instead.
- Prepare for the fact that children accompany family everywhere with members of some cultural groups, as well as with families who do not have childcare options due to economic limitations.
- Respect the values, beliefs, rights, and practices of others in your coalition.
- Learn to appreciate the richness of diversity as an asset rather than a hindrance to communication.

# Planning for Recruitment

Understanding what motivates people to become involved in the coalition effort is the first step to recruitment planning. Once you determine what encourages and hinders participation, you can begin to strategize and identify meaningful ways to engage community stakeholders. However, prior to implementing a plan and securing new support for the coalition, it is important to consider how the coalition can provide meaningful and important roles for potential members. Gillian Kaye, in Meredith Winkler's *Community Organizing and Community Building for Health* (1997), describes "The Six R's of Participation," listed below, which might be considered as an important planning step in the recruitment process. Community coalitions can be successful when they meet the following needs of potential members:

**Recognition**
People want to be recognized for their involvement and leadership in the coalition effort. It is important to be recognized, initially by fellow coalition members and then by members of other organizations. Coalition leaders must seek out opportunities to recognize the contribution of all coalition members.

**Respect**
Coalition members bring their own unique perspectives and experiences to the collaboration. Coalitions must respect these perspectives and experiences. Demonstrating the value of the coalition member's time and energies by making a special effort to accommodate his or her needs also shows that the coalition respects the contribution made by each coalition member.

**Role**
People need a viable and important reason for becoming involved in a coalition. They need to clearly see how their participation fills a unique and meaningful role in the coalition. Appreciating the unique contribution of each coalition member is an important step to motivating coalition members to get and stay involved.

**Relationship**
Coalitions are organized networks built on relationships between members. Often a personal invitation is the impetus for new members to be recruited into the coalition. Through its relationships with the community, a coalition can draw people in a broad issue that affects the entire community.

**Reward**
Coalitions attract new members when the rewards or benefits outweigh the costs. Identification of the range of rewards that appeal to the diverse, multisector community that will be involved with the Drug Free Communities Support Program implementation can greatly enhance recruitment efforts.

**Results**
A coalition that can demonstrate its value and effectiveness in the community will attract people and resources to support the effort. Make an effort to highlight the results achieved by the coalition effort consistently, using multiple sources to reach potential members.

# Recruitment Steps

Develop a plan based on the following steps, and the coalition's recruitment effort will be well underway. Keep in mind that your membership will comprise other organizations and groups, as well as individuals representing these groups, and the community-at-large, for the skills they bring to the coalition.

The coalition should consider if individuals with particular skills and/or expertise are needed to complete specific tasks.

**STEP 1:**
**Identify why members are needed?**
Does the coalition need members who represent specific groups in the community or those who can rally support for the coalition? Identifying why new members are needed can aid new members in quickly finding their role in the coalition. The coalition should consider if individuals with particular skills and/or expertise are needed to complete specific tasks, such as working on the annual fundraising event, serving on the financial committee, or helping with communications and public relations. Make sure that the member organizations send representatives with those needed skills.

**STEP 2:**
**Determine how many members are needed?**
Does the coalition need the support and leadership of two or ten organizations to complete desired tasks? Nothing is more discouraging for new members than to volunteer their time and potential effort, then realize that there are not enough tasks or too many people assigned to complete the tasks.

**STEP 3:**
**Decide what kind of members are needed?**
Usually, it is not a good idea to put people into categories or assumed roles, but, in this case, determining what kind of members the coalition needs will be helpful. Typical roles include facilitators, leaders, educators, collaborators, consultants, planners, and advocates. Some group representatives will be leaders, and some will not. Some members will bring specific skills and roles in the community, while others will bring time and energy. Decide what your coalition needs so that it will be easier to focus your search for new members and organizations.

# Tips for Recruiting Members

There are specific ways to recruit new members to the coalition. Reaching out to community stakeholders is an ongoing process. While each of the individual methods listed below has merit, when used together, they can strategically position a coalition to have an extremely productive recruitment effort.

Community mapping is a viable option that reveals the human and capital resources available in the community that can be leveraged to support the coalition. Gather a core group of community leaders to begin mapping these resources.

**The major reason people do not volunteer is simply that they were never asked!**

- Conduct town meetings to educate the public about the goals and objectives of the coalition and enlist their support for the overall effort.
- Conduct mailings to known critical partners in this effort representing the organizations and systems that need to be represented in the coalition.
- Attend other community meetings and take information about the coalition effort and its potential impact on the community. Ask to present specific ways people might become involved in the coalition.
- Launch a public relations/public affairs campaign, with the support of local media, to inform the community about the activities of the coalitions and solicit their support.
- Ask friends and colleagues to help identify other potential members of the coalition.
- Ask coalition members to identify potential members to invite to the collaboration.

**STEP 4:**
**Delegate who will find new members**
Recruiting new members is a big task; therefore, it is recommended that this responsibility be delegated to a team of current members of the coalition. Assign different recruitment tasks to different people. After your coalition identifies specific people to recruit, make sure that everyone understands who will contact the potential member and when and how they will be contacted.

**STEP 5:**
**List where new members will be found**
Every time a meeting is held, the participants should ask, "Who else needs to be here? What sectors of the community are not represented? Who knows how to find that person?" Make a list of all the people and organizations the coalition would like to participate and begin to think strategically about where they can be located. Try to identify people and organizations in the community that can assist the coalition with this task.

**STEP 6:**
**Set up a timetalbe for recruitment**
Coalitions should constantly think of avenues for expanding participation. However, sometimes it may prove easier to recruit new members when the coalition is rallying around a particular project or concern. It can be particularly important to recruit new members when the coalition is taking on a new project. Developing a timeline and setting goals for recruiting new members that coincides with other coalition activities is recommended.

**STEP 7:**
**Develop an engaging messages for attracting new members**
Develop a compelling and engaging message about why potential members should join the coalition. When trying to convince community stakeholders to join the effort, remember they need to feel that they are going to receive something out of it—satisfaction, new skills, a safer neighborhood.

**STEP 8:**
**Develop in advance responses to "yes," "no," and "maybe"**
If you get a yes, then great! Make sure you are able to expound the relevance of them being an organization member and what is expected of them. A maybe is good, too. Keep in touch with those who say maybe for they may join later or may become involved in a different capacity than you had previously expected. If the response is a no, try to understand if it means "no" or "not now."

## Ways to Recognize Volunteers

Smile...Greet by name...Remember birthdays...Plan annual volunteer recognition ceremonies...Provide a nursery or a babysitter...Keep challenging them...Provide ongoing training...Help them develop confidence...Honor their preferences... Enlist to train new volunteers...Recommend to perspective employers...Create pleasant surroundings...Provide scholarships to volunteer conferences or workshops...Utilize as consultants...Write personal thank-you notes...Nominate for volunteer awards...Match volunteers' skills to the job...Maintain a safe working environment...Provide an adequate orientation... Be familiar with the details of their assignment.

# Enhancing Volunteer Participation

Once the coalition has secured a commitment of membership/participation, some consideration should be given to keeping members productive and engaged. For example, be sure to state expectations up front. Provide each volunteer with a job description. Let them know how much time is required for each task. Do not waste time in meetings or discussions that are not pertinent to their role in the coalition. Here are some more suggestions:

- *Delegate tasks.* Many people are reluctant to volunteer because they fear the time commitment. Do not perpetuate this fear by overloading one person with a huge assignment. Instead, break down projects into smaller, more manageable pieces that can be completed by several members.
- *Make the experience meaningful.* Allow volunteers to take ownership of projects. Give them the freedom to be creative. Upon a project's completion, be sure to provide public and personal recognition for good work—through awards, newsletter articles, verbal kudos at meetings, thank-you gifts, etc.
- *Create networking opportunities.* In forming committees, strive for balance—not only in terms of personality types, but also professional interests. Let prospective committee members know with whom they will be serving. Allow enough time for networking and discussion.
- *Provide technical assistance.* Let volunteers know whom they can call with questions or concerns. Communicate with them regularly providing information they can use in their coalition member/volunteer capacity.
- *Make the work enjoyable.* Work to maintain a collegial, supportive, and safe environment for coalition members and volunteers. Show appreciation for their time by providing meals and other comforts when the work takes them away from their families/homes during meal times.
- *Establish a regular time and place for meetings.* Attendance is likely to be improved if members have adequate advance notice of meeting dates. Consider an annual calendar with this information.

# Roles Within the Coalition

The successful coalition must attract quality members, staff, board, and leaders. The previous sections have discussed how to recruit these members and how to get them engaged in the coalition's work. There are some formal roles that will need to be filled at a very early stage of the coalition's development to ensure that the work load is delegated appropriately. The lead organizer or executive director is a critical position to fill early in the coalition's development timeline. A coalition must have a person at the helm who is dedicated to the mission and is willing to devote considerable time and energy to the effort. Developing a board of directors is also a vital task.

Listed on the following pages are actual job descriptions from coalitions across the country that may serve as a guide for the development of role descriptions for your coalition effort. The examples include job/role description for:

- Board of Directors
- Lead Organizer/Executive Director
- Treasurer
- Fund-raising Coordinator
- Communications Director
- Volunteer Recruitment Coordinator

A coalition must have a person at the helm who is dedicated to the mission.

## Board of Directors

There are many ways a board of directors can strengthen the coalition. The board and its individual members can perform some of the tasks of the coalition, support the coalition's work in the community, convince others of the coalition's credibility and expertise, contribute particular skills and talents, advise the organization on legal or other matters, and help with fund-raising. A board is required if the coalition intends to gain nonprofit status and secure public funding.

**A Board of Directors can help the coalition grow and attain credibility**

- *Funding, traditional structure, and non-profit status*
  One of the most important reasons to develop a board is that most funders want to deal with organizations that have traditional structures. They simply will not give money to an organization without a board. By the same token, many funders, especially local, State, or Federal government bodies, will not consider an organization without nonprofit status. It is preferred that your organization has a board of directors in place before obtaining nonprofit status.

- *Gaining connections with the community*
  A carefully chosen board can give an organization visibility and connections in the community and can marshal community resources and support for the activities of the organization. If it is a good representation of all sectors of the community—different income groups, ages, parts of town, jobs, races, and so on—the board can also help the organization understand what the community really wants and needs. When more people in the community know someone connected with an organization, they are much more likely to think well of it and give it their support.

- *Building organization credibility*
  Often the hardest challenge for a new organization is to convince a community that it is a legitimate group that is knowledgeable and credible. Having a board that includes respected members of the community, whether because of their jobs, community standing, or personal qualities, can go a long way toward gaining respect for your coalition and its mission.

- *Attracting good people to your organization and your cause*
  While people may not always be willing simply to volunteer for an organization, they often can be persuaded to serve on a board, because being asked is a mark of respect. Being invited to join a board is flattering and indicates that someone thinks your opinion is important. It is more difficult to resist volunteering in that situation and an organization may be able to attract board members who might not be willing to work for it as volunteers.

- *Using board members' talents and skills*
  Does the coalition need legal advice? Accounting? A media campaign? Someone who will be honest about what the community is likely to think about an idea? The board can be an important source of specific skills that the coalition needs. Many professionals serve on boards to contribute their services to an organization that they believe in. Community residents are important as board members because they may be able to better gauge what will work in the community.

- *Maintaining organizational balance*
  Sometimes a particular individual or small group can dominate the workings of an organization. This can interfere with the development of the coalition if others feel that their ideas are ignored. A board can help, through its supervision of the director and oversight of the coalition's work, to assure that balance is maintained.

- *Safeguarding the mission.*
  It is a reality that staff members and coalition directors come and go. It takes a while to learn the vision and mission of an organization. The board can act as the institutional memory for

your coalition. It can make sure that the mission and goals of the organization are not neglected and continue to be pursued. It can be the link, through its records and the longevity of some of its members, to those who founded the organization and to its original purpose.

**Potential obstacles to board participation**
Coalition members and leaders often blame lack of participation on lack of motivation, especially if past efforts to increase participation have not been successful. It may seem that people do not care about the drug problem or realize how it affects them personally. In reality, there are many factors that keep people from participating. Some of these barriers are material, others cultural or historical. It is important to understand what is getting in the way of participation by those affected by the problem. Obstacles include:

- Poor community communication
- Limited experience concerning issue(s)
- History of being ignored
- Resistant leaders
- Sense of powerlessness
- Lack of time
- Lack of transportation
- Lack of childcare
- Overcommitted leaders or citizens
- Too many people and personalities involved
- Poor organization of existing action groups
- History of unproductive meetings
- Preconceptions within your organization

It is appropriate to transform some of the obstacles into solutions for increasing participation.

**Motivating coalition board members**
After the barriers have been examined with an open mind, it is appropriate to transform some of the obstacles into solutions for increasing participation. The following are ways to get people motivated and involved with organizations:

- Recognize individual participants' strengths and community strengths.
- Recognize personal, professional, and moral needs of the participants.
- Recognize that groups are made up of individuals.
- Ask people individually for their participation.
- Match individual talents, skills, knowledge, and experience with the group's needs.
- Make participants feel welcome by listening to them and taking them seriously.
- Show appreciation for each person's contributions.
- Know yourself.
- Remain organized.
- Define and clarify the plans, goals, and purposes of the group early.
- Establish good communication within the group and among different groups.
- Use meeting time wisely.
- Above all, keep a positive attitude.

## Lead Organizer/Executive Director

**General description**
The lead organizer/executive director oversees the administration of the coalition, which includes implementing grant programs and assisting in the development of local community-based efforts. The lead organizer/executive director reports to the board and is supervised by the executive committee. This position requires a high level of skill in fund-raising, fiscal management, personnel management, program implementation, and the development of community, corporate, and foundation partnerships.

**Required skills**
Candidates should have a high level of maturity and an ability to interact with a diverse mixture of people and perform various job tasks. This position requires the ability to work well with media and public relations groups, law enforcement, community leaders, governmental agencies, and elected officials. Applicants should have a basic understanding of addictions and problems associated with drug and alcohol abuse.

This position also requires the development of a strong working relationship with coalition members and an ability to relate to youth. Knowledge of community resources, public, private and governmental agencies, foundation and organizations, and how these function in relation to the organization are required. Candidates should have effective written and verbal communication skills and excellent personnel management skills. Candidates must be self-motivated and mission-driven, with an ability to accept guidance and direction from the board. This position requires strong human relations and community agency networking skills. An advanced degree in human or health services is typically required for this position.

## Treasurer

**General description**
The treasurer is legally responsible for the finances of the organization. This person is often a lawyer, an accountant, or a banker and works closely with the staff member who handles the organization's finances. In small coalitions the treasurer may actually manage financial operations. The treasurer will work with the staff to develop financial reporting formats and schedules. This person will review financial reports, analyze data, support coalition audit processes, and make projections of financial trends. The treasurer should act as a "sounding board" for the executive director on financial management issues.

**Required skills**
The candidate must be well organized, independent, and capable of handling a broad range of accounting responsibilities. An advanced degree in accounting and three to five years industry or public accounting experience with at least two years supervisory experience are required to serve in this role. Experience with nonprofit organizations and proficiency in accounting is preferred

# Staff Positions:

**The following positions will likely be paid staff positions, although a volunteer may also have the time, skills, and expertise to serve in these capacities.**

## Fund-raising Coordinator

**General description**

The position requires an energetic individual whose primary responsibility will be to develop relationships with donors and foundations and gain financial support to meet the goals and objectives of the organization. This person will work with the executive director, board of directors, coalition members, and volunteers to identify, cultivate, and solicit new donors and provide in-house support for giving campaigns. The selected candidate will assume leadership in planning and creating a comprehensive development program with special focus on developing grant revenue streams and increasing coalition membership. This is a senior leadership position requiring previous experience in public relations and fundraising, as well as knowledge of leading edge trends in the field of drug prevention. This person will be primarily responsible for local fundraising and grant solicitations as well as identifying, cultivating, soliciting, and closing major gifts.

