THE CULTURAL ECOLOGY OF HEALTH AND CHANGE (the CEHC)

Presented at the 135th Annual Meeting of The American Public Health Association

by

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Origin of the CEHC

- Anthropologically Informed Approach to the Planning, Implementation and Evaluation of Community Based Initiatives" (CBIs)
- Evolved from Whitehead's 35 years of involvement as an anthropologist in community based initiatives (CBIs) in the U.S and abroad
- Began with challenges from Stuart & Hochbaum at UNC in 1978
- Reflections on Culture and how can the concept be operationalized in the design, implementation, and evaluation of CBIs

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The CEHC Differs from other CBI Models

- Grounded in a range of social and change theories and methods, but primarily anthropological, cultural and ethnographic
- Grounded in Traditional Anthropological Concept of "Holism."
- Focus on the range of socio-cultural contexts, process/dynamics, and meanings involved in the planning, implementation & evaluation of CBIs, and the research to inform such change activities.

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Influential Theoretical Models from Health Promotion on the CEHC's Evolution1

- The Health Belief Model (the HBM)
- Bandura's Self-efficacy Model
- The modeling of desired health behavior as advocated by Fishbein, Ajzen, and others.
- Stages of Behavior Change as advocated by people like Prochaska, Rogers, and others.

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Reasons for moving beyond HBM, & related behavioral change models

- Focused too much on the individual with little attention to ecological factors.
- Already influenced by a number of ecological models during graduate training in public health and anthropology such as the systems theories of Parsons, Bales, and others and its application to public health fields such as family planning (Blake).

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Other Health Relate Ecological Models that Influenced the CEHC

- John Cassel's work on the impact of environment on the behaviors of individuals and populations
- Lalonde's (1974) Health Field Concept (HFC)
- The PRECEDE-PROCEED Model of Green and Colleagues
- The Social Ecology Model (the SEM) of health promotion proposed by McElroy and colleagues (1988) and others(Goodman 1998; Richard 1996; Stokols 1996)

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Slide 6

CC1 I changed the spacing on this slide because I thought it was a little crowded
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PRECEDE (Predisposing, Reinforcing, and Enabling Causes in Educational Diagnosis and Evaluation)

- Places individual health related behaviors and mental predispositions for such behaviors into broader ecological context.
- Focuses on key aspects of behaviors that may predispose an individual or group to risk, thus reinforcing existing behaviors or enabling a behavior to occur or continue.
- Focuses on establishing cause-and-effect relationships between behaviors and health, and the development of interventions to change unhealthy behavior.

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PROCEED (Policy, Regulatory, & Organizational Constructs in Educational & Environmental Development).

- **Primary purpose of PROCEED is to bring attention to macro-societal issues that have an impact on the health and health behavior of individuals, families, and communities, that should be considered in developing health prevention and treatment/cure programs that are sustainable.**

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The SEM Emphasis on Other Ecological Factors as Well as the Individual

- Intra-personal (individual) factors such as attitude, knowledge, skills, or intentions to comply with certain behaviors.
- Inter-personal, or social relationships as important influences on individual health related behaviors.
- Institutional or organizational influences individual health related behaviors.
- Community factors, or the physical, sociological, and geographical structures of one's community.
- Public policies, procedures, and laws that have an impact on one's situation, and thus on one's behavior

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Beyond Existing Ecological Models

- **While PRECEDE-PROCEED and the SEM are fine models for providing a range of ecological categories, they are still somewhat *limited as holistic or comprehensive models* for identifying the range of factors that might influence health outcomes.**
- **Give little attention to the interplay between *sociocultural contexts*, *processes*, and variations in the *meaning* systems that are involved in health behavior, and those brought to the planning, implementation, and evaluation of complex community based change programs by different actor groups.**
- **Absence of concept of culture which can address above 2 limitations**

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Influential Models from Medical Anthropology-- The Illness Behavior Model (Fabrega)

Proposed four large systems related to illness behavior:

- **The biological system which focuses on genetic, chemical and physiological processes;**
- **The social system which provides information about the attitudes and expectations of an individual's social group regarding the illness condition, as well as group and individual responses.**
- **The phenomenological system which addresses the individual's awareness and self definition.**
- **The memory system which includes past experience with illness and medical attitudes, beliefs and practices which provide feedback to and influence on the other systems**

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Influential Models from Medical Anthropology—The Health Explanatory Model (Kleinman)

Cross Culturally, when people come down with an illness condition, they grapple with a series of questions:

- What is this condition?
- What caused this condition?
- Why did I come down with the condition?
- What will happen to me as a consequence of this condition?
- What can I do to alleviate or remedy this condition?

"Successful" healing is a consequence of the healer being able to satisfactory respond to one or more of these questions.

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Pure Social Science/Anthropological Theoretical Contributions to the CEHC

- Holism and Systems Theory
- Functionalism & Structural Functionalism
- Culture as Product of Ecological Adaptation
- Cultural Ecology
- Cultural Relativism
- Culture as Historical Process
- Culture as a Process of Historical Diffusion

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Pure Social Science/Anthropological Contributions to the CEHC (Cont.)