**Required skills:**

Requires excellent communication skills and experience (minimum two years) in senior staff fundraising role. Major events and foundation experience is particularly useful given the current role of foundations as primary funding agent for local activity in drug prevention. Applicants generally have a bachelor's degree or equivalent and have demonstrated background in marketing and communication skills. Considerable skill and experience is needed in grant and proposal writing.

## Communications Director

**General description**

This position requires an experienced, mission-oriented, high-energy professional to manage the coalition's public relations and communications efforts. This person will report directly to the executive director and will work closely with staff and coalition members and volunteers to design media and outreach campaigns for the coalition and the health-related issues of the community. This is a senior leadership position requiring previous experience in public relations, as well as knowledge of leading edge trends in the field of drug prevention and related issues.

**Required skills**

Requires at least five years experience in communications or public relations with a proven track record in media relations, special events, and community relations. Excellent communication skills and local media contacts required. Candidates should have an advanced degree in journalism, English, communications, or a related field. Applicants should possess excellent writing, editing, and proofreading skills; project management capabilities and knowledge of graphic design and print publications. Computer literacy in this position is required. Familiarity with fundraising principles is also desirable.

## Volunteer Recruitment Coordinator

**General description**
The volunteer recruitment coordinator will identify, cultivate, and solicit new and existing volunteers to support the coalition's programs and goals. The volunteer coordinator will work directly with volunteers and will represent the coalition to diverse constituencies to cultivate a volunteer pool that is representative of the community.

**Required skills**
Candidates should have the ability to forge relationships and work effectively with a variety of high level volunteers, donors, staff, and coalition leaders. Enthusiasm and motivational skills are needed as are excellent writing and speaking skills. At least two years of experience working with volunteers is required.

# Handling Group and Organizational Conflict

One of the findings of the Center for Substance Abuse Prevention's (CSAP) *Community Partnership Evaluation* (1999) is that community coalitions that measure lower rates of substance abuse also are able to handle conflict wisely.

In any group, conflict is inevitable because different people have different viewpoints. There also may be conflict as members attempt to reach consensus on how the coalition should address its goals. Should the action plan concentrate on direct intervention or social/cultural changes? Should the problems of cigarette smoking and alcohol abuse be part of the mission or just illicit drug use?

Since conflict is a natural part of the process, the goal of the group is not to eliminate the conflict, but to view it as essentially healthy. It can be healthy if it is resolved and handled constructively. The coalition is enhanced when members explore their differences; new ideas and new directions result. Usually when conflict arises and is dealt with openly, people are stimulated to creativity, alternatives are considered, better ideas are generated, and a better course of action results. A candid and open dialogue about the issues causing conflict within the coalition can expand its ability to manage it and create innovative solutions that may be applicable when the coalition experiences conflict with a non-member.

**The coalition is enhanced when members explore their differences; new ideas and new directions result.**

Conflict resolution efforts require two components: (1) knowledge of the principles of conflict resolution and (2) a problem-solving process. The conflict resolution process enables each person or group to identify their own needs and interests and to work cooperatively to find solutions to meet those needs and interests. Each process gives support and direction to the collaborative effort, assisting the parties to stay focused on the problem, rather than on each other, and find a mutually acceptable resolution.

## Principles of Conflict Resolution

- *Separate people from the problem.*
  Every problem involves both substantive issues and relationship issues. By separating these issues, individuals come to see themselves as working side by side, attacking the problem, not each other.

- *Focus on interests, not positions.*
  Understanding the difference between positions and interests is crucial to problem-solving. Interest, not positions, defines the problem. Positions are something that individuals decide they want; interests are the underlying motivations behind the positions they take.

- *Invest options for mutual gain.*
  Disputants focus on identifying options for resolving the conflict without the pressure of reaching a decision. A brainstorming process is used to invent a wide range of options that advance shared interest. The key ground rule to brainstorming is to postpone criticism and evaluation of the ideas being generated. To broaden their options, those in dispute think about the problem in a different way and build upon the ideas presented.

- *Use objective criteria.*
  Using objective criteria ensures that the agreement reflects some fair standard instead of the arbitrary will of either side. Using objective criteria means that neither party needs to give in to the other; rather, they can defer to a fair solution. Objective criteria are determined by disputants based on fair standards and procedures.

## The Process of Conflict Resolution

There are five common ways to deal with organizational conflict. Three (denial/withdrawal, suppression, and power/dominance) have proven to be ineffective but, unfortunately, are still commonly used. The other two—compromise or negotiation and integration or collaboration—are more suitable for community coalitions. Neither style will apply to all situations or all personalities. The group's leader must consider when to apply which style and with whom. Learning about the alternative means of handling conflict gives a wider choice of activities to employ in any given situation.

**Leadership styles inappropriate for community organizing**

1. *Denial or withdrawal*
   With this approach, a person attempts to deal with conflict by denying that it exists. He simply refuses to acknowledge it. Usually, however, the conflict does not go away. It grows to the point where it becomes all but unmanageable.

2. *Suppression or smoothing over*
   "We run a happy ship here." "Nice people don't fight." A person using suppression plays down differences and does not recognize the positive aspects of handling the conflict openly. Again, the source of the conflict rarely goes away. Suppression may, however, be employed when it is more important to preserve a relationship than to deal with an insignificant issue through conflict.

3. *Power or dominance*
   Power is often used to settle differences. The source of the power may be vested in one's authority or position or may take the form of a majority (as in voting) or a persuasive minority. Power strategies, however, result in winners and losers. Losers do not support a final decision in the same way that winners do.

**Leadership styles appropriate for community organizing**

4. *Compromise or negotiation*
Compromise needs to be handled carefully in order to be effective. Bargaining and negotiation may cause each side to assume an inflated position, since they are both aware that they are going to have to "give a little" and want to buffer the loss. The compromise solution may also suffer from a lack of commitment from either side. Yet there are times when compromise makes sense, as when resources are limited or it is necessary to forestall a win-lose situation. Taking compromise a step further to collaboration often represents the ideal solution.

5. *Integration or collaboration*
This approach requires that all parties to the conflict recognize the abilities and expertise of the others. Each individual's position is well prepared, but the emphasis of the group is on trying to solve the problems at hand, rather than on defending particular positions or factions. Everyone fully expects to modify his original views as the group's work progresses. Ultimately the group's best thinking will emerge. The assumption is that the whole of the group effort exceeds the sum of the individual members' contributions. If this approach is allowed to become an either/or settlement, or if the conflict is resolved—due to lack of money, time, or understanding—by a form of power, the final decision will suffer accordingly.

Knowing different methods of dealing with conflict is useful to anyone working with groups or organizations. It is the role of the coalition leader to act as mediator and resolve conflict within the group. Centering attention on the initial reasons why the disputants joined that coalition and the critical work of the coalition can facilitate an effective conflict resolution process. Although initial discussions may indicate two distinct ends of the ideological spectrum, remember that middle ground always exists and can be found.

**In a conflict, an effective coalition leader:**

- Uses empathy in order to see the situation as the other side sees it,
- Evaluates self to recognize personal needs and fears,
- Suspends judgment and blame and facilitates a free exchange of views,
- Learns the language of communicating effectively,
- Expresses emotion in non-aggressive, non-inflammatory ways,
- Exercises self-control in order not to react to the emotional outbursts of others,
- Reframes emotionally charged statements into neutral, less emotional terms,
- Contemplates the issue from a variety of perspectives,
- Approaches the problem-solving task as a mutual pursuit of possibilities,
- Brainstorms with the group to create, elaborate, and enhance a variety of options,
- Utilizes critical thinking skills,
- Recognizes existing criteria and makes it explicit to the group,
- Establishes objective criteria, and
- Applies the criteria as the basis for choosing options.

# Worksheet
# Evaluating the "Six R's of Participation" in Your Coalition

The exercises on this and the following pages should be done with your entire coalition planning team or any task force or committee that your coalition has whose mission is membership recruitment and community involvement.

**Instructions:**
In your teams or as a group, look at each of the "Six R's" of participation listed and using the worksheet, write down the answers to the following questions.

a. What do we do now?
b. What could we be doing?

When the exercise is finished, compare answers as a group. Consider answers as recommendations for changes the coalition needs to make in its current operations.

| | What We Do Now | What Could We Be Doing? |
|---|---|---|
| **1. Recognition**<br>a.<br>b. | | |
| **2. Respect**<br>a.<br>b. | | |
| **3. Role**<br>a.<br>b. | | |
| **4. Relationship**<br>a.<br>b. | | |
| **5. Reward**<br>a.<br>b. | | |
| **6. Results**<br>a.<br>b. | | |

# Worksheet
# Community Stakeholder Outreach Tool

Examine the sectors of the community that should participate in the coalition: youth; parents; business community; media; schools; youth-serving organizations; law enforcement agencies; religious or fraternal organizations, civic and volunteer groups; health care professionals; state, local, or tribal governmental agencies with an expertise in the field of substance abuse; and other organizations involved in reducing substance abuse. Determine which sectors the coalition needs to target and begin to locate the community stakeholders that represent the sectors. Use the form below to record deliberations and recommendations.

---

**Target Community**

**Formal Organizations/Institutions:** **Leader(s):**

**Informal Groups/**
**Other Sectors of the Community:** **Leader(s):**

**Resources Needed for Outreach Effort**

# Worksheet
# Small Group Problem Solving/Conflict Resolution

**Instructions:**
This exercise presents one of many ways to open the dialogue about conflict and begin brainstorming different approaches to problem solving. Begin the exercise in a large group with all participants, and then break down into small groups of at least four people each to have a fuller discussion. Try to mix people with others with whom they are not close. One way is to have people count off. The group facilitator should provide the following questions to each small group. After allowing half an hour for discussion, reconvene the full group and share answers, listing them on newsprint.

Step 1: Have the full group list conflicts that the coalition experiences.

Step 2: List ways that the coalition traditionally deals with these problems.

Step 3: In small groups, problem solve different ways that the problem(s) might have been solved.

Step 4: Small groups can discuss different options or even act them out.

Step 5: Report back on solutions. The group may decide to adopt different approaches in the future.

# Resources


Community Anti-Drug Coalitions of America (1999). *Starting Coalitions.* Alexandria, VA: Author.

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Simpson, D. *The 1977 annual handbook for group facilitators*. Rochester, NY: University Associates.

University of Kansas (2000). Community Tool Box. Online at http://ctb.lsi.ukans.edu.

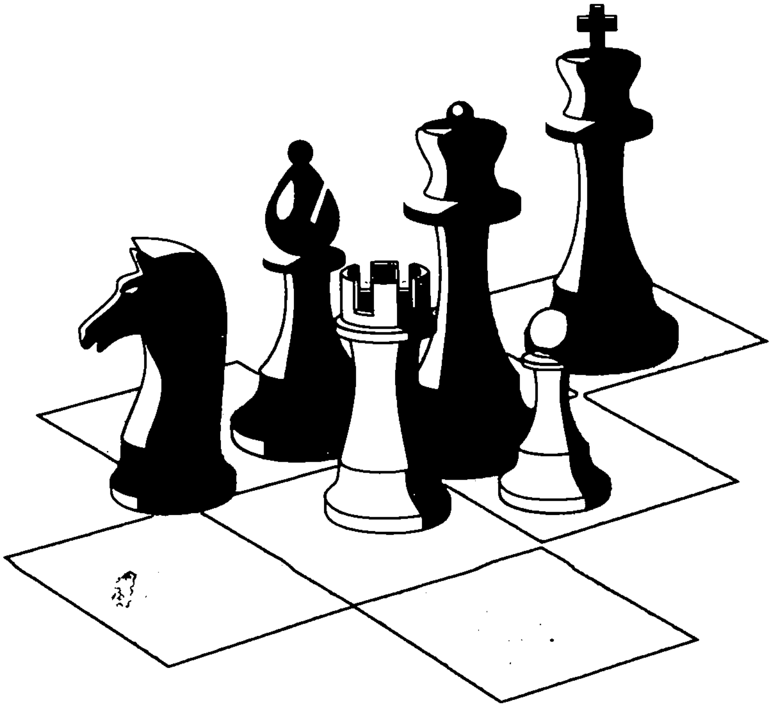
Winkler, M. ed. (1997). *Community organizing and community building for health.* New Brunswick, NJ: Rutgers University Press.

Wiseman, J. *Cultivating volunteers.*

# Chapter Four

## Developing a Strategic Plan

- Vision and Mission Statements
- Logic Model Approach
- Setting Goals & Objectives
- The Action Plan
- Measuring Results



# Introduction

Once a coalition has established its framework, by identifying and recruiting members, ensuring the representation of community stakeholders, and establishing necessary leadership roles, it is time for what might be the most crucial step in the development of the coalition: strategic planning.

Strategic planning makes it possible to carry out the mission of the coalition in an effective, orderly fashion. A good strategic plan will keep the coalition on track, help coalition members develop and implement a prevention plan that is meaningful to their community, and outline what everyone should be doing to move toward the coalition's goals. A good strategic plan will also provide a means of evaluating the coalition's progress.

Moreover, the strategic plan will provide the tools for successfully applying for the grants that will be needed to fund the coalition's work. While it may be tempting to move directly from the initial organizing and mobilizing stage to program implementation, do not short-change this important planning step on the road to success.

But first things first. Before coalition members can effectively get involved in the nuts and bolts of strategic planning—engaging in a needs and assets assessment, setting goals and objectives, deciding on activities, and so on—the coalition must develop both a vision and a mission statement.

# Overview

The strategic plan is based on well-articulated vision and mission statements developed by the coalition. These vision and mission statements then lead to the development of a set of goals, which are linked to underlying risk and protective factors revealed through the needs and assets assessment. Each goal will have a set of objectives, which are measurable and state outcomes to be accomplished within a time frame. Each of these objectives has a set of activities, which are programs that will result in the outcomes desired. Each activity will have a set of action steps that need to happen to carry out the activity.

> ***TIP:** If you want more coaching on writing vision, mission, goals, objectives, and action plans, go to the Center for Substance Abuse Prevention Web site at www.preventiondss.org. This Web site contains tools to help you write prevention strategic plans.*

# The Vision Statement

Unlike prior methods of organization planning, visioning begins with the future, not the present. It focuses on the end-state, not the means of getting there. The description of that ideal end-state is called a vision statement.

The coalition's vision statement should indicate what the group is striving to achieve. The statement stays intact until the goal is achieved or until environmental factors or the stakeholders' needs change. A vision statement should always be positive, personal, and inspirational. The vision statement paints the big picture: where the organization is now, and where it needs to be going. The statement should provide a framework for decision making. Its inspirational nature helps to develop team spirit and to empower the organization.

A vision is not a plan. A vision is knowing what you want to do. The "how to" comes later. In other words, a plan is a roadmap showing how to get from point A to point B. A vision, on the other hand, is a video depiction of your overall destination in full color. You will deal with the details—the action plan—later.

Here's what the vision statement does:

- It is a statement that says what the organization is striving to become—what is not working today.
- It describes the ultimate goal, the end state.
- It remains in place until achieved or until environmental factors and/or stakeholders' needs change.
- Its language is inspirational.

*Sample Vision Statements:*

"Our community will be clean, drug-free, and safe for our families and neighbors."

"Our community supports healthier, drug-free lives for our citizens and our families."

## Begin With the End in Mind

Before you can even begin the strategic planning process, you must address that important first step that author Peter Drucker brought to all of us: "Begin with the end in mind. Clearly, if you don't know where you are going, you won't know how to get there."

The strategic plan is the coalition's overall map, but it is the mission and vision statements that describe the big picture—the coalition's guiding philosophy. They must delineate exactly where it is the coalition wishes to be at the end the year, or the five years, or the 10 years included in the strategic plan.