- Marxism, Materialism, Cultural Materialism, Political Economy, and Critical Theory
- Phenomenology, Symbolism, Structuralism and Interpretivism, and Cultural Models
- Symbolic Interactionism, Processualism, Transactionalism, and Constructivism
- Post Structuralism, Post Modernism, Feminist Theory
- Cosmology, Rituals, and Rites of Passage

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Summary Attributes of Concept of Culture from Anthropology/Social Science Theories

- **Culture is a "holistic" flexible and non-constant system** with continuities between its interrelated components,
- **Culture provides rules and routines that facilitate order, regularity, familiarity, and predictability** in what is otherwise a disorganized world of people, things, ideas, and behaviors.
- **Culture provides "meaning"** in the interpretation of people's behavior, things in the physical and metaphysical world, events, occurrences, and so on, so that people can construct and communicate their realities.
- **Culture is the primary source of a people's knowledge about the world**. Culture provides no inherent hierarchy of knowledge, instead it applies local conceptions of the definition of knowledge (See Berger 1967:15);

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Summary Attributes of Concept of Culture from Anthropology/Social Sciences (Cont.)

- **Culture is a shared phenomenon**.
- **Culture contributes to human communication** and ***miscommunication***. **Culture implies values,** or the preferred practices, social relationships, or ideas and sentiments of a human community.
- **Cultural patterns may be *ideal* as well as *real*.**

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Summary Attributes of Concept of Culture from Anthropology/Social Sciences (Cont.)

- **Culture may be *tacit* as well as *explicit*.**
- **Cultural patterns are *horizontally*** (within generations) **and *vertically*** (intergenerational) **reproduced.**
- The expressions of cultural patterns are ***highly influenced—but not determined by—environment.***
- **Culture is a *historical production*.**
- **Culture is *functional*.**

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CC3 Intergenerationally is not a word. I think I know what you mean by it but I thought I would point it out.
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The CEHC Includes 3 Theoretical Paradigms that Emerged From the Various Theories Reviewed

- **The Cultural Systems Paradigm (The CSP)-**A holistic ethnographic paradigm to comprehensively understand the various factors that influences the various aspects of human life, including health behavior, and mental predispositions of behavior.

- **The Cultural Systems Approach to Change (the CSAC)-**A conceptual framework for transforming the data collected using the CSP into an effective intervention or treatment program.

- **The Cultural Systems Approach to Program, Planning, Implementation, and Evaluation (the CSAPPE).** A program based on the categories of the CSAC used in the planning, implementation, and evaluation of intervention programs, and training others in carrying out such work.

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The CSP—9 Universal Socio-cultural Human Categories

- **The individual human organism:** Biological status, psychological makeup, personality and idiosyncratic tendencies (including agency), "intelligence," skill levels, etc.
- **Social Systems.** Domestic units dyads, groups, organizations & associations, kin & friend networks, local communities & ethnic groups, societal & extra-societal relationship.
- **Behaviors.** Individual and shared, and socio-cultural characteristics.
- **Ideational or Meaning Systems.** (Knowledge, attitudes, beliefs, values, and symbolisms or "units of meaning")

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Nine Universal Categories of the CSP (Cont.)

- **Expressive Culture.** Language, music, art, dance, literature, various forms of talk, etc.
- **Material Culture**. Technologies, material artifacts, and other human produced material objects
- The **Physical Environments** in which humans interact, and their deleterious, sustaining, constraining, and neutral elements.
- **Human Needs.** Organic, Instrumental, and Expressive.
- The human group's **Shared History** of significant events and processes.

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Components of the CSAC—A Project Planning Model

- Project Desired Outcomes (Ultimate goals and/or objectives).
- Project Process Input Programs. (Activities that must be carried out throughout various phases of a change initiative, if desired outcomes are to be effectively achieved).
- Project Instrumental Input Programs. (Activities that must be put in place in the early phases of a change initiative if the project's desired outcomes, process input programs, and other instrumental input programs are to be effectively implemented and achieved. Desired Outcomes).

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The CSAC's Desired Outcome Categories

- **Changes in Knowledge (about the targeted problem, how to avoid or prevent the problem, or how to overcome it).**
- **Change in Attitudes (that put persons at risk for the particular problem, or prevent them from overcoming the problem).**
- **Changes in Behaviors (e.g. decrease in behaviors that puts one at risk for diabetes, or increase in behaviors to overcome such problems, or their impact).**
- **Change in a targeted Health or Social Problem (e.g., decrease in the morbidity or mortality from the target health or social problem).**

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The CSAC's Desired Outcome Categories (Cont.)

- **Empowerment. Enhancement in the capacity of individuals, families, and/or communities to effectively respond to a health problem, e.g., AIDS, and its deleterious impact.**

- **Sustainability or Institutionalization of the changes (knowledge, attitudinal, behavioral, health status, and/or empowerment) initiated by a community based initiative.**

- **Diffusion of the changes initiated by a community based intervention project beyond those originally exposed to the project's intervention strategies.**

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The CSAC's Instrumental Input Programs

- Resource Development (Capacity Building)
- Community Involvement/Participation and Coalition or Partnership Development
- The Development of Culturally and Community/Population Appropriate Materials.
- The Development of Culturally and Community/Population Appropriate Intervention Programs.

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The CSAC's Process Input Programs

- The Monitoring and Continual Assessment of Staff Needs.
- Research and Evaluation.
- Implementing Culturally and Community/Population Appropriate Intervention Materials and Methods.
- "Energizing" Community Cultural Systems

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The CSAPPE

- The CSAPPE is primarily *a planning matrix for operationalizing the categories of the CSAC* in order to effectively *design, implement,* and *evaluate* effective community based initiatives (CBIs)

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The CSAPPE matrix elicits from project leadership, significant project staff, and project stakeholders:

- project goals, and long term, intermediate, and immediate objectives
- Strategies and tasks for achieving goals objectives

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Slide 26

CC4 Operationalizing sounds alkward in this sentence, but I didn't know exactly what to replace it with. Also I'm not sure if there should be 4 bullets or 3.
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The CSAPPE (Cont.)

- Assignments for achieving goals & objectives.
- Timelines for achieving goals & objectives.
- Possible enablers that may facilitate the achievement of project goals & objectives.
- Potential barriers to project goals & objectives
- Organize all of the above components into a logic model with phases.

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The CEHC's Applied Research and Technical Assistance Subsystems

- **The Ethnographically Informed Community and Cultural Assessment Research Systems (The EICCARS)**
- **The CEHC System in Project Design and Implementation Planning (The PDIP).**
- **The CEHC Project Implementation Programs (The PIPs)**
- **Ethnographic Assessment & Evaluation Systems (The EAES)**

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Programs of CEHC Subsystem1: the EICCARS

The EICCARS has two programs:

- **The EICCARS Approach to Community Assessment Research.**

- **The CEHC Approach to Cultural Systems Analysis**

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Methods in the EICCARS Toolkit for Community Assessment Research

- Development of an EICCARS Research Design
- Selecting Community Profiles and Other Units of Analysis (Organizations, Family Systems, Individuals, etc)
- The Analysis of Pertinent Documents, Archives, Statistical, and other Secondary Data Establishing Community Profiles Using Such Data
- Initial Windshield Tours and Descriptive Observations and Key Community/Cultural Consultant Interviews (KCCIs).
- Follow-up Windshield Tours, Focused Observation and KCCIs.

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EICCARS Community Assessment Methods (Cont.)

- Classical Ethnographic Methods of Observation, Participant Observation, and Ethnographic Interviewing
- Walking Tours, Focused Observations, and Informal Interviews.
- Descriptive Observations of Social Settings, Acts, Activities & Events
- Select Observations, Interviewee Selection, and KCCI, Semi-structured, and In-Depth Structured Interviews.

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EICCARS Community Assessment Methods (Cont.)

- Photography, Audio tapes, and other Audio-Visual Methods (where possible).
- The Spatial Mapping of Human Communities (Using Geographical Informational Systems and Other Technologies).
- Focus and Other Group Interviews.
- Structured Ethnographic Interviewing and Domain Analysis.
- Mapping of Human Social Systems (Social Networks, Geneologies, and Kinship Systems).

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EICCARS Community Assessment Methods (Cont.)

- Ethno-Historical Methods (Archeological and Oral Community, Group, and Personal Histories
- Survey, Structured Interviewing and Experimental Methods
- The Management and Analysis of EICCARS Data Sets
- Team Ethnography and Rapid Ethnographic Techniques
- Training Community Members in the Various Community and Cultural Assessment Research that Responds to their Specific Project Needs.

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The CEHC Approach to Cultural Systems Analysis

- **In the CEHC, any of the Social Systems listed in the CSP can be studied as Cultural Systems, i.e., domestic units dyads, groups, organizations & associations, kin & friend networks, local communities & ethnic groups, societal & extra-societal relationships, and projects.**

- **EICCARS methods are selected & modified based on the social system being studied as a cultural system**

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Justification for Social Systems Being Studied as Cultural Systems

Potential for CSP Categories, i.e.,

- **Potential for having preferred social relationships or organizational structures.**
- **Potential for having preferred (or normative) idea systems and behavior patterns, and preferred modes of expressing these ideas.**
- **Potential for having valued and other objects that have been produced by the group.**

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Justification for Social Systems Being Studied as Cultural Systems (Cont.)

- **Exists within certain physical and social environments that may have an impact on the ideas and behaviors of members.**
- **Potential for individuals within group having specific needs or agendas, or a shared sense of needs or agendas that the group attempts to meet.**
- **Potential for having shared historical events and processes that group members either explicitly know, or by which they have been tacitly influenced.**

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Programs of CEHC Subsystem 2: The PDIP & The PCD

- The PDIP has one program, a 2 1/2 Day, 9 session workshop called the "Project Culture Development" (PCD) Workshop for project leadership, significant staff, and other stakeholders
- Purpose is to get everyone on the same page regarding project goals, objectives, assignments, and timelines, and to establish a shared project implementation plan
- All three CEHC Paradigms (the CSP, the CSAC, and the CAPPE informs the content of the PCD Workshop

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CEHC Subsystem 3: The PIPs

- The CEHC's Project Implementation Programs (PIPs) were developed during the PCD Workshop, and are organized around and Informed by the Instrumental and Process Input Program Categories of the CSAC.

- The Project's Implementation Plan or Logic Model developed during the PDIP is organized into phases with every phase having it own objectives, strategies, assignments, timelines, and potential barriers and enablers.

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Programs or the 3 PIPs Strategies

- Conducting one-day Phasic Implementation Workshops (PIWs) at the end of each project phase.
- Providing simple (one page) "Project Barriers and Enablers Recording Forms" (PBERFs) to be used by project staff members and returned to CuSAG for analysis;
- Analyzing the PBERFs and using the analysis for facilitating discussions at subsequent PIWs.