# Developing the Vision and Mission Statements

## STEP I. Gathering Community Input

Before the coalition can decide upon a vision and mission, it will need to identify the issues that matter to people in the community. But how do coalition members go about this task? There are many different ways, including the following:

- *Hold public forums and focus groups.* This provides an excellent opportunity for people who are interested in addressing substance abuse issues, such as community leaders, the clergy, teachers, business leaders, and those directly or personally affected by the issue.
- *Interviews.* Conduct interviews with those individuals in leadership and service positions. An example might be local politicians, school administrators, hospital and social services staff, and law enforcement officials. Ask them about what problems or needs they believe exist in the community. Often these individuals have statistics and experiences to confirm their views. The coalition can use this data about issues if and when it applies for funding, or when recruiting community support to address the issues. This is a particularly important step in which to include those most affected by or at risk of substance abuse. It is always important to involve members from throughout the community in order to include the many diverse perspectives on the problem.
- *Conduct listening (brainstorming) sessions.* Members of the community can gather to collect people's ideas, thoughts, and opinions about what needs to happen in the community and why.

When facilitating a brainstorming session, there are some questions you can ask that might help guide individuals:

- What is the dream for the community?
- What needs to be changed?
- What kind of community do coalition members want to create?
- What does the coalition see as the community's major issues or problems?
- What does the coalition see as the community's major strengths and assets?
- What do members think should be the purpose of this coalition?
- Why should these issues be addressed?

**Rules for Brainstorming**
As with any organized event, rules are important. Brainstorming rules involve some basic social and conversational ground rules:

- Remember that everyone's ideas are valid, in spite of whether you agree or not.
- No one criticizes. The coalition exists to make positive change, not judge and ostracize people.
- Everyone participates. As difficult as this can be at times, an effective facilitator at a brainstorming session can assist in obtaining feedback from all participants.

## Suggested Work Session for Developing the Mission Statement

(See also agenda worksheet for this work session.)

Once community input has been gathered, it is time for the committee charged with developing a mission statement for the coalition to meet (Note: a similar process can be followed for developing the vision statement). When the coalition leader or planning facilitator begins meeting with the committee members, those members likely will each have a variant on the general theme of substance abuse prevention as their mission statement contribution. As members move toward agreement on the coalition's mission statement, bear in mind these points:

- It must be clear enough and short enough so it can be easily remembered.
- The message must express values and principles that everyone shares. The facilitator must make sure that by the time the mission statement is ready for approval, there is consensus among all the people in the room. This may take a lot of negotiation and compromise to achieve.

**Group Exercise 1:**
What principles are the coalition going to use for day-to-day operations? This discussion should have a clear and open process to create this list. Perhaps each person could be asked to answer the question, "What would cause you to leave the coalition?" The answer usually is a violation of a principle for that individual. The mission statement asks the question, "What brought you to this coalition? What do you want from it? What is in it for you?"

The facilitator(s) should pair people up in small groups so that "why I'm here" is listened to and heard in a way that might not happen in a large group.

**Group Exercise 2:**
One exercise that is often useful is to have the group pair off in twos to write a mission statement. Then form foursomes and do the same. Then form into groups of eight or 12 to look at the common themes and winnow them down to just one mission statement.

The mission statement is what keeps the coalition going day-to-day. It answers the questions: What is the organization going to do? To what end? For whom?

**Group Exercise 3:**
As another exercise, suggest to the group that at the end of the year a national magazine will be writing an article about the coalition. What is this article going to say? Have several people in the group write the introduction. Then think about the conclusion. It should have a celebratory tone. A year from now what will we be celebrating? What accomplishments will we be happy about?

Remember all the different points of view that are represented, which will be reflected even in the definition of words that you may think are universally understood. Take the word "prevention," for example, which likely will appear somewhere in your mission statement. To demonstrate how differently it is perceived by people in the room, write the word—PREVENTION—on the board and ask everyone present to take two minutes to write one or two word phrases to describe "prevention." Have each person share their contributions and instruct everyone to cross off phrases on their own lists that appear on no one else's. Invariably at the end, not a single phrase is left. This exercise makes the point that we must be more flexible in sharing the same picture.

**STEP 2.**
**Creating the Vision and Mission Statements:**

The time has now come for the best part of this process: actually creating vision and mission statements. Now that everyone in the coalition/committee has a clearer understanding of what he or she wants the coalition to do and why, it is time to start crafting the vision and mission statements. The notes from the above exercises, which were transferred to an easel pad during the session, should be taped around the room for reference as the brainstorming process begins.

Brainstorming key words and phrases will help you write your statements. Let your most idealistic, hopeful, positive ideas shine through during this process. Do not worry right now about what is practical and what is not. Once the brainstorming process is completed, you can evaluate the results using the criteria for the vision and mission statements.

A word both of caution and encouragement: Coalitions that receive special funding have already articulated their general goal to the grantmaker or it may be prescribed by the grantmaker. Even in these circumstances, the community should determine the ultimate vision and mission statements that advance the issues of concern to local people. Vision and mission statements that are broad in scope allow for a sense of continuity with a community's history, traditions, and broad purposes. Finally, vision and mission statements should be built to last—guiding efforts both today and tomorrow.

The vision and mission statements come to life with the development of a logic model and other critical elements of strategic planning. The next section continues the discussion of logic models from Chapter 1.

The community should determine the ultimate vision and mission statements that advance the issues of concern to local people.

# The Logic Model Approach to Coalition Strategic Planning: Planning for Results

The Logic Model is a straightforward, graphic approach to strategic planning that ensures no vital step will be overlooked, from goal setting to measuring the outcomes. It defines a planning process that allows a coalition to plan for results rather than to plan activities and "hope" for results. By identifying the desired results FIRST and then determining the activities that will be needed to bring about those results, the coalition enhances its success quotient. The model can be outlined in seven steps:

1. Identify long-range goals
2. Assess risk and protective factors
3. Identify baseline data indicators
4. Determine objectives
5. Select activities and implement the action plan
6. Measure immediate and intermediate outcomes
7. Measure long-range outcomes

The principal purpose of the logic model is to present graphically, logically, and sequentially the connections among conditions that contribute to the need for a program in a community, the activities aimed at addressing these conditions, and the outcomes expected to result from the activities. These models, which have been required of substance abuse grantees in several programs and recently by the Office of Juvenile Justice and Delinquency Programs (OJJDP) and the Office of National Drug Control Policy (ONDCP) in its Drug-Free Communities Support Program, can also play a key role in conducting evaluations of newly designed programs.

## STEP 1.
## Identify Long-Range Goals

When determining what a coalition's goals should be, consider the present situation, the ideal situation as the coalition perceives it, and the difference between the two. This will show quite vividly the work that needs to be accomplished. Think of goals as the way to explain the scope of the mission statement.

Also, consider if the goals will be intended to lead to changes in policy, perception, performance, or some or all of these. This will be important at Step 5—developing the action plan for each goal.

A goal, in general, states intent and purpose and supports the vision and mission statements. Goals should be measurable. For example, the national ONDCP goal is to "reduce substance abuse by 10 percent in two years and 50 percent in 10 years."

An objective is specific and measurable and sets a time frame. An outcome is a change in knowledge, attitudes, behaviors, or community conditions as a result of one or more prevention programs.

The early planning stage is where the time frame becomes important. Although this is a strategic plan covering possibly as long as five years of work, some of the activities will need to be accomplished within the first few months so that interest and commitment to the coalition does not dissipate. Others will take longer to achieve.

For instance, if the mission is to make the community a healthier place to live, one of the goals might be to decrease the use of substances in the community. An objective might be to delay the onset of early drug use by the youth in the community. And the first activity might be to conduct parent education classes in every elementary school.

When determining the goals, keep in mind the following criteria:

- Goals need to support the vision and mission statement.
- Goals need to be focused and easy to comprehend. Each goal should state both intent and purpose.
- Goals need to be achievable. Reducing substance abuse in your community within the time frame of the plan is an achievable goal; eliminating substance abuse is not.

The specific goals of the Drug-Free Communities Support Program are to reduce substance abuse and strengthen collaboration within the community. While you may decide to add additional goals as part of your long-range planning, at least two of your goals would reflect the Drug-Free Communities Support Program guidelines if the coalition plans to submit a grant request. For more information on this program, see the Appendix.

*Sample goals*

**GOAL I**
Reduce substance abuse among our community's youth by reducing risk factors and increasing protective factors.

**GOAL II**
Maintain and strengthen the level of collaboration among individuals, families, governments, agencies, institutions, businesses, and communities in our city in order to support Coalition efforts to reduce substance abuse among youth and, over time, among adults.

*Checklist for Step 1:*

- Are the goals clear and concise?
- Are they consistent with the vision and mission statements?
- Are the goals manageable?

## STEP 2.
## Assess Community Risk and Protective Factors

After you write your goals, each goal needs a set of objectives. These objectives together form intermediary steps that lead to the accomplishment of the goal. In substance abuse prevention, the intermediary steps that we use are based on risk and protective factors that are related (correlated) to substance abuse. How do we uncover which risk factors and which protective factors are pertinent to our target population? We do this through a needs and assets assessment.

An important part of the strategic planning process is to delineate the reality of the substance abuse problem in your particular community. This is sometimes called situational analysis or environmental scanning. These terms simply mean that your group or committee needs to identify the problems that exist because of the substance abuse problem in your community, the barriers and/or solutions to these problems, and the resources needed to bring about change. As discussed earlier, the apparent or surface problem may not be the problem that you will address with your intervention. Rather, you will seek to uncover the risk factors that prompt the substance abuse behaviors in your target population and the protective factors that keep their peers away from substance abuse.

But first, the situational analysis:

- Identify the community's most significant strengths and then discuss how to build on those strengths.
- Identify barriers. This includes the hidden agendas that people have that will get in the way. What are the prevailing thoughts of the community? What are people thinking about relative to drugs and alcohol? For example, why do we lock people up for doing drugs yet insurance pays for alcohol treatment? This is always an illuminating discussion. It is important to capture a real grassroots view about this issue. For the most

part you want to conduct this as dialogue in small groups so everyone gets a chance to participate.

- Identify the challenges. This includes internal challenges—things that we have some control over—as well as external challenges. The latter are those things over which we have no immediate control, such as state laws, budgets, and technology.
- Introduce the overall environmental context. Stress the interconnectedness and interdependence of all sectors of the community. Ask social service workers to articulate how law enforcement personnel can assist them and vice versa. Create a climate of trust and respect to encourage candid dialogue.

Basically what is being done here is beginning a community needs assessment that will provide the coalition with the information it needs to set goals, objectives, and desired outcomes according to the unique circumstance of this community. Some tools that might be used in this exercise include community forums and hearings, case studies, social indicators, service provider surveys, key informant surveys, and target population surveys. A complete needs assessment will determine:

- What substances are being used in the community, by whom and in which situations,
- What other programs and services and resources already exist to address alcohol and other drug problems,
- What are the risk factors that are present in your community, and
- What are the protective factors in your community.

Once you have identified precisely who is using drugs and in what situations, you can begin to develop an assessment of the risk and protective factors for those individuals.

For example, perhaps your needs and assets assessment has identified a core group of middle school students who are beginning to be truant from school, have been seen smoking, and are believed to be experimenting with marijuana or alcohol. An assessment of their risk factors might show that these particular students come from homes where family conflict is the norm. It might also show that these students are performing poorly at school, and are bonded more closely to their group than to adult or older teenage mentors.

Developing objectives to address these underlying factors, rather than the drug use itself, is more likely to result in successful outcomes. For example, you may want to look at risk factors such as school truancy and dropout, family communication and monitoring, and peer usage.

## STEP 3.
## Identify Baseline Data Indicators

The risk and protective factors revealed in the above step can be measured by indicators. Many states and communities already collect this data. To see if this data is available for your state or community, access online sources such as www.preventiondss.org and go to the state section and then click on your state. A list of risk and protective factors with their indicators and interventions can be found in the Appendix.

An indicator is a measure of a risk or a protective factor. Each risk and protective factor may have several indicators. When these indicators are measured, they give us a benchmark or baseline from which to measure the success of your programs. For instance, a simple baseline measurement of the risk factor of truancy would be attendance records for the past school year.

The new community coalition needs to establish these baselines so it can track and evaluate interventions in their community across time. Conducting these surveys is critical to a coalition's success. If your coalition has not attempted a process for identification and utilization of community indicators, start now. The process can involve members of the coalition, coalition staff, and an "outside" researcher who has experience in indicator research. One way to involve local universities in the coalition's efforts is to seek research assistance, perhaps on a pro bono basis.

Examples of needs assessment data include:

- Number of school dropouts
- Number of school truancy occurrences
- Number of juvenile drug arrests
- Number of adult drug arrests
- Number of single nighttime vehicular fatalities involving alcohol
- Number of drug-exposed infants
- Number of DUI/DWI arrests/convictions
- Number of positive pre-employment drug screens
- Number of teens reporting non-use of alcohol and drugs
- Number of jobs for teens
- Number of mentoring programs
- Number of recreational programs
- Number of job skills training programs for women leaving treatment
- Number of employee assistance programs

Each of these indicators can be tied to a risk or protective factor. To decide which data sources would be most appropriate, a committee should be formed comprised of individuals willing to spend time reviewing research and practice literature, and phoning agencies and individuals to gather data. Be sure an "outside" researcher is also on the committee to lend expertise to the process.

There are many resources available for securing baseline data, among them:

- drug abuse treatment and intervention agencies
- hospitals and hospital associations
- state, county and local health agencies and departments
- school and community surveys
- education offices and departments
- state and county crime and forensic laboratories
- agencies and departments that collect and report arrest data
- HIV outreach programs
- drug hotlines.

For more information on where to secure data, a good handbook is the third document in CADCA's *Practical Theorist* series: "Assessing Drug Abuse Within and Across Communities."

**Choosing the Indicators**

Of course, no single measure can provide an adequate picture of the drug and alcohol problem in a local community. Refer to the Appendix and make a list of all potential community indicators that refer to the risk and protective factors that you want to impact. The list that is generated may yield 20 or more measures that could be used. Once you have this list, assess its usefulness based on the following:

- *Validity*. (Does the indicator measure what it says it does?) For example, to what extent does the number of DUI arrests measure the prevalence of drinking while driving as opposed to the aggressive enforcement of local laws by police?
- *Reliability*. Is the number of DUI arrests reported the same way each year or are there variances that could affect the totals?
- *Obtainability*. Are the data easily collected? Will the agency tracking the data release them?
- *Cost*. Will the agency provide the data for a fee? Is that fee reasonable and affordable to the coalition?
- *Relevance*. Does the community think that the indicator provides an accurate representation of a major aspect of the community's alcohol/ drug problem?
- *Stability*. How long has the data been gathered? It is useful to use indicators that have been collected for at least five years in order to ascertain if trends have formed.

Combine what the research says about community indicators, the qualitative interviews of key local stakeholders and coalition membership, and the results of ranking the potential indicators by the criteria described above. Group the chosen indicators by risk and protective factors (see Appendix).

**Collecting the Data**

Much data is available to a community coalition through databases available to them from State or county sources. It would save a lot of time if the evaluation committee goes first to these State and local databases. Links to these databases are available at www.preventiondss.org. While it is tempting to solicit the aid of graduate students, volunteers, and others to make the countless phone calls and mail inquires to secure data, try to involve coalition members as much as possible. Not only will your coalition have a higher degree of "buy-in" and have educated members regarding the process of indicator research, but their involvement will establish personal relationships with those agencies furnishing the data. Do not underestimate the value of such relationships for the coalition in the future.

The statistical reports referred to above will provide you with a type of data called "archival." These data are useful for generating an overall portrait of substance abuse in your community, but to secure the specific risk and protective factors you may have to use surveys, one-on-one interviews, and other forms of qualitative data sources.

**Tracking the Indicators**

Plot the trends of the chosen indicators periodically. Some communities are beginning to collect very precise indicator data for the purposes of targeting specific populations and geographic locations with prevention programming.