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Programs of CEHC Subsystem 4: The EAES (Pronounced “ACE”)

- EAES Programs in Formative Evaluation
- EAES Programs in Process Evaluation & Project Monitoring
- EAES Programs in Outcome Evaluation
- EAES Programs in Impact Evaluation

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Rationale for the EAES Formative Evaluation Programs

- To assess whether the project has a project design that allows for effective implementation and evaluation.
- To assist in the develop of a project design that assures success in project implementation and outcomes.
- To learn as much as possible about the project's cultural systems (target community and project stakeholders) that could influence implementation success.

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EAES Formative Evaluation Program 1: PCD Review and/or Implementation

- Review for Presence of Project Design
- Identify Stakeholders
- Identify Stakeholder Involvement in Project Design Development
- Determine whether Project Design Adequate or need to Develop PCD Workshop
- If PCD Workshop Needed, Develop One
- Carry out the PCD Workshop.

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Methods for EAES Formative Evaluation Program 1: Project Culture Development

- Informal Interviews of Project Leaders to Inquire Regarding the Existence of a Project Design and Other Relevant Project Documents

- Analysis of Project Documents to Identify the Existence of Project Design, Whether Design was Developed Based on Something Similar to the PCD, and for the Identification of All Project Stakeholder Organizations

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EAES Formative Program 2: Community/Cultural Assessment

- Review for Presence of Community or Cultural Assessment Research
- If Community/Cultural Assessment Needed, Develop & Conduct, Informed by the CEHC's EICCARS
- Conduct Cultural Assessment of the Various Stakeholder Organizations & Significant Individuals involved in Project

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Rationale for EAES Programs in Process Evaluation &Project Monitoring

- To document the achievement of objectives for various phases of a project.
- To closely monitor the various dynamics between the various cultural systems involved in the planning, implementation, and evaluation of a project.
- To integrate what is learned through the assessment of phasic outcomes and monitoring into ongoing project implementation so as to enhance the success of desired project outcomes.

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EAES Programs in Process Evaluation and Project Monitoring

- **EAES Process Evaluation Monitoring (PEM) Program 1: Taking Stock**

- **EAES PEM Program 2: Phasic Project Monitoring & Evaluation**
  - **Assessment of Project-Community Dynamics**
  - **Recording Phase Task Progress, Barriers & Enablers**
  - **Recording Phase Objectives' Progress, Barriers & Enablers**
  - **2 Day Process Evaluation Workshops (PEWs)**

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Rationale for EAES Outcome Evaluation Programs

- Similar to other more traditional approaches to Outcome Evaluation, the EAES approach to outcome evaluation techniques are carried out to document and measure the success of the project in achieving its desired goals and objectives.

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EAES Programs in Outcome Evaluation (OE)

- EAES Outcome Evaluation (OE) Program 1: Using Traditional One Group Pre-and Post Test Measures
- EAES Outcome Evaluation Program 2: Using Tradition Quasi-Experimental Approaches
- EAES Outcome Evaluation Program 3: Integrating Traditional OE Methods with EAES Formative and Process Evaluation Strategies

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Rationale for EAES Impact Evaluation Programs.

- To assess the sustainability, diffusion, and institutionalization of project outcomes in 6 months, 1 year, and 2 years following end of project.

- To account for outcomes that were unforeseen.

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EAES Programs in Impact Evaluation and Assessment of "Cultural Transformation"

- **EAES Impact Evaluation Program 1: Assessment of Sustainability of Change**
- **EAES Impact Evaluation Program 2: Assessment of Diffusion of Change**
- **EAES Impact Evaluation Program 3: Assessment of Institutionalization of Change**
- **EAES Impact Evaluation Program 4: Assessment of Unplanned Outcomes**

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Research Methods used in EAES Programs in Impact Evaluation

- Select appropriate qualitative and quantitative methods used in Other EAES Programs to carry out assessments objectives stated in the preceding slide, i.e., the sustainability, diffusion, and institutionalization of project's change goals and objectives, and for unforeseen outcomes.

- Use EAES Organizational Culture Assessment tools to access extent to which projects goals and objectives have been institutionalized.

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Future Direction in the Development of the CEHC

- Continue to apply CEHC methods to funded projects
- Pursuing funding support to complete printed CEHC tools (program technical manual and workbooks) for each of its 4 subsystems, and to develop electronic version of these tools for distance research, training, and technical assistance activities.

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Numbers of CEHC Printed and Electronic Tools Being Developed

- The EICCARS— 12 sets of Program Technical Manuals, Workbooks, and Computer Programs to facilitate the design, collection, and analysis of EICCARS data. The large number of EICCARS tools respond to the multiple EICCARS methods, with one set for each method

- The PDIP— 1 set of Program Technical Manuals, Workbooks, and Computer Programs for the PCD

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CEHC Printed and Electronic Tools Being Developed (Cont.)

- The PIPs—8 sets of Program Technical Manuals, Workbooks, and Computer Programs to facilitate each of the CSAC's 8 sets of Instrumental and Process Input Programs

- The EAES-- 4sets of Program Technical Manuals, Workbooks, and Computer Programs to facilitate each of the EAE's 4 Evaluation Programs

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APPENDIX II

THE CULTURAL ECOLOGY AND HEALTH AND PLANNED CHANGE:

Integrated Conceptual Paradigms for the Planning, Implementation, and Evaluation of Community Based Planned Change Programs

By

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Department of Anthropology,

University of Maryland, College Park, Maryland

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Cultural Ecology of Health and Change Program

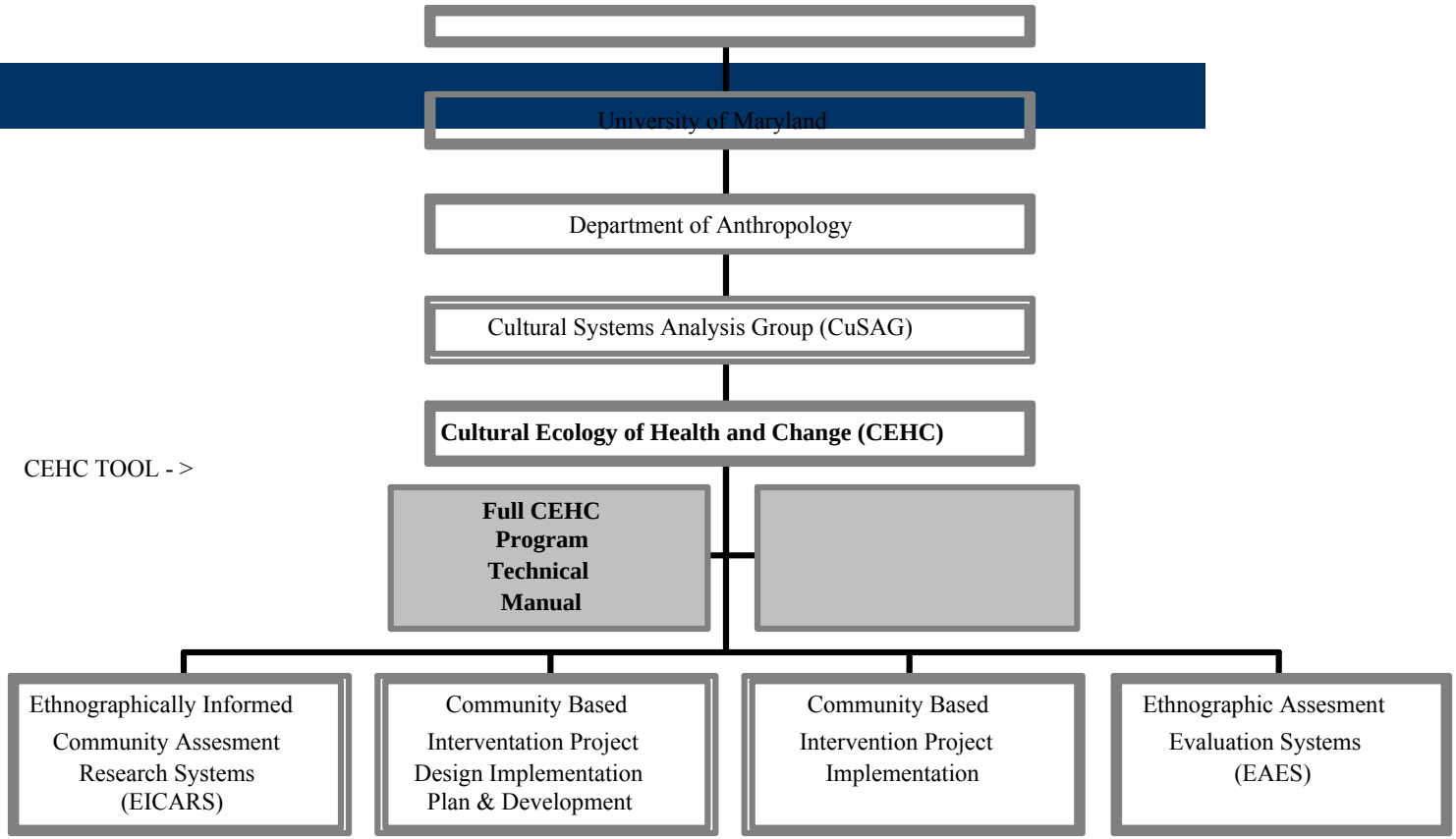

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FIGURE 2A

THE CULTURAL SYSTEMS PARADIGM (CSP): A GENERAL SOCIAL SCIENCE PERSPECTIVE

"The Cultural System"