For example, using the Monitoring the Future (MTF) study data, coalitions can determine the trends in drug use among youth nationally and use that as a benchmark to determine youth drug use in their own community. With similar community level data, using the MTF study survey instruments as a model, community coalitions can gather community level data to enable them to design interventions targeted at emerging problems.

Recent data from MTF indicates that ecstasy use is increasing among 8th, 10th and 12th graders. Coalitions can conduct targeted assessments to determine if this is also a problem in their community. This type of trend data not only enables coalitions to implement targeted activities, but it also enables them to compare substance abuse trend data against other community indicators and data to:

- Identify any patterns in the rates. Did drug use go up as enforcement activities decreased?
- Identify geographic location of the event in the community (by police beat, census tract, ZIP codes, addresses).
- Identify type of setting. Are youth using drugs on or around school grounds; home; elsewhere?

The results of the MTF study make it possible to determine the extent of drug and alcohol problems by age-range, gender, etc.

**Uses of Indicators**

*Evaluation*
Comprehensive evaluation systems contribute to helping a coalition understand and improve coalition functioning and outcomes. Measures used for that purpose include process measures, outcome measures, and impact measures. Impact measures include the intervention and community change brought about by a coalition. However, be careful about making a direct comparison between coalition action and community indicators. For example, if a community is targeting middle school use and attitudes on drugs, changes in DUI data will not be relevant.

*Raising Public Awareness*
Perhaps the best use of community indicators is to educate the public at-large regarding the extent and severity of substance use and abuse in the local community. Confronting community denial that there is a problem is an ongoing battle. Indicator findings can be released at press conferences. At the very least a coalition can "market" the findings to the community at-large by publishing a community indicator brochure or study. Some coalitions do an excellent job of marketing the indicators yearly. These coalitions publish simple brochures that present, in graph form, the trends for given indicators in a comparison-making format. The brochures are not designed to provide precise quantitative measurements, but are intended to provide the reader with a sense of the severity and breadth of the local drug/alcohol problem. For each indicator, the name, address, and phone of the contact agency that collects and interprets that particular indicator are included. Anyone interested in a researcher's expertise thereby has access to it. This type of simple approach to a complex topic is the most useful to coalitions as they inform the general public and policy makers.

*Credibility*
Grant applications require coalitions to document that the anti-drug efforts of the organization are worthy of support. To receive consideration from funders, coalitions must show that a problem exists, the extent of the problem in the community, and the coalition's capacity to address the problem. Evidence of the coalition's effectiveness is also a useful tool in recruiting new members, who may be more willing to commit their time and resources to an effective organization, even if it is a fledgling one.

**Types of Measures**

*Process Measures*
These measures explain what you did:
- the type of activity
- the number of people
- the number of sessions
- the length of each session
- the number of times you repeated the activity
- the number of people involved
- the demographics
- the number of sectors represented

*Outcomes Measures*
These measure the indicators for each risk and protective factor after an activity has taken place. They may include intermediary measures such as results from pre- and post-tests. They may measure changes in knowledge, attitudes, and behavior. The outcome measures measure the result of your activity in behavioral terms.

*Impact Measures*
These measure the final reductions in substance abuse in terms of the general population and refer back to the original goal. The impact measures show how you have progressed toward your goal.

## STEP 4.
## Determine Objectives

Coalition objectives identify risk and protective factors that you will address to achieve your goal. The objectives must be:

- Related to the goals
- Measurable
- Consistent with local data/indicators
- Achievable
- Part of the coalition's timeline

An objective is specific, measurable, and sets a time frame. For example: "To reduce the number of youth in our community who smoke at age 10 from 15 percent to 10 percent in two years." Such objectives decide who or what will change in your community, how much the change will be, what timeframe is allotted for the change to occur, and who will effect the change. (The specific activities for bringing about the change are the coalition's actual program design and are discussed in Step 5.) The outcome or result of the objective is a change in knowledge, attitudes, behaviors, or community conditions as a result of one or more prevention programs.

When setting your objectives, go back to the mission statement. What are the areas that are key to achieving the mission this year? What are the key result areas for this year? Get the group started on brainstorming but make clear at the outset that the list ultimately will be limited to six to 10 objectives or key results.

This will necessitate deciding what is not going to get done. There are only 24 hours to the day. The goal is to identify those key result areas for which you have support. The coalition needs four to six key result areas in a year. It is difficult to maintain focus if there are more. Remember that everyone in the room has other responsibilities and commitments.

## Group Exercise: How to narrow it down

If it is a small group around a table, try the "fist to five" exercise. This allows you to weight your vote, do it quickly, and come to a conclusion. People vote either a full hand—five fingers—which means "full support and I'll lead" or just two fingers —"full support, but I cannot be a leader." A fist is a block — "no way." Every fist requires an explanation.

If you have a larger group, do values voting. Put each idea on a separate sheet on the wall. Each participant is given a specific number of votes, which can be allocated any way they want. They can allocate all of their votes to one issue or divide them among the issues. As you are milling round the room spending your votes, you can lobby others to your point of view. You'll have a visual process going up.

More tips for developing the list of key objectives:

- If the decision needs must be spread wider than the people in the room, put the list of objectives on paper with a simple 1 to 5 scale and circulate it to others in the community for their input. This method is one that might be used in addition to the ones listed above—either to finalize the decision or to create an opportunity for buy-in and awareness of a broader section of the community.
    - Be sure that key stakeholders in the community get a copy and an opportunity for input. Be sure potential local funders get a copy as well. These two groups absolutely must believe they're included in the process.
    - Make it an easy return process. For those who do not respond, if they are key, assign someone to call them. Certain individuals who are key to your success cannot be let off the hook.

This cements your key result areas and puts them in rank order with the most important and the most feasible at the top.

Depending on what your data indicators revealed, and the results of your other community input measurements, you may select anywhere from one to six or more objectives per goal.

## STEP 5.
## Select Activities and Implement: the Action Plan

Because it is a big job that can take several weeks, developing action plans should probably start with establishment of subcommittees, one for each goal if possible. As these subcommittees work their way through each goal and objective, selecting activities designed to bring about the desired change, they need to keep in mind several things: the financial and other community resources needed to achieve it, existing community resources they may be able to tap into, and the cooperation of elected officials, community leaders and existing organizations needed to reach the goals. Each subcommittee should establish a timeline for its work and for the achievement of its goal, and establish measures by which the goals will be measured or evaluated.

Although the strategic planning process does not include the actual implementation, it is best if the subcommittee that writes the action plan for each goal can also oversee—or at least begin—its implementation. After all, these are the people who know what the plan really says, and who have the emotional investment in bringing it to fruition. If this is the case, make this intention known to subcommittee members at the outset, so they will be aware of time commitments. If the subcommittee members are not going to be responsible for implementation, it is still important that the individual or group of individuals who WILL be responsible for implementation be noted for each activity at each point of the timeline.

For every key result area, the coalition must identify the single best activity to achieve the objective, and then set a timeline for getting that activity accomplished. Begin at the bottom to build the plan. Talk about what steps need to occur each month. Remember this is always a work in progress. Write down what is to be accomplished and the initials of the person who will be responsible for it.

Each key objective must have an action plan that includes the steps to be taken, a timeline for their accomplishment, and a list of the person or persons who will be responsible for managing these activities. The action plan prototype on the next page is an example of how this might look on paper.

The action plans, once compiled, become the workbook for the coalition staff. Because coalition staffs are usually small and unable to do all the work, much of the work should be delegated among the coalition membership. In other words, the coalition staff oversees the process, making sure all steps are on track.

The action plan steps for the key objectives in the 2nd, 3rd, 4th and 5th years probably will be less detailed than those of the first year. Do not neglect them, however, as your completed action plan with at least a five year overview, will be important for potential funders to see.

Are you finished at this point? No. Each action plan should be revisited by the appropriate task force, committee, the coalition staff, and the board annually. The coalition may find that some objectives have become politically untenable or are no longer useful to the overall goals. Consider enlarging the action plans to poster size and taping them up so that each month the staff and/or committee can revisit the results and report out progress that is being made. Take a highlighter and underscore those areas that have been successfully accomplished. By so doing, you are creating a feedback loop that gives your progress accountability, and it is a celebration each time you meet of the progress you've made.

Note: It is important to gain momentum and motivate coalition members by building in small achievement levels early-on. This is like climbing a ladder. You do not leap from the floor to the top. Load this for success with the most doable and most important up front. Also remember to take disengagement into account. You only have 24 hours a day. People still have their real jobs. Decide what can be moved to a back burner so people do not burn out. The types of people who do this work tend to be people who take on "everything." Help them hone their "refusal" skills.

## STEP 6.
## Measure Outcomes

How will you know if the coalition's activities are achieving the objectives and having an impact on the community? While it is unlikely that significant change will occur in the first year or two, over time the community indicators identified in Step 3 as being relevant for your community should show some change, all other factors being equal (as we know they are not!). Monitoring these indicators on a regular basis and graphing the results will show change over time. These are known as outcomes. Be sure to use the same list of indicators that you selected earlier in the strategic planning process. You might elicit the assistance of an evaluator from a nearby college or university who would be willing to donate time/expertise to handle the evaluation/ outcomes process.

Outcome measures are the things you stated in your objectives, such as a change in school truancy, school dropout rate, or family communication and monitoring. Your objective states your baseline and your desired outcome. Then your action steps are science-based activities that you know in the past have produced the outcome you want.

For example:

**Objective**—To increase the age of onset of alcohol use from 12.5 years to 13.7 years (10 percent increase) by the end of two years.

**Outcome**—Change in the reported age of use from baseline (12.5 years) to new outcome (13.7 years) at end of two years as measured by the community/school survey

**Activities**—To get to this outcome, activities may include:

*(1) Policy changes*, such as providing incentives and disincentives (e.g., support increased fines and more frequent crackdowns for business merchants who illegally sell alcohol to minors):

- Enactment of law that increases fines for merchants selling alcohol products to minors.
- Increased enforcement of law that increases fines for merchants selling alcohol products to minors.

*(2) Program changes*, such as providing more parent education for tweens [12.5-13.7 years] parents on monitoring and communication issues.

## STEP 7.
## Measure Long-Range Outcomes

Measuring outcomes ensures that the strategic plan is on target. The measures must be appropriate to the stated goals. If, for instance, the coalition is trying to reduce teen-age drug use, it first must have statistics on current drug use and a means for monitoring the increase or decrease at key junctures. A decision must be made as to what measures to use—drug arrests, surveys, state, or local statistics. The goals should include benchmarks for each year, so that the coalition can measure its progress along the way.

If one of the goals is to increase collaboration among community members, that data must be collected as well. What activities brought together groups in the community that may not have worked together in the past? Are there groups that are still left out of or alienated from the substance abuse prevention mission?

And the strategic plan must have a mechanism for review. If the coalition is not getting its desired outcomes, why not? Are the action plans effective? Were the goals realistic? What outside forces may have contributed to current conditions?

Consider the strategic plan a working document. Appoint a small committee to do the annual review and establish a limited number of criteria that the larger group feels will measure the effectiveness of the plan.

Even though the strategic planning process is time-consuming and sometimes tedious, it is necessary for a coalition that works.

Checklist for measuring outcomes:

- Has the committee established ways to measure each goal?
- Are the measures realistic? Is the information available?
- Does the whole strategic plan have a review process?
- Has a review committee been appointed?
- Is there a plan for disseminating—and, ideally, celebrating—the final document? A community summit or special awards banquet are two possibilities.

The steps outlined in this chapter, if conducted as described, will lead a coalition through an extensive strategic planning process. This process can also yield a document; however, please note that strategic planning is not just a document itself. Creating a vision and mission statement, creating a logic model, and conducting a strategic planning process are all active, engaging activities that can facilitate coalition success!

# Worksheet
# Writing Vision/Mission Statements

Having a clear vision statement provides the inspiration that binds the members of the coalition together in common purpose. Usually, it takes several tries to create a vision statement that fully captures the dream of the coalition. During the process of writing the vision statement make sure that it incorporates the following guidelines:

- The vision statement should capture the dream of how coalition members want their community to be.
- It needs to be concise and clear so that the message is immediately evident.
- Vision statements are positive and often contain a collage of upbeat and positive phrases such as "healthy teens" or "drug-free youth."
- The vision statement must be general; that is, it shouldn't indicate such specifics as how an organization will reach its goal. It also needs to be broad enough to attract support and not offend any group of people.
- A vision statement should be flexible. It is common ground enough so that everyone can agree with it. It is inspirational and adapts to fit changes in the community, needs, organization membership, and times. It can apply to all people in your community and stand as litmus in guiding important decisions.

WRITE THE COALITION'S VISION STATEMENT HERE

A carefully written mission statement can help organizations regain their focus and efforts, and communicate clearly what your organization is about to the community and to potential funding sources. It is the "what and the why," or specifically how your group is going to make your vision a reality. When writing a mission statement, consider the following:

- Is it clear in describing what will be accomplished and why? For example: "Our mission is to prevent adolescent pregnancy through sex education, increased access to health services, and self-esteem programs in the school."
- Is the mission statement concise? Limit the statement to one or two sentences.
- Is the statement outcome-oriented, stating a broad goal or goals that will be achieved?
- The mission statement should be inclusive of the kinds of strategies and community sectors that will be used to reach each goal.
- The mission statement should be general and flexible enough to adapt to changing times, communities, needs, and memberships.

WRITE THE COALITION'S MISSION STATEMENT HERE

# Worksheet
# Developing a Goal

**The following statements reveal some basic data from a community needs assessment. Write in two possible goals for that community coalition based on the given information.**

1. A town with six senior citizen housing sites reports an increase in the past year of resident deaths caused by mixing alcohol and medication.

2. A community with predominantly low-income minority population reveals a disproportionate level of major health problems including infant mortality, alcohol and other drug use, AIDS, teen pregnancy, and gang violence.

3. A community in which 45 percent of the residents are members of the Sioux Tribes and 15 percent are Navajo. Demographic data reveals these populations are experiencing high rates of poverty, low levels of education, and extremely high rates of alcohol abuse, especially among American Indian women.

# Worksheet
# Writing Your Goals

**Write two proposed coalition goals:**

1.

2.

- Do your goals support the vision and mission statements?
- Are they achievable?
- Are your goals focused and easy to comprehend?
- Are they challenging?

# Worksheet
# Writing Your Objectives

**Based on your funded application and your coalition goals, write two proposed objectives for each goal:**

1a.

2a.

1b.

2b.

- Are the objectives specific?
- Are they measurable?
- Are they achievable?
- Are they challenging?

# Worksheet
# Checking Your Activities: The Action Plan

**Based on the objectives on the previous tearsheet, develop a simple action plan with appropriate activities and a timeline.**

| Goals | Objectives | Activities | Timeline | Who's Responsible | Measures |
|---|---|---|---|---|---|
| | | | | | |

- Do the strategies meet the criteria?
- Do they give overall direction?
- Do they fit available resources and opportunities?
- Is there a minimum of resistance and barriers?
- Do they reach those affected?
- Do they advance the mission?