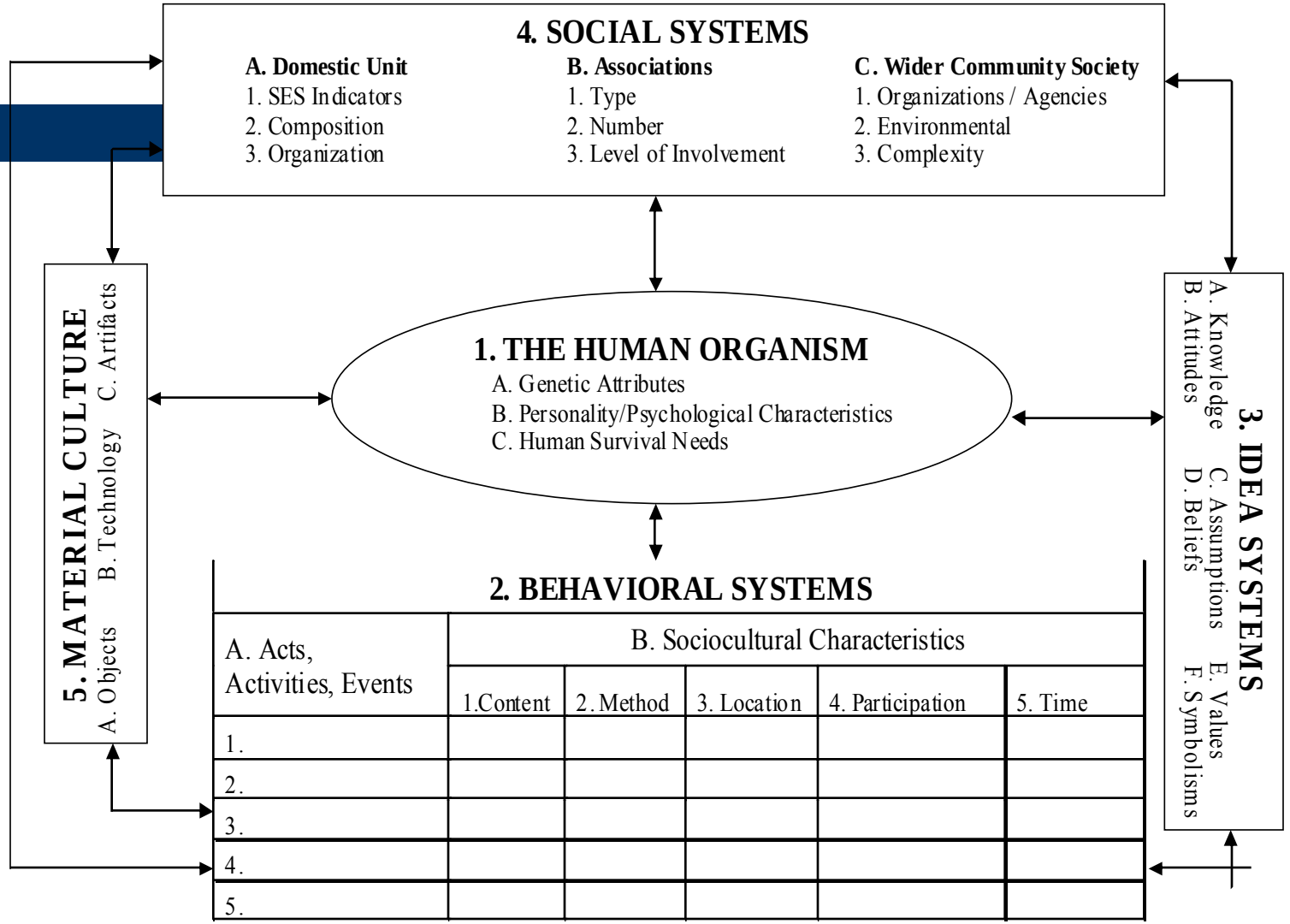

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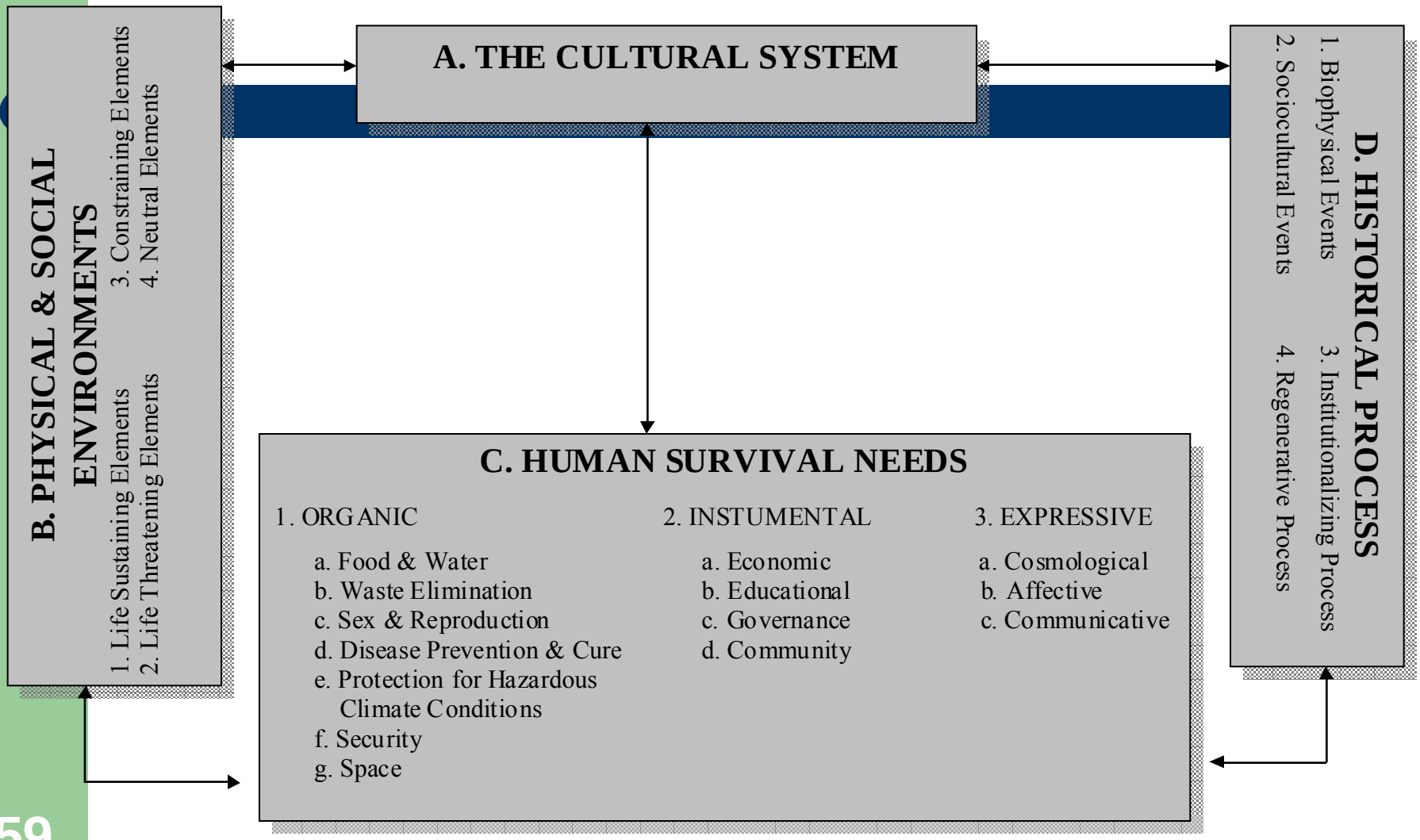
FIGURE 2B

THE CULTURAL SYSTEMS PARADIGM (CSP)
THE HUMAN ECOSYSTEM
A General Social Science Perspective



Source: Whitehead 1990a; Modification of Whitehead 1984

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FIGURE 3A

THE CULTURAL SYSTEMS APPROACH TO PLANNED CHANGE (The CSAC)
A Conceptual Model of a Holistic Approach to Community Based Change

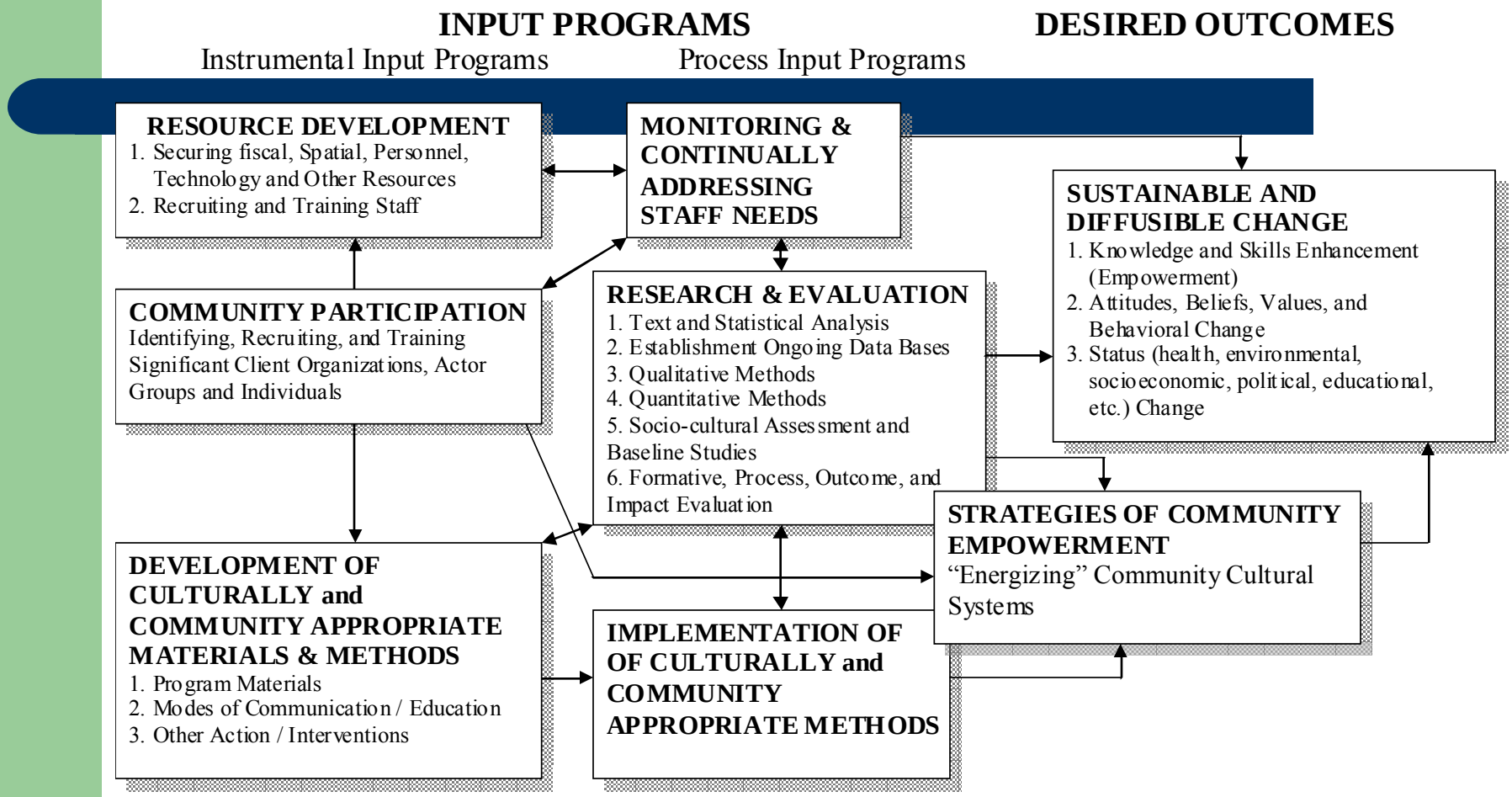

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FIGURE 3B
THE CULTURAL SYSTEMS APPROACH TO PLANNED CHANGE (The CSAC)
A CSAC Conceptualization of the Process of Cultural Transformation