# Resources

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# Additional Resources on NonProfit Management and Development


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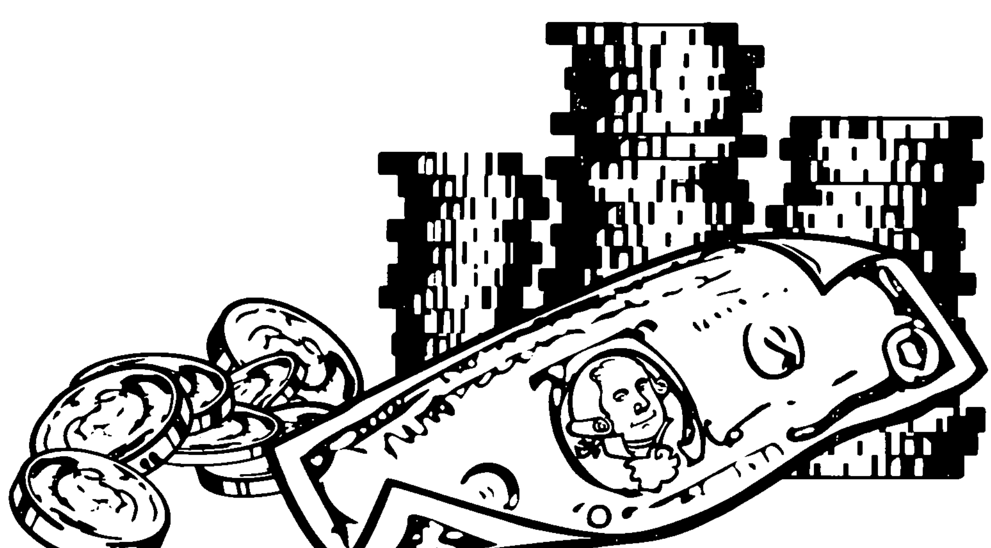
# Chapter Five

## Raising Money Within Your Community

- Financial Management Basics
- The Budget Process
- Financial System Prototype
- Creating a Fundraising Plan



# Introduction

While a community coalition can certainly accomplish much on the strength of volunteer work and in-kind contributions, substantive and sustained outcomes likely will not occur without a funding base for the coalition.

Once a board of directors is selected, a budget will need to be developed—both long-range and on an annual basis—and each activity for each objective must be tied to that budget. To be truly effective, and to conserve members' time and resources for carrying out the mission, the coalition likely will need a staff within the first year to coordinate board activities, serve as resource/clerical backup, and handle the day-to-day work that the volunteer members cannot assume. As the work of the coalition grows, the need for a paid executive director, as least part time, may also surface. These roles were covered in Chapter 3; in this chapter, we will add one more position, that of financial officer, and expand on how the board and other staff have responsibilities for the financial obligations of the coalition.

Some substance abuse prevention coalitions begin with a funding grant; others seek funding after the organizational details are completed and work toward the mission is underway. Some grantors will stipulate a minimal time period that the coalition must have been in existence before being eligible to seek funding.

While funds for coalitions have been available in the past through federal programs, recent tightening and realignment of federal budgets, and the move toward state block grants as the conduit for public funding, have meant that coalitions increasingly must turn to private funding.

This chapter will examine some basics for coalition financial management and then provide strategies for fundraising both locally and through regional and national foundations. Reference should also be made to the Drug-Free Communities Support Program established by Congress through the Drug-Free Communities Act of 1997 that is covered in the Appendix.

# Financial Management

In a non-profit organization, such as a community coalition, the responsibility for sound financial management is shared by the board and staff. Because of this responsibility, the coalition will need to expend whatever effort necessary to secure the services of an experienced financial officer. When selecting the executive director, prior experience in fiscal management, preparation of budgets, etc., should be required. A second paid position, that of chief financial officer, also should be considered.

It is likely that the funding base of the coalition will not support a paid financial officer. In that case, the coalition should look to its volunteers— especially members of the board and the executive committee — for assistance.

In fact, when determining the makeup of the board, it is important that someone with a financial management background be included to advise other board members and serve as the treasurer. Here are some other suggestions for filling the financial manager's role:

- Hire a part-time person — someone with expertise that you could not afford to hire in a more substantial role— as your book-keeper or business manager.
- Find a retired CPA who might be willing to volunteer. Ask local CPA firms about their retirees.
- Seek a middle level or, if possible, upper level financial management person from a larger, stronger non-profit.
- Seek a financial management person from a progressive corporation in your community.
- Seek a teacher of accounting/bookkeeping from a local university, college, or vocational school.
- Hire an accounting firm.
- Contact other sources for retired business people such as SCORE (Service Corps of Retired Executives) or Small Business Administration networks.
- Consider seeking in-kind contributions from a school system or corporation for financial services.

# The Budget Process

The budget process can be very difficult for the developing coalition. While the treasurer and executive director will direct much of the process, here is a checklist of steps the coalition will undertake while developing its budget:

### STEP 1:
### Establish the budget period.

The first task is to select a budget period, which need not match the calendar year (the government will accept any fiscal year for reporting purposes). However, the fiscal year and the budget year should correspond.

### STEP 2:
### Match objectives and activities to the budget year.

Evaluating outcomes will be immensely easier if the action plan is matched to the budget year. For instance, reducing the onset of smoking among middle school students by five percent during the next year would refer to the budget year. When these outcomes are being established, consider the data indicators that you are using as well. If the school survey takes place in September, and the coalitions wants to show change over the next year, a fiscal/budget year of October 1 through September 30 would be appropriate. Of course, not all data indicators will be measured at the same time so charting the indicators first and then selecting a budget year might be appropriate.

### STEP 3:
### Cost out programs.

Determine the staff time, supplies, and other resources (phone use, fax, etc.) that will be needed to carry out each element of the action plan. In the beginning, the coalition will have no historical reference by which to make these assessments; calling on the experiences of a similar organization might be warranted.

In addition to resources directly used for a program, be aware that indirect resources may also be required. For instance, if the program will require three new staff positions, plans must also be made for the hiring, training, and support of the new staff. These indirect costs might include advertising, interviewing time, training time, additional bookkeeping hours, office equipment, and so on. Larger programs and offices of necessity require more systems and support.

Estimating the cost of required resources can be facilitated by historical information, the experience of others, and research on particular items.

### STEP 4:
### Estimate anticipated revenue.

Just as expenses are planned, revenue must also be planned. Again, historical information, the experiences of others, and current considerations will form the basis for revenue estimates. Revenue from contributions, special events, and fees can often be accurately estimated by reviewing past experience and adjusting for current plans. Grants and anticipated foundation support are added here.

## STEP 5:
## Plan for cash flow and cash reserves.

In addition to planning for the revenue and expenses to support the coalition's program goals, financial resources may need to be committed to the operational objective of financial stability. For example, even if the coalition has a balanced budget, it may not receive the revenue until the end of the budget period, while its expenses are spread throughout the period. This might result in cash shortages in the middle of the budget period. By projecting cash flows through the budget period, cash flow problems can be anticipated, and solutions developed in advance.

## STEP 6:
## Balance the budget.

At any given time in the budget period, for various reasons (often linked to the long-range plan) the coalition may choose to break even, incur a deficit, or maintain a surplus. A deficit that is too large, of course, can lead to bankruptcy and a cessation of services. Too large a surplus might indicate the coalition is not pursuing its mission actively.

If a preliminary budget has been prepared, and revenue and expenses are not in the desired relationship, programs must be evaluated and adjustments made. Typically coalitions and other nonprofits find that their initial projections for revenue and expenses project an unacceptable deficit, and either additional revenue must be generated or programs must be cut back.

When reviewing revenue, it is not sufficient to simply vow to try harder next year to raise more money. A projected deficit CAN be thought of as a fundraising goal, but only if the fundraising plan itself is carefully crafted and reviewed.

If expenses need to be reduced, it is helpful to determine what each program would cost at different service levels. It may turn out that if the services delivered by Program A were cut by a third, the costs of the program would go down by one-half, making each dollar spent under the reduced program even more effective. These "economies of scale" are present in many projects; however, there may be some programs where a substantial reduction in expenses results in little reduction in services.

The coalition also may be able to find non-revenue sources to make up the deficit. If a program will accrue a direct benefit to some other community office or organization, that organization might be willing to pick up a portion of the costs.

# Coalition Financial Responsibilities

As part of the coalition's organizational functions, financial responsibilities should be incorporated into written job descriptions. Here are typical financial responsibilities for the board of directors, finance committee, treasurer or chief financial officer, and executive director.

## Board of Directors

- Wields legal responsibility for the solvency of the organization, the stewardship of its assets and its compliance with the requirements of the law.
- Participates in the development of the budget.
- Approves budgets.
- Reviews and discusses financial reports.
- Makes decisions about all significant financial management policies and contractual obligations.
- Nominates (or elects) the treasurer, and hires the executive director.

## Finance (or Executive) Committee

- Participates in the development of budgets.
- Makes budget recommendations to the board.
- Reviews and discusses financial reports.
- Discusses all significant financial management policies and contractual obligations and makes recommendations to the board.
- If appropriate, selects independent auditors and reviews their report with the board.
- Reviews and makes recommendations regarding all financial management decisions presented to the board.
- Acts as a sounding board to the executive director on financial management functions and decisions.

## Treasurer

- Leads the board and finance committee in performing financial management responsibilities.
- Teaches and interprets financial management matters for the board and finance committee.
- Has a general knowledge of, and selectively reviews, staff financial management activities.
- Works with the staff to develop financial reporting formats and schedules.
- Reviews financial reports, analyzes financial data, and makes projections of financial trends.
- Acts as a sounding board for the executive director on financial management.
- Monitors the organization's compliance with government reporting.

## Executive Director

- Assures the organization's compliance with all legal requirements.
- Operates the organization within the terms of the board-approved budget.
- Oversees all staff financial management functions.
- Participates in the development of all budgets.
- Reviews and analyzes all financial reports.
- Informs the board regularly about the organization's financial situation.
- Makes recommendations on all financial management decisions presented to the board.

# Elements of a Good Financial Management

## Essential Elements

Competent staff properly trained and supervised

- It is a critical function of the executive director to secure the right person to handle financial management and ensure the work is done properly and accurately.
- More than one person in the organization should be familiar with the financial management system.
- If the budget is small, use part-time or contract staff for bookkeeping and accounting.

**Appropriate fundamental choices**

- Carefully consider the choice of fiscal year, which often is the calendar year, but could be October 1 through September 30 or July 1 through June 30, etc.
- Carefully consider the choice of cash accounting (simpler to understand and less work) versus accrual accounting (more work and cost, greater accuracy).
- Carefully consider the choice of accounting software, should your accounting system be computerized.
- Carefully consider using "cost centers," for internal monitoring and/or internal cost accounting for external reporting.

**Conservative, complete budget**

- The budget should include both a revenue budget and an expense budget.
- The budget should also include documentation regarding the budget assumptions.

**Correct, complete accounting records**

- Regular mistakes are a sign there is a problem with the person doing your bookkeeping or with some aspect of your accounting system.
- Complete records include sufficient documentation and explanation so that no one has to rely on memory to know where revenues have come from and what they are to be applied. This also ensures that someone else can step in and handle the coalition's financial affairs, if necessary.

**Timely accurate complete financial reports with comparisons to budget**

- Timely means on a monthly basis; otherwise the reports are less effective as a management tool.
- Reports should be to the executive director within 15 days of the month just completed—sooner if possible.
- Reports should be in the hands of the board finance committee or executive committee within 30 days of the months just completed—sooner if possible.
- Accuracy in reporting should be the standard.
- Reports must be complete.
- Expenses must relate to budget: The report should include a column that represents the board-approved income and expense budget.

**Review of financial reports**

- First, the executive director should review with the preparer of the report.
- Second, the board finance committee should review the report with appropriate staff.
- Be prepared. Establish a positive climate. Don't be defensive.
- Don't have the entire board rehash the finance committee's work.

**Projections to the year-end, and a revised budget**

**when needed**

- Projections are on a month-to-month basis.
- This necessitates putting the fundraising plan on a month-to-month timeline.
- Revise the budget when there are significant reasons to do so.
- Halfway through the fiscal year is a good time to assess whether the budget should be revised.

**Cash flow projection when needed**

- This is a good management tool and fairly simple to maintain in this era of computers and spreadsheets.
- This is a necessity when the organization is operating close to the margin and anticipated revenues are either small or speculative.

**Adjustments in spending, when needed**

- Adjustments need to be planned and documented, with a complete review of the implications for the whole budget.
- This needs a clear procedure for Board involvement.

**Understanding of, and compliance with, government reporting requirements and deadlines**

- A surprising number of organizations do not properly deduct tax withholdings and prepare and submit forms and payments on time. If you don't understand what the requirements are and how to meet them, seek out this expertise from a local tax or accounting firm.

**Bank reconciliation and wise cash management and check signing policies**

- Bank reconciliations should be handled as soon as possible. In theory, they should be done by someone who does not make deposits and cannot sign checks, perhaps by the board treasurer or a retired accountant/volunteer
- Wise cash management
  - Maintain a secure location to hold checks and cash until a deposit can be made.
  - Endorse all checks "for deposit only" as soon as possible, ideally the same day as received.
  - Make timely deposits (immediately if the amount is $200 or more; at least once a week otherwise). Don't let funds sit over the weekend.
  - Maintain a reasonable petty cash system with a small limit ($25) and clear procedures for using it. Use it as little as possible.
  - Designate someone other than the bookkeeper/accountant to prepare and make deposits.
  - Maintain as much money as possible in interest earning accounts.
- Wise check signing
  - Require two signatures, especially if over a specified minimum, printed on the check.
  - Authorize a minimum number of check signers.

**Adequate insurance coverage**

- Good general organizational liability insurance.
  - General office insurance (liability, fire, theft, driving a car on company business, renting a car).
  - Comprehensive health insurance.
- Directors and officers Insurance.
  - Policy for reimbursement rather than purchase of liability insurance needed for directors and officers.
  - Know your state laws on board liability.

**Adequate filing system**

- Keep documentation for every check and file alphabetically.
- Save documentation for seven years, filed alphabetically.
- Keep explanations of revenues and any obligations.
- Logic is universal. Anyone with modest training should be able to find things.

## Desireable Elements

An involved Board with written descriptions of responsibilities – overall and by committee

**A good treasurer**

**An explicit policy on reserves**

**Guidelines for investing available cash**

- How much is to be kept in totally liquid investment vehicles.
- Broad philosophical/strategic guidelines for financial management. For example:
  - Annual budget based on conservative, predictable analysis of revenues.
  - Annual budget goal to increase the organization's working cash position yearly.
- Annual increase in the percent of the next year's budget being raised during the current year.

## Worth Thinking About

**Expenditure approval of other control procedures**

- Capital expenditures above a certain limit should require special approval.
- Who can authorize purchases?
- Check signers should review invoices to make sure supporting documents are appropriate and correct.

**Audit**

- There are good reasons both for and against having an audit. Be aware that many foundations require it as a condition of grant award.
- Benefits:
  - Often will result in suggestions for improving aspects of accounting and reporting systems.
  - Provides confirmation and reassurance to the board. It is also a significant sign that they are carrying out their financial management duties in a responsible manner.
  - Can provide reassurance to outsiders – potential board members or potential funders.
- Challenges
  - Costs, which can run from about .5 to 1 percent of your annual budget.
  - Time required to work with and assist the auditor.
  - Difficulty finding CPAs experienced in nonprofits, especially activist nonprofits.

# Creating a Fundraising Plan

In the current environment of diminishing federal resources and corporate downsizing, it is apparent that the amount of federal and corporate dollars available to support community-based substance abuse prevention or reduction efforts has been significantly reduced.

Moreover, it has been estimated that if the philanthropic community were forced to assume total support for programs affecting our nation's children, their resources would carry us for just two days. Categorical grants are also limited and continue to create competition for the few dollars that are available. Such competition for support makes collaboration harder and invites a resurgence of the "turf" issue coalitions have fought to overcome.

And yet, the community coalition cannot operate for long effectively without a funding base. While part of that base may be provided by in-kind services, it will soon become apparent that dollars will be needed if the coalition is to maintain its momentum.

Good fundraising is nothing more than good selling. It is all about forging a partnership with your community — letting the community know the value of your mission and encouraging them to support you. The more the community believes in what you are doing, the more they will be willing to give you that support. Communication is key. Clearly the community will not be interested in your coalition's fundraising efforts if the public is unaware of what the coalition is trying to accomplish and, equally important, believes in the coalition's mission.

In this section we are going to look at two primary categories of fundraising.

1. Local Initiatives

2. Regional and National Initiatives
    - State block grants
    - Drug-Free Communities Support Program
    - Foundation support

Good fundraising is nothing more than good selling.

## 1. Local Initiatives

Looking to your local community for operating funds makes good sense: Since the services the coalition provides are for the community, it only makes sense that the community should be encouraged to support those services. There are many forms of fundraising available to non-profits, among them:

### Direct Local Support

*Direct Mail Campaigns*

The direct mail campaign is a relatively easy way to reach members of the community. However, it has its disadvantages. Fundraising letters are somewhat impersonal and anonymous; they can be easy to ignore. The public receives so many fundraising pleas that such letters are often tossed immediately in the "circular" file: the trash can. On the other hand, a direct mail campaign is relatively simple to organize and can be handled with less seed money than other forms of fundraising. If your coalition does decide on a direct mail campaign, be sure to consider the following guidelines and suggestions:

- Start collecting names and addresses from the inception of the coalition. Also, consider purchasing names of community groups and urge coalition board members and volunteers to provide mailing lists of their memberships.
- Keep impeccable records.
- The return on a direct mail campaign is likely to be no more than 1-3 percent. Direct mail followed up with a phone call has a slightly higher rate of success, but is not feasible for a large mailing.
- Your message should be crafted carefully. Use a consultant, ideally a coalition volunteer, to write a letter with optimum impact. Be sure the letter is no more than one page in length—it will never be read otherwise.
- Do not ask for generalized "help." Instead, establish several categories of giving and ask donors for a specific amount. Don't set the lower limits either too high or too low. If you ask for only $1, that is all the coalition will receive. If the letter asks for a minimum of $50, it is likely that many recipients will ignore the appeal.
- Try to find a local company to underwrite the mailing costs.
- Do your homework. Don't send out a direct mail appeal simultaneously with other major community appeals such as the United Way drive or a local hospital fundraising campaign.
- Tie the amount given to a specific program so the donor will feel his or her money is going for direct use.
- Be sure there is room for the donor to include information about him or herself.
- Send a thank you for every contribution, no matter how large or small.
- If there has been a recent "crisis" in the community relative to substance abuse, this could be a perfect "hook" for the appeal. However, follow-up appeals that have no crisis as impetus may then result in lower revenues.
- Finally, give serious consideration to development of a coalition brochure that can be included with the direct mail letter as well as used for other fundraising efforts, such as requests from the business/corporate community. This can be quite simple—an 8.5- by 11-inch tri-fold—but should be created professionally.

*Local corporate/business donors*
Most successful coalitions have built their funding base on support from the corporate/business community. Relationships with corporate members of the community are invaluable and will not happen overnight. They require work and personal contact. The first step might be to canvass the board and membership for names of individuals and companies who might have a vested interest in supporting this particular cause. Appointments will have to be set up, preferably through key influentials in the coalition's membership. Those making the appeal must have a clear sense of the mission and what advantage/return the corporation might receive and must be able to communicate it clearly, succinctly, and passionately.

- Thank you letters MUST be sent, even if the visit did not result in a pledge of support. This company may be better positioned to support the coalition at a later date.
- Confidentiality is very important. Nothing discussed at a meeting with corporate heads can be repeated elsewhere.
- Ask if anonymity is important to the donor.
- Find ways to involve a supportive business in the coalition's work, especially in the fundraising area.

*Special events*
Community coalitions often become known for one or more special "signature" event, which may or may not be fundraising in nature. These are often highly successful and include such activities as a celebrity dinner, a marathon or 10K walk, or a Red Ribbon event.

*Miscellaneous*
As coalition members brainstorm and research fundraising opportunities, suggestions may be made for activities that do not fall into the above categories. A book fair, participation in a Kmart Kids Race Against Drugs event or an ad book (a booklet that includes coupons and ads purchased by retailers that is then distributed in the community) are among the possibilities.

## Why People Give

*Fundraising for Non-Profits*, author P. Burke Keegan examines the motivations for giving. They include:

- Belief in the cause
- Good for business
- Status, ego
- Tax deduction
- Fear
- Peer pressure
- Change the world
- Feels good
- Build community
- To make a difference.
- To give back for services received
- Fun – to attend an event
- Recognition
- Guilt

People need to have some motivation for giving, for making the effort to write a check. Don't worry so much about the negative aspects of some of the motivations, says Keegan. Instead, think of the above as a list of human needs that you have the opportunity to meet.

Above all, keep in mind the most important motive for giving of them all.

**People give because they are asked.**

## 2. Regional and National Initiatives

### State Block Grants

Title XX of the Social Security Act, also referred to as the Social Services Block Grant, is a capped entitlement program. Block grant funds are given to States to help them achieve a wide range of social policy goals. Funds are allocated to the States on the basis of population. The Federal funds are available to States without a State matching requirement.

The Block Grant program enabled the Federal government to replace numerous entitlement programs funded directly through Federal agencies with a single grant made directly to the states. Responsibility for distributing those monies rests with the State, which sometimes delegates the decision making to regional and local governmental entities, such as counties and cities. The Safe and Drug-Free Schools program is an example of a federally funded program that now is dependent on the individual states for funding support. Each state has the option of how to spend block grant money, including its division among competing interests. The single state agency for alcohol and drug abuse may also be a source of revenue for coalitions seeking a portion of the Substance Abuse Prevention and Treatment block grant. Under this block grant states are required to spend 20 percent of their total allocation on substance abuse prevention. Several states fund local or regional initiatives with support from coalitions. Coalitions should contact their state block grant authority for information on what funds are available for substance abuse prevention efforts.

### Drug-Free Communities Support Program

The Drug-Free Communities Support Program is designed to strengthen community-based coalition efforts and to reduce youth substance abuse. The program enables these coalitions to enhance collaboration and coordination in an effort to target the use of illegal drugs, as well as the underage use of alcohol and tobacco. The coalitions will also encourage citizen participation in substance abuse reduction efforts and disseminate information about effective programs.

Congress established this program through the Drug-Free Communities Act of 1997. The Justice Department's Office of Juvenile Justice and Delinquency Prevention (OJJDP) is administering the program through an interagency agreement with the Office of National Drug control Policy (ONDCP). In 1998, some 474 communities submitted applications to expand their coalition efforts. Applicants were required to submit a five-year plan to combat youth drug abuse and to certify that they had already worked together for a minimum of six months on substance abuse reduction initiatives.

New grantees receive awards up to $100,000 for a one-year period. The coalitions are required to match their grant awards with funding from nonfederal sources. Awards for future years will in part be contingent on funding availability. More than 200 coalitions have received grant support through this program since its inception. For further information, consult the ONDCP web site at: www.whitehousedrugpolicy.gov/

### Foundations

As the Federal budget tightens and state block grants take over the helm of public support, coalitions are focusing increasingly on the availability of private funding. One traditional source of private money is the foundation world. It is important that you understand the various types of foundations and how funding decisions are made.

**Proposals to Foundations**

The following is a summary of suggestions on utilizing program ideas to develop proposals that are timely and diverse in mission and scope. Explore your community plan and identify program areas that require additional or new funding. Develop a proposal and have on file its key elements, with objectives, outcomes and the rationale for funding. Attach a program budget and have it ready for immediate submission at all times. This allows you to be prepared to provide an immediate response to inquiries that often come to coalitions, in the form of, "What can we do to help?"

*The structure of proposals remains fairly straightforward. Any proposal must contain the following:*

a) Statement of mission and purpose;

b) Identification of need and how the proposed project will address that need;

c) Three to four goals the initiative will achieve;

d) Objectives for reaching the goals;

e) Strategies for completing the objectives;

f) Budget and budget narrative; and

g) Outcome(s) when program is implemented.

As it moves toward sustainability and local capacity-building, the coalition must be prepared to diversify its activity and submit proposals that will often appear, on the surface, to have little or nothing to do with your alcohol, tobacco, other drug and related violence mission. However, the issues such as teen pregnancy, domestic violence, youth violence, juvenile delinquency, truancy, and crime are intertwined with the issues of alcohol, tobacco, and other drugs. Proposals must always reflect your coalition's mission, but do not hesitate to demonstrate the correlation between alcohol, tobacco, other drugs and other community issues.

*Keep in mind that the role(s) of foundations are multiple. They can:*

a) Make direct grants of money and resources;

b) Broker funding relationships among public and private partners;

c) Broker or make loaned executive or other staff agreements;

d) Help access corporate foundations and direct giving; and,

e) Work with partners to help sponsor fundraising campaigns on behalf of the coalition.

One of the most important and realistic roles a local foundation can play is to help broker relations between the coalition and other potential partners. Foundations obviously have considerable political influence among business leadership, policy makers, Chambers of Commerce, etc. The foundation can arrange meetings, advocate for local public funds, and make phone calls to community power brokers to help generate resources for the coalition.

**Once Monies are Received**

Nothing can kill funding faster than not fulfilling foundation or grant makers' requirements for reporting. Have a coalition volunteer or a staff person design a 12-month grid outlining all coalition financial dealings. Notice that the 12-month grid delineates which coalition board or staff member is to make the contact with each potential funder.

**Go a Step Further with Reporting**

While the 12-month grid lists the reports due each month of the year, coalitions receiving funding and hoping to remain in good stead with a funder should go beyond what is required. This, admittedly, takes time. Make it easy on yourself. Have a coalition volunteer or staff person develop a weekly notebook with a page designated for each funder. The information on the "tickler" page should have the amount you have received from the source (or hope to receive), the contact person's name, the specific purposes the coalition uses the money for, progress comments to convey to the funder, etc. Always remember that fundraising is actually the business of developing and nurturing personal relationships. Each week, the coalition executive director should pick up the weekly notebook and make a series of phone calls to touch base with funder(s) and give an informal progress report or convey a human interest story. Do not phone the same funders every week or even every two weeks. However, every funder should hear from you at some point each month or so. For example, you know that the board of trustees for foundation "x" will be meeting to review your proposal four months from now. Phone calls to the foundation should be scheduled to take place at regular intervals during the four months preceding the trustees' decision.

**Proposal Checklist**

1. Ask the foundation if there is a specific format for proposal submission. Follow their prescribed format. Any deviation should be done only with the written consent of the funding source.
2. Make the proposal brief and to-the-point.
3. Be very specific in the funding request. Do not attempt to pad or duplicate existing services or staff.
4. Demonstrate that the proposal reflects community priorities and addresses specific community needs.
5. Seek the advice of local development officials or professional grant writers, if needed. This is an excellent opportunity for local community colleges or universities to contribute to your coalition's efforts. Many public school districts also employ full-time grant writers.

**Fundraising is actually the business of developing and nurturing personal relationships.**

## The Marriage of Fundraising and Programming

**From Join Together's Web site at www.jointogether.org**

Nonprofit groups sometimes think of fundraising as somehow a thing apart from programs, putting the two in distinct, separate "boxes." The Troy (MI) Community Coalition proves, however, that the more intertwined fundraising and programming are, the more successful both can be.

For Mary Ann Solberg, the executive director of the coalition, even a fundraising event presents an opportunity to further the group's mission. For example, during a recent celebrity dinner and auction that raised $50,000 in donations, no alcohol was served—a subtle message to the large number of teens in the audience that adults can have fun without drinking. "We believe the coalition needs to model what the community needs to do," explained Solberg, who added that she overheard one attendee remark, "I never paid $125 for a chicken dinner and no booze and had such a good time."

Another fundraiser had a similar duality of purpose: a three-point basketball shooting contest, sponsored in part by the Detroit Pistons, not only generated revenue for the coalition, it also provided local youths with an alternative after-school activity.

Even events that were never intended as fundraisers have yielded double dividends for the coalition: a prayer breakfast intended to recognize the importance of the faith community in prevention efforts quickly became popular among image-conscious local businesses, who began buying tables to attend the annual event.

The celebrity dinner demonstrates not only the coalition's impressive influence in the community, but also a deep understanding of how the Troy community supports its own. More than 300 individuals and companies donated $125 per person for a fairly casual event that included an address by a local auto executive.

In Troy, it turns out, the chance to hear a speech by J.T. Battenberg—the head of auto-parts firm Delphi Automotive Systems —is as big a draw as some past speakers with more national name recognition, like Michigan football coach Bo Schembechler. The audience got to hear what they came for—Batternberg's take on the recent spin-off of Delphi into an independent firm. But the Delphi CEO also spoke at length about the role corporations must play in drug prevention—much to the satisfaction of coalition leaders.

The Troy Community Coalition is now in its 10th year of operation, and judging by the participation at events like the recent celebrity dinner, the group has laid a lot of groundwork with the local business community. Chrysler Corp., for example, gave the coalition $10,000 to underwrite the expenses for the event, making all the money collected via ticket sales and silent-auction revenues available for the coalition's needs. An impressive array of auction gifts also were donated, including trips, dinners at local restaurants, jewelry—even a tugboat cruise.

In return, sponsors get a lot of publicity generated by the coalition, said Solberg. But companies wouldn't get involved with a group like the Troy Community Coalition in the first place if they didn't believe that it was providing something of great value. Solberg's group has solidified its relationship with the business community by providing direct services, including drug-free workplace programs, and backing an initiative to reward firms having comprehensive drug-free workplace programs with lower liability insurance rates. "We never have our hand out unless we are providing something in return," she said.

# Chapter Six

## Communicating the Message

- Four Steps to Effective Communication

Chapter 6

# Introduction

The importance of communicating your message to potential volunteers and supporters cannot be overemphasized. The coalition that intends to be successful in building a support base to help influence public policy, fill service and education gaps, and create linkages among multi-jurisdictional and multi-disciplinary agencies must create a public perception of credibility, action, and community empowerment.

The media, in all its venues, is the primary tool for accomplishing these goals. It is no secret that the media represents a crucial vehicle for conveying information and affecting attitudes. The media can also be a useful tool for raising awareness about, and acceptance of, social issues, such as substance abuse prevention, demonstrating the benefits of the coalition to the community, and motivating others to get involved. This is known as social marketing.

It is necessary to look no further than The Partnership for a Drug-Free America to comprehend the power of the media. The Partnership's pro bono television ads, dating to the 1980s, are among the most recognizable icons of the prevention effort. Their most notable media message, "This is your brain. This is your brain on drugs," challenges teens to make the decision not to use drugs. The multi-million dollar National Youth Anti-Drug Media Campaign, launched in 1998 by the Office of National Drug Control Policy (ONDCP) in cooperation with The Partnership, took this powerful means of communication one step further. While this initiative was designed as a comprehensive social marketing campaign targeting more than just the media in its communication efforts, the media component is certainly the most visible aspect of the campaign.

Developing a media strategy is a vital link not only to institutionalizing the coalition, but also, and perhaps more importantly, making the community safer, healthier, and drug-free. Like ONDCP's media campaign, however, there are other strategies that can help communicate the message as well. Town meetings, Red Ribbon events, a speaker's bureau, letter-writing campaigns, brochures and other informational publications, exhibits at a community fair, participation in the Kmart Kids Race Against Drugs, partnerships with entertainment and/or education agencies, public relations campaigns and advocacy activities are just a few of the options the coalition may wish to consider.

Thus, the coalition's media strategy, while vital, should be part of an overall communications strategy. This chapter is designed to provide information that will help the coalition plan this important function.

**Developing a media strategy is a vital link not only to institutionalizing the coalition, but also, and perhaps more importantly, making the community safer, healthier, and drug-free.**

# Four Steps to Effective Communication

## STEP 1.
## Develop the Message

Whether drafting a press release or establishing a relationship with reporters and local editorial boards, the first step before engaging in any outreach to the media is to craft the message. In doing so, the coalition might consider the following questions:

- What are the goals of the coalition?
- What is the problem the coalition has set out to address? Why should anyone care?
- In personal terms, why did individual members get involved? What is their personal story or commitment to the issue?
- What should the community know about the coalition's mission and vision?
- Why is the coalition approach compelling, empowering, and destined for success?
- What specific action should someone take to get involved?

The coalition's message should be clear and concise. It should convey the urgency of the mission and the emotion driving it as well. A meeting of the coalition might be set aside specifically to brainstorm about the media message. With one person recording comments, solicit thoughts on what the coalition is doing and why. Ask people to describe the feelings and experiences that inspired them to get involved with the coalition.