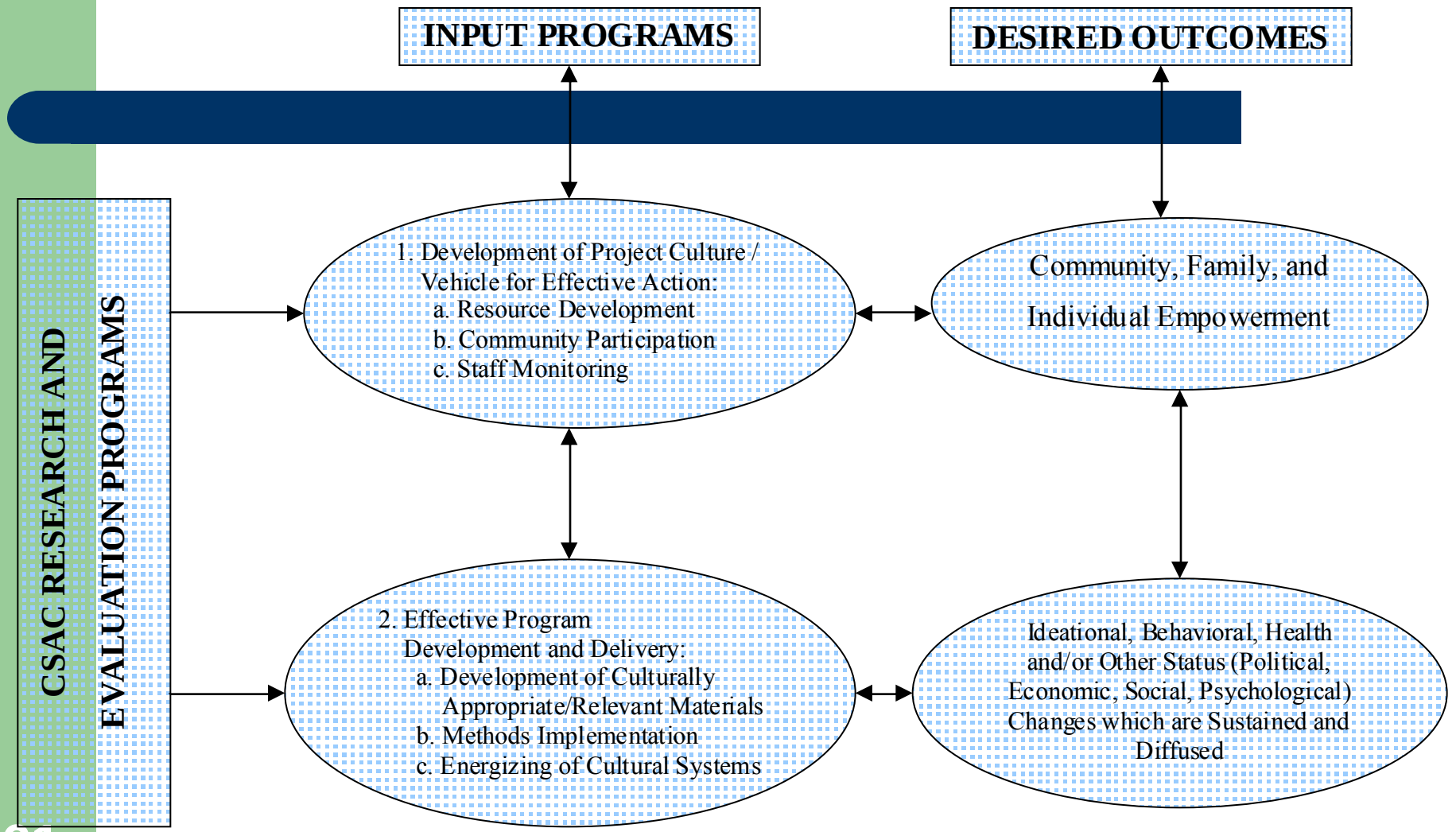

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FIGURE 4
THE CULTURAL SYSTEMS APPROACH TO PROGRAM PLANNING, IMPLEMENTATION, AND EVALUATION (The CSAPPE)

Project Title _____ **Duration** _____

Goals_____

CSAC PROGRAMS FOR EFFECTIVE PROJECT PLANNING	CSAPPE ESSENTIALS FOR EFFECTIVE PROGRAM IMPLEMENTATION							
	Objectives (Measurable Indicators)	Strategies for Achieving Objectives	Role and Task Assignments	Schedule for Achieving Objectives	Possible Barriers	Possible Enablers	Strategies -Barriers	Strategies -Enablers
A. CSAC Desired Outcomes 1. Behavioral 2. Ideational Changes 3. Empowerment 4. Status Change 5. Institutionalization of Changes 6. Diffusion of Changes								
B. CSAC Input Programs 1. Research & Evaluation 2. Resources Development 3. Community Participation 4. Materials Development 5. Methods Development 6. Staff Monitoring 7. Methods Implementation 8. ÑEnergizingÓSocial and Idea/Meaning Systems								

*This chart is for illustration only. During program planning, items are taken out of the chart and developed.

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