In order to be effective in communicating your message, that message must be consistent, clearly intelligible, communicated with feeling, and present in all communications originating from your organization. Competition among messages in the media is fierce, so if an opportunity presents itself, it is wise to be ready.

There is tremendous competition today for the attention of the media and the American public. The substance abuse issue, however, is one that can readily be kept on the nation's agenda. Its assets include:

- An issue that is among the highest-ranked concerns of the American people— especially youth;
- The personal and compelling human interest stories of the people involved in the coalition and members of the community who have been affected by drugs;
- The involvement of important decision-makers in the community in the coalition, who can draw media attention to the coalition's mission because of their position in the community;
- The involvement of smart, creative and driven young people in your coalition; and,
- The National Youth Anti-Drug Media Campaign that invites the cooperation and collaboration of local coalitions in advancing appropriate messages about substance abuse.

## STEP 2.
## Know Your Audience

What is news? What is newsworthy?

News is dynamic and defies a simple definition. In the end, news is whatever the news director or other decision maker at a media outlet decides it is at that moment. It is not possible to predict what a news editor will consider newsworthy. There are some general guidelines to consider, such as: Is it a feeling of being fresh, shocking, funny, tragic, or ironic? Is it based on a public action or matters of pressing concern to the community? Is it based on an action or event that is unique and often is rich with visual images, especially involving kids?

News is not someone unknown reading a speech in some room with a few unknown people standing behind him or her. Instead, it must be urgent and crisp and presented in an entertaining and/or compelling format.

To get a feeling for what is newsworthy, members of the coalition's steering committee or public relations committee should make time to watch the local and national news on television, read newspapers, listen to the radio and access news information on the Internet. Keep an exhaustive file of press clippings as a reminder of what is newsworthy as well as to track stories and trends. Observe the content of the news and examine its characteristics. Do you notice similarities? Can you imagine some person making the decision to air a particular story? Knowing what is newsworthy will help the coalition tailor an appropriate strategy that will appeal to local media outlets.

**Reactive and Proactive Media Opportunities**
Media coverage, broadly, comes in two forms: reactive and proactive. Reactive press is when a news agency requests comment in response to a story they are already working. One example is a coalition leader being asked to comment on a local student's arrest for a crime committed to support a drug habit. A key to reactive press is to present your coalition as an accessible and accurate source of interesting and succinct views for reporters. Have quick, hard-hitting messages prepared in advance on pertinent issues, e.g., a synopsis of a new survey on youth substance abuse. Being quoted in the news and becoming the preeminent local source of information on substance abuse, prevention or related problems will help to further establish the coalition as a viable part of the community and your cause as a community priority. Any time you have contact with the media, whether in a proactive or reactive situation, be sure to respond quickly and with respect to deadlines. This enhances the coalition's credibility with the media and helps ensure future use of the coalition as a news source.

Reacting to hostile or aggressive press inquiries in the face of a "crisis" can make or break your relationship with the media. Being evasive or dishonest is a mistake that can send the wrong signal and result in damaging coverage. Look within your coalition membership to see if anyone has training as a media consultant, and, if not, secure a media consultant to coach your leadership team on a pro bono basis.

Proactive, or self-generated, press involves courting the press and prompting a media outlet to do a story. This is a bit more difficult than responding to a request, but can be done provided that the coalition presents a message that is clear, compelling, and relevant.

There are several tools to use to generate media coverage, such as press releases or a news conference. The following are some thoughts to keep in mind when pursuing these proactive press opportunities:

a. Be confident in the value of your story to the community.

b. Make it easy for the reporter or editor by providing any information they might need to do a story.

c. Select a "peg" or "hook" that makes it newsworthy and important locally.

d. Keep your written submission or conversation with the reporter/editor succinct and on-message.

e. Don't push a story that's not a story. You'll lose credibility in the eyes of the reporter/editor and hurt your chances of getting coverage for something that's really important.

f. Make certain that you're offering something fresh and interesting.

A hybrid of media coverage—and a great opportunity for the coalitions—is to "piggyback" on a breaking news story or to take some action based on a recently published event. This can only happen through constant attention to all news on the part of the coalition. Without the current knowledge of what's in the news, the coalition cannot maximize opportunities to piggyback on stories and make the news.

## STEP 3.
## Develop a Communications Strategy

To make the most of its mission and mandate, the coalition should develop a communications strategy. The image of the coalition that will develop in the community should not be accidental. Through this strategy, the coalition will become the community's resource on the drug issue and motivate elected officials and the public to become involved and support coalition efforts. The coalition needs to include in its plan the following:

- Social marketing, which includes both media and non-media initiatives,
- Public relations, and
- Media advocacy.

The social marketing aspect of the plan will have two goals: to disseminate anti-drug messages that will educate and/or alter personal behavior and to position the coalition as the expert "voice" in the community on this issue.

Public relations can have a powerful impact on a coalition's anti-drug efforts by adding visibility and credibility to coalition activities This plan would include goals and objectives that include establishing relationships in the community, meeting with reporters and editorial boards, appearing on public awareness shows, and making presentation to community groups. Fund-raising activities often are part of the public relations effort.

Advocacy involves the process of presenting your message to stakeholders and policy makers to help set the agenda, shape the debate and advance substance abuse prevention policies. Many coalitions have successfully and appropriately influenced the legislative process. Community Anti-Drug Coalitions of America, the American Medical Association, the American Bar Association, the National Mental Health Association and other professional associations have wielded tremendous influence on a number of health-related issues.

This chapter focused primarily on the first element: social marketing. This is the primary concern of the developing coalition. Additional information on public relations and advocacy is available from Community Anti-Drug Coalitions of America through its *Strategizer* series of technical assistance manuals and other sources.

### STEP 4. Consider Alternative Venues

The coalition's overall communication's strategy should include venues other than the media to reach a broader audience and to underscore the message. For example, hosting a public viewing for one of the satellite downlink programs made available through Community Anti-Drug Coalitions of America each month could disseminate the substance abuse prevention message AND make more people aware of the coalition's existence and role.

The primary thing to remember is that community awareness and communication take place in many formats other than press releases and newspaper articles

At right are a number of channels for presenting the coalition's message. This is by no means a comprehensive list. Decisions for which communications outlet or groups of outlets will depend on the expertise of the board and committee members and the special considerations of the community (e.g., small and close-knit? rural? balanced or unbalance between youth and senior citizens?).

## Communication Formats:

- Radio
- Newspapers
- Posters
- E-mail
- Pamphlets
- Newsletters
- Stickers
- Cinema spots
- Calendars
- Billboards
- Booklets
- Town meetings
- Special and signature entertainment events
- Sports activities
- Stamps and bumper stickers
- Television spots
- Exhibits at community fairs
- Presentations at school and community events
- Red Ribbon activities
- Dramatic presentations

# Worksheet
# Develop a Communications Plan

## Step 1: Develop the Message

___ Is the message clear and consistent?
___ Is the message a part of all communication that emanates from the coalition?
___ Does the message reflect the passion of coalition members?
___ Does the message reflect a problem that will engage all members of the community?
___ Are personal anecdotes part of the message?

**Summarize the coalition's media message, making sure that it reflects the above guidelines:**

**Does the message:**

___ Command attention?
___ Cater to the heart and the head?
___ Call to action
___ Clarify the message
___ Communicate a benefit
___ Create trust
___ Convey a consistent message

## Step 2: Know Your Audience

___ How does your community's media cover the news?
___ Is it conservative or aggressive?
___ Primarily proactive or reactive?
___ Is there a coalition message tailored for both types of news?
___ How do they differ?

## Step 3: Develop Media Strategies

**Where should the message go? Develop a list of media contacts:**

### *Television Stations*

| News market | Type of outlet | Name of station/channel | Name of contact (include phone, fax, e-mail) | Deadline information |
|---|---|---|---|---|
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| 4. | | | | |

### *Print Media*

| News market | Type of outlet (daily, weekly, neighborhood shopper) | Name of media | Name of contact(s) | Deadline information |
|---|---|---|---|---|
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| 4. | | | | |

### *Radio*

| News Market | Type of show (news, talk, radio) | Name of station/channel | Name of contact (include phone, fax, e-mail) | Deadline information |
|---|---|---|---|---|
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| 4. | | | | |

## Step 4: Consider Non-Media Communication

**Here is a checklist of non-media communications outlets the coalition might consider:**

| Type of Venue | Notes on Suitability for our Coalition | Date Initiated/Notes on Success |
|---|---|---|
| Posters | | |
| E-mail campaign | | |
| Pamphlets | | |
| Newsletters | | |
| Stickers | | |
| Cinema spots | | |
| Calendars | | |
| Billboards | | |
| Booklets | | |
| Town meetings | | |
| Special entertainment events | | |
| Sports activities | | |
| Stamps and bumper stickers | | |
| Exhibits at community fairs | | |
| Presentations at school and community events | | |
| Red Ribbon activities | | |
| Dramatic presentations | | |
| Signature events | | |

# Appendix A

Office of Juvenile Justice
and Delinquency Prevention

http://ojjdp.ncjrs.org/

Appendix

# Introduction

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) was created by an act of Congress in 1974 to help communities and States prevent and control delinquency and improve their juvenile justice systems. A component of the U.S. Department of Justice, Office of Justice Programs, OJJDP is the primary Federal agency responsible for addressing the issues of juvenile crime and delinquency and the problem of missing and exploited children, which Congress added to OJJDP's legislative mandate in 1984.

Although the nature and extent of delinquency and abuse have changed considerably since OJJDP was created, the Office continues to provide national leadership and support activities to help States and local communities meet the many juvenile justice challenges they face. These challenges include dealing with the small percentage of juveniles who commit serious, violent offenses; holding young offenders accountable for their unlawful actions; combating alcohol and drug abuse; addressing gangs and juvenile gun violence; working to strengthen families; and helping children victimized by crime and child abuse.

The Office funds critical research, statistical, and evaluation efforts and demonstration program, provides technical assistance and training, produces and distributes publications containing the most up-to-date juvenile justice-related information available, oversees the Missing and Exploited Children's Program, and administers formula, block, and discretionary grant programs.

# Major Accomplishments and Program Highlights

OJJDP remains at the forefront in providing national leadership to help prevent and control juvenile delinquency and address the victimization of children. The Office's activities are designed to help sustain the ebbing tide of juvenile crime and to help make the nation's communities safe for both children and adults. The Comprehensive Strategy for Serious, Violent and Chronic Juvenile Offenders continues to be the foundation of the Office's programs. The Comprehensive Strategy is a research-based plan that calls for using a balanced approach to aggressively address juvenile delinquency and violence by preventing the onset of delinquency, improving the juvenile justice system's ability to respond to juvenile offending, and establishing graduated sanctions.

The Comprehensive Strategy and other accomplishments highlighted here represent the types of programs OJJDP funds to help States and localities ensure a continuing decline in the juvenile crime rate. The programs run the gamut from research and evaluation to training and technical assistance to demonstration programs. They include several major new programs established by Congress and many ongoing programs.

## Examples of those programs are:

**The Drug-Free Communities Support Program**

On June 27, 1997, the Drug-Free Communities Act was signed into law by President Clinton. This Act provides financial assistance and support to community coalitions to carry out the mission of reducing substance abuse among the Nation's youth. OJJDP has oversight of the management of the Drug-Free Communities Support Program through an interagency agreement with ONDCP, which is renewed on a yearly basis. The Center for Substance Abuse Prevention manages the training and technical assistance component of the program in coordination with the six (6) regional Centers for the Application of Prevention Technology with grants. The Drug-Free Communities Act authorized the following amounts to be appropriated to ONDCP for the Drug-Free Communities Support Program: FY 1998 - $10 million; FY 1999 - $20 million; FY 2000 - $30 million; FY 2001 - $40 million; and FY 2002 - $43.5 million. This competitive process allows applicants to submit applications for awards up to $100,000.

**Blueprints**

OJJDP's Blueprints for Violence Prevention Project: Training and Technical Assistance program is managed by the University of Colorado's Center of the Study and Prevention of Violence (CSPV), and will replicate model programs that are effective in reducing youth violence through the provision of training and technical assistance to communities implementing these programs. Each "Blueprint" describes one model program in detail and includes evaluation results and practical experience encountered by those using the intervention. For more information regarding "Blueprints," contact the CSPV at:

*Center for the Study and Prevention of Violence*
University of Colorado at Boulder Institute of Behavioral Science #10 Campus Box 442
Boulder, CO 80309-0442
Phone: (303) 492-8465
Fax: (303) 443-3297
Web site: www.Colorado.EDU/cspv/blueprints/

**Enforcing Underage Drinking Laws**

The problem of underage drinking continues to plague the nation's young people. To facilitate comprehensive and coordinated enforcement and alcohol use prevention programs at the State level, OJJDP is helping states address the problem of underage drinking through a $50 million program of block grants, discretionary programs, and training and technical assistance. The Enforcing the Underage Drinking Laws program (formerly the combating Underage Drinking program) is helping all 50 states and the District of Columbia develop comprehensive and coordinated initiatives to enforce State laws that prohibit the sale of alcoholic beverages to minors and to prevent the purchase or consumption of alcoholic beverages by minors (defined as individuals under 21 years of age).

**SafeFutures**

SafeFutures seeks to prevent and control youth crime and victimization through the creation of a continuum of care in communities. This continuum of care enable s communities to respond to the needs of youth, at critical stages of their development through the provision of the appropriate prevention, intervention, and treatment services as well as graduated sanctions. OJJDP has awarded demonstration grants of approximately $1.4 million a year for five years to each of six communities (four urban, one rural, and one tribal government) to assist with existing efforts to reduce youth violence and delinquency and build the SafeFutures continuum.

OJJDP provides funding to States, territories, localities, nonprofits, and private organizations through block grants and discretionary funding. Block funding, through regular Formula Grants and State Challenge and Prevention money, goes to States and territories. Juvenile Justice Specialists in each State administer funding through sub-grants to states and localities. Discretionary funding is awarded through competitive peer review. OJJDP follows a planning process to assist with decisions for program priorities and funding opportunities.

# Juvenile Justice Clearinghouse

OJJDP's major vehicle for distributing information is the Juvenile Justice Clearinghouse (JJC). JJC offers toll free telephone and online access to information. JJC also prepares specialized responses to information requests, produces and distributes Office of Juvenile Justice and Delinquency Prevention publications, exhibits at national conferences, and maintains a comprehensive juvenile justice library and database. The Clearinghouse is a component of the National Criminal Justice Reference Service and is located in Rockville, MD. It can be accessed online at www.ncjrs.org

JJC maintains OJJDP's Web site at http://ojjdp.ncjrs.org. During FY1998, the home page received almost 160,000 hits. JJC also answered nearly 46,000 requests for information and faxed information to more than 17,000 individuals. JJC produces many of OJJDP's publications, including the *Juvenile Justice Journal* and *OJJDP Bulletins, Fact Sheets*, and *Research Reports.*

The Clearinghouse also oversees OJJDP's electronic mailing list, JUVJUST, which currently has close to 4.500 subscribers. JUVJUST alerts subscribers to new documents, funding opportunities, and other OJJDP news.

OJJDP is committed to ensuring the success of every community's anti-drug coalition efforts and supports the idea of combining and building upon existing and planned juvenile justice efforts at the local, State, regional and national levels.

For more information about OJJDP or its programs, contact the Juvenile Justice Clearinghouse at (800) 638-8736 or OJJDP's Drug-Free Communities Support program staff at (202) 307-5914 or online at http://ojjdp.ncjrs.org/dfcs/index.html.

# Appendix B

Office of National
Drug Control Policy

www.whitehousedrugpolicy.gov/

# Introduction

The Office of National Drug Control Policy (ONDCP) was established by the Anti-Drug Abuse Act of 1988 (P.L. 100-690 as amended) to set National drug control priorities and objectives, coordinate the activities of over 50 Federal drug control agencies, and prepare a consolidated Federal drug control budget. In 1994, the Violent Crime Control and Law Enforcement Act P.L. 103-322 expanded ONDCP's responsibilities to include budget guidance to other government agencies and evaluating the effectiveness of the Federal drug control policy. As part of this evaluation, the National Drug Control National Strategy (National Strategy) was developed as a long-term plan to assess the effectiveness of the national drug control effort.

The 1998 National Strategy established a 10-year plan to confront drug use in the United States with five major goals and 32 objectives as part of a comprehensive, balanced effort that includes drug prevention, treatment, domestic law enforcement, interdiction, and international programs. The goals of the National Strategy are intended to reduce drug use, decrease drug availability, and reduce the adverse health, social, and safety consequences of drug use. Each objective has measurable targets that form the performance measures of effectiveness.

The main goal of the National Strategy is to reduce drug use in youth and reduce the demand by addicted or chronic drug users. The National Strategy focuses on our young, seeking to educate them about the dangers of drugs, alcohol, and tobacco. The National Strategy is updated annually; details can be found on ONDCP's Web site at www.whitehousedrugpolicy.gov/

The vision in the ONDCP's National Strategy is to reduce drug use by 2007 by 50% from its 1996 level. Should that goal be achieved, just 3.1% of the household population age 12 and older will use drugs, and drug use in America will be at its lowest level in history. In summary, the National Strategy is a 10-year plan that offers a guide to action over the next decade.

1. Educate and enable America's youth to reject illegal drugs as well as alcohol and tobacco. Ensuring that young people never become involved with drugs can reduce demand most effectively. Prevention is the primary goal of National Strategy.

2. Increase the safety of America's citizens by substantially reducing crime and violence. Crime and reduced public safety are among the consequences of drug trafficking and drug use. Criminal activities associated with drugs must be reduced.

3. Reduce the health and social costs of illegal drug use. This includes drug treatment and reducing drug-related health problems. Goal 3 targets the adoption of prevention and education programs, employee assistance programs, drug-free workplace programs, education, training, and research.

4. Shield America's air, land, and sea frontiers from the drug threat. By interdicting drugs at our borders and improving relations with drug producing countries, we believe we can reduce the supply of illicit drugs.

5. Break foreign and domestic drug sources of supply. This goal focuses on decreasing the quantity of foreign and domestic cultivation, production, and distribution of drugs destined for use in the United States.

# Performance Measures

The effectiveness of the National Strategy is tracked by objective performance measures, which are intended to ensure the integration of a system of accountability into the national drug control effort. The system of accountability is achieved though the Performance Measures of Effectiveness system, or PME. The purpose of the PME system is:

1. Assess the effectiveness of the National Drug Control National Strategy;

2. Provide the entire drug control community, including State and local governments and the private sector with critical information on what needs to be done to refine policy and programmatic direction; and

3. Assist with drug program budget management at all levels.

Since the National Strategy was adopted in 1998, ONDCP formed partnerships with individuals, State and local governments, non-governmental organizations, businesses, educators, legislators, and others who could actually make the National Strategy work. It is imperative that Federal, State, and local governments work together with close coordination between the public and private sectors. Local community coalitions need to work together with many other partners to ensure that their local National Strategy or plan for drug abuse is coordinated and implemented effectively.

Community coalitions across the country are also vital to the success of the National Drug Control National Strategy. Coalitions typically include schools, businesses, law enforcement agencies, social service organizations, faith communities, medical groups, and youth groups. Civic, service, fraternal, veterans, and women groups, as well as businesses, organizations, and religious leaders are vital to the success of the National Strategy—and, in fact, have become our partners in making the National Strategy work.

Despite the growing interest in comprehensive, community-wide strategic planning to reduce the problems of substance abuse, more needs to be done in the coming years to design more effective, sustainable local mechanisms to work on both supply and demand issues. Coalitions need improved data collection and analysis capabilities that can inform debate about appropriate strategies to address the local variations of local drug problems. Communities need a continuing commitment of both high-level leadership and citizen participation at the grass-roots level in active problem-solving and decisionmaking. Leaders need to estimate better the costs, both direct and hidden, of the various forms of substance abuse on the local economy. Decisionmakers, e.g., the city council members and county commissioners, need to decide if the strategies they consider are scientifically sound and effective to justify the redirection of resources or allocating new resources to one of America's public health problems.

# Appendix C

Drug-Free Communities
Support Program

http://ojjdp.ncjrs.org/dfcs/index.html

# Drug-Free Communities Support Program

## Background

The Drug-Free Communities Support Program provides a unique and important opportunity for citizen participation in the development and implementation of effective community-based strategies to reduce substance use. The threat of substance abuse to the health and well-being of communities, in particular youth and their families, is alarming and persistent. Therefore, effective and sustainable community-based efforts must be developed to address substance abuse and related problems. Through Drug-Free Communities , the Office of Juvenile Justice and Delinquency Prevention (OJJDP) and its Federal and National partners are facilitating community level action to build drug-free communities nationwide.

## Drug-Free Communities Support Program Goals

- Reduce substance abuse among youth and, over time, among adults, by address ing the factors in a community that serve to increase the risk of substance abuse and factors that serve to minimize the risk of substance abuse. These substances include narcotics, depressants, stimulants, hallucinogens, cannabis, inhalants, alcohol, and tobacco, where their use is prohibited by Federal, State, or local law.

- Establish and strengthen collaboration among communities; Federal, State, local, and tribal governments; and private nonprofit agencies to support community coalition efforts and reduce substance abuse among youth.

## Drug-Free Communities Support Program Objectives

- Serve as a catalyst for increased citizen participation and greater collaboration among all sectors and organizations of a community to reduce substance abuse among youth.

- Enhance community efforts to promote and deliver effective substance abuse prevention strategies among multiple sectors of the community.

- Assess the effectiveness of community substance abuse reduction initiatives directed toward youth.

- Provide information about effective substance abuse reduction initiatives for youth that can be replicated in other communities.

Many lessons have been learned by community coalitions that can be shared with new and potential Drug-Free Communities grantees to facilitate their effective implementation of programs to achieve the goals and objectives above and the specific ones for their community. This manual, *Building Drug Free Communities: A Planning Guide*, is intended to share some of those lessons and provide critical guidance and resources to new and potential Drug-Free Communities grantees. We hope that communities will use this manual to foster meaningful collaboration that will reduce substance abuse among youth.

# Appendix D

PREVENTION THEORY AND PROGRAMMING

SAMHSA

www.samhsa.gov
www.preventiondss.org

# The Evolution of Prevention Theory and Programming

*(From SAMHSA's Web site at www.SAMHSA.gov)*

Over the past decade, CSAP's substance abuse prevention programs have provided direct services to tens of thousands of children, youth, families, and communities across the country. In addition, they have been a fertile proving ground for prevention research, theory, and technology. As a result of these efforts, a framework for better understanding the causes, etiology, and sequela of substance use has evolved. As noted by Johnson, Amatetti, Funkhouser, and Johnson (1988) in a review of current substance abuse prevention research and theory, "Because prevention...is an evolutionary field that is continuously growing from the thinking and experiences of researchers, planners, practitioners, and evaluators, the current knowledge base will change, expand, and emerge in new combinations, providing better tools with which to address [substance abuse] problems." The evolving framework is constructed around two concepts—risk and protection—and their interplay.

**Risk-Focused Prevention**
The professional literature offers a rich body of research on risk factors for substance use and abuse among children, youth, and young adults. The major strength of this research is its predictive value: The more risk factors a child or youth experiences, the more likely it is that he or she will experience substance abuse and related problems in adolescence or young adulthood. However, risk factor research does not usually claim causative links between risks and later problems.

Many risk factors experienced by individuals in childhood are associated not just with substance abuse but with an array of health, mental health, and behavioral problems. School failure, for example, is a strong predictor of substance abuse, juvenile delinquency, and other problem behaviors (Battistich, Schaps, Watson, & Solomon, 1996). As the research on risk factors has accumulated, an increasingly vivid picture has emerged of a complex web of interrelated risks and problem behaviors. Researchers have also found that the more the risks in a child's life can be reduced, the less vulnerable that child will be to subsequent health and social problems (Hawkins, Jenson, Catalano, & Lishner, 1988).

**Grouping Risk Factors by Domain**
In one very straightforward theoretical framework of substance use, six life domains—individual, peer, family, school, community, and society—are used. It is important to note that these domains interact with the individual placed at the core of the model, and that all stimuli are processed, interpreted, and responded to based upon those characteristics that the individual brings to the situation. The primary strength of this model is that it provides a framework in which to understand the interactive effects of risk and protective factors. Additionally, it provides guidance about which factors should be targeted by a diverse array of prevention programs.

This "Web of Influence" depicts the domains that affect substance use and other problem behaviors. The Web has been used as the organizing principle underlying the development of the High Risk Populations DataBank. While programs work to effect positive change in one or more of these domains, thereby increasing resiliency and enhancing protective factors, the domains are also important in understanding outcomes. Since each prevention program has as its ultimate goal to prevent, postpone, or reduce substance use, and since substance use itself is a complex product of occurrences in the other domains, it has been extracted and maintained as a separate outcome domain.

**Inclusion of Protective Factors**
Exposure to even a significant degree of risk factors in a child's life does not necessarily mean that substance use or other problem behaviors will inevitably follow. Many children and youth growing up in presumably high-risk families and environments emerge relatively problem free. The reason for this, according to many researchers, is the presence of protective factors in these young people's lives. Protective factors balance and buffer risk factors (Hawkins, Catalano, & Miller, 1992). In contrast to a paradigm that focuses exclusively on reducing risk, with an emphasis on negative or pathological aspects of an individual's life, protective factor research looks at what is positive and healthy in young people. As with risk factors, protective factors can be found in each of the major domains of life experience.

**A Focus on Resilience**
One might conclude that risk factors and protective factors are opposite sides of the same coin. It is logical to assume, for example, that the opposite of a particular risk factor—e.g., success in school, as opposed to school failure—would also predict the opposite: health and personal success instead of problem behavior. Yet the correlations are not exact.

Many in the substance abuse prevention and youth development fields have argued, moreover, that an emphasis on protective factors implies a significantly different worldview from an emphasis on risk factors (Henderson, 1996; Wolin & Wolin, 1993). According to critics of risk-focused prevention, the approach concentrates on essentially negative elements in an individual's life and environment, stressing deficits rather than strengths and blaming the victim. Wolin and Wolin (1995) label this the "Damage Model." By contrast, some critics maintain, building on and enhancing protective factors is a more promising approach because it stresses positive elements in individuals and environments.

An important shift from risk-focused prevention theory in recent years has been a focus on resilience. As a concept in the youth development and prevention fields, the term originated in the longitudinal studies of Garmezy and Streitman (1974), Emmy Werner (1986), Michael Rutter (1979), and others who examined the developmental qualities of children and youth who prevailed and succeeded despite risk factors such as poverty, substance-abusing parents, and dysfunctional families. Garmezy has defined resilience (Hazelden, 1996) as an absence of deviant outcomes regardless of exposure to risk. Wolin and Wolin (1995) define it as successful adaptation despite risk and adversity. According to one recent review of the literature (Hazelden, 1996), factors contributing to resilience in young people include:

- A strong relationship with a parent or caring adult who provides a nurturing environment early and consistently.

- Feelings of success and a sense of mastery so young people can name something they do successfully and can build self-respect.

- Strong internal and external resources such as good physical health, self-esteem, a sense of humor, and a supportive network that includes family, school, and community.

- Social skills, including good communication and negotiating skills, and the ability to make good decisions and refuse activities that may be dangerous.

- Problem-solving and thinking skills that help to generate alternatives and solutions to problems.
- Hope that odds can be overcome with perseverance and hard work.
- Surviving previous stressful situations—each time a young person masters a difficulty, that experience helps her or him face the next difficulty.

# Appendix E

## Additional Online Resources for Prevention Information

**www.arf.org**
Addiction Research Foundation (ARF)

**www.udetc.org**
Center for Enforcing Underage Drinking Laws

**www.cwla.org**
Child Welfare League of America (CWLA)

**www.cadca.org**
Community Anti-Drug Coalitions of America (CADCA)

**www.casacolumbia.org**
Center on Addiction and Substance Abuse at Columbia University (CASA)

**www.samhsa.gov/centers/csap/csap.html**
Center for Substance Abuse Prevention (CSAP)

**www.preventiondss.org**
CSAP's Decision Support System

**www.ojp.usdoj.gov/eows**
Executive Office of Weed & Seed (EOWS)

**www.jointogether.org**
Join Together

**www.nasadad.org**
National Association of State Alcohol/Drug Abuse Directors (NASADAD)

**www.nacoa.net**
National Association for Children of Alcoholics (NACA)

**www.nccre.org**
National Center for Conflict Resolution Education

**www.health.org**
National Clearinghouse for Alcohol and Drug Information (NCADI)

**www.inhalants.org**
National Inhalant Prevention Coalition

**www.niaaa.nih.gov**
National Institute for Alcohol Abuse and Alcoholism (NIAAA)

**www.nida.nih.gov**
National Institute Drug Abuse (NIDA)

**www.nwrel.org/mentoring**
National Mentoring Center

**www.ccfd.com**
National Prevention Network (NPN)

**www.iir.com/nygc**
National Youth Gang Center

**http://ojjdp.ncjrs.org/nyn/index.html**
National Youth Network (NYN)

**www.drugfreeamerica.org**
Partnership for a Drug Free America

**www.dol.gov/dol/workingpartners.htm**
Working Partners for an Alcohol- and Drug-Free Workplace

# Appendix F

## Prevention Principles

# Prevention Principles

The following principles, adopted by the Office of National Drug Control Policy (ONDCP), were drawn from literature reviews and guidance supported by the Federal departments of Education, Justice, and Health and Human Services.

1. Select and clearly define a target population.
2. Address the major forms of drug abuse.
3. Address the major risk and protective factors.
4. Intervene in families.
5. Intervene in other major community institutions as well.
6. Intervene early enough.
7. Intervene often enough.
8. Address availability and marketing.
9. Share information.
10. Strengthen anti-drug attitudes and norms.
11. Strengthen life skills and drug-refusal skills.
12. Consider alternative activities.
13. Use interactive techniques.

# Appendix G

## Checklist of Steps to Forming a Coalition

# Checklist of Steps to Forming a Coalition

## STEP 1: Get a small group of people together.

____ Identify specific events that have recently heightened awareness of the problem within your community.

____ Develop a list of individuals and groups in the community who are affected by the coalition's main issue: substance abuse.

____ Target existing and potential resources for launching the effort.

____ Set up the next meeting.

## STEP 2: Define the problem and its impact on the community.

____ Define the problem as you think it exists.

____ Collect any available data on the problem from schools, police, health departments, and other data sources.

____ Prepare a fact sheet for distribution at your first meeting.

## STEP 3: Identify key stakeholders.

____ Develop a list of groups currently working on the issue as well as a list of which groups will benefit from coalition activities.

____ Make sure organization representatives that you invite to the coalition meetings have decisionmaking power.

____ Be sure that the coalition has the involvement of key community leaders and their representatives.

**STEP 4: Convene a first meeting.**

_____ Have convenient meeting times and places been selected?

_____ Have decisionmaking procedures been instituted that include: consensus, democratic voting, working consensus, organizational vetoes, and weighted decisions?

_____ Have letters been mailed; phone calls assigned for follow-up?

_____ Is the meeting location accessible by public and private transportation resources?

_____ Is childcare, food, and parking available?

**STEP 5: Begin the process of strategic planning.**

_____ Has the purpose of the strategic planning committee been established?

_____ Have the rules of participation been delineated? (i.e., commitment, time, and responsibilities)

_____ Has a process been established and a calendar set not only for the initial strategic plan but also for those in future years?

_____ Have resources been identified and made available to the committee?