Substance Use Prevention Capacity Building: Improving Evidence-Based Program Implementation & Policy Review Skills

Brittany Rhoades Cooper, Ph.D.
Angie Funaiolo, M.S.
Laura Hill, Ph.D.
Prevention Science

Brad Gaolach, Ph.D.
Martha Aitken
Metropolitan Center for Applied Research & Extension

Spokane, WA
May 6, 2016
Workshop Objectives

To build your substance use prevention capacity in program implementation & policy review.

- **Program Implementation**
  - Balancing program fidelity & adaptation
  - Assessing & planning for sustainability

- **Policy Review**
  - Assessing & adopting policies to support prevention
  - Facilitating policy discussions
  - Building effective partnerships

Diagram:
- Program Evaluation
- Program Implementation
- Policy Review
Introductions

*Who is here and what can we learn from one another?*
Who are we?

• Translational researchers from the interdisciplinary Prevention Science program at WSU in Pullman
Impromptu Networking

- **Goal**: Get to know your colleagues & to put the objectives of this workshop into your context.

- **The Questions**:
  - 1) What role do you play in substance use prevention?
  - 2) What do you hope to learn at this workshop?

- **The Structure**:
  - Introduce yourself to someone new, respond to the questions (2 mins per person).
  - When you the tone, introduce yourself to one more person and repeat.

Program Evaluation

*The keys to implementing high quality and meaningful program evaluation.*
Fidelity & Adaptation

*Best practices for balancing evidence-based program fidelity with adaptation to local conditions.*
Fidelity vs. Adaptation?

The Cake Metaphor

Modified from Kemp (2016)
The *Fidelity* Argument

• Best not to tinker with a proven-effective program.

• If making changes, cannot be assured to achieve same positive outcomes.

• Should take advantage of the researchers’ expertise about the EBP.
The *Adaptation* Argument

• In the real-world, adaptations happen!

• Programs should be adapted to meet the unique conditions and needs of the local community.

• Practitioners’ expertise about local community should inform local implementation of an EBP.
The Middle Ground

• Adaptations can occur within the context of low or high fidelity.

• Not all adaptations deviate from the programs’ original design and theory.

Balance is the Key to Life
Effective Program Implementation

A *recipe for success!*

- High Fidelity
- High Quality of Delivery
- Adaptation Best Practices

Positive Participant Engagement & Responsiveness

Positive Program Outcomes

Modified from Berkel et al. (2011)
Integrated Model of Program Implementation
**Best Practices Guide to Adaptation**

Select EBP that meets your needs

Determine key elements that make EBP effective

Assess need for adaptation

Adapt using best practices

Develop continuous quality improvement plan

Modified and adapted from the following resources:


Best Practices Guide to Adaptation

**STEP 1**
Select EBP that meets your needs

**STEP 2**
Determine key elements that make EBP effective

- Assess need for adaptation
- Adapt using best practices
- Develop continuous quality improvement plan

What are the core ingredients, methods & equipment? Locally available? Sustainable?
The Hexagon Tool can be used as a planning tool to evaluate evidence-based programs and practices during the Exploration Stage of Implementation.

See the Active Implementation Hub Resource Library:
http://implementation.fpg.unc.edu

---

**EBP:**

5 Point Rating Scale:
High = 5; Medium = 3; Low = 1.
Midpoints can be used and scored as a 2 or 4.

<table>
<thead>
<tr>
<th>EBP:</th>
<th>High</th>
<th>Med</th>
<th>Low</th>
</tr>
</thead>
<tbody>
<tr>
<td>Need</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fit</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resource Availability</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evidence</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Readiness for Replication</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capacity to Implement</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Score</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

**Need**
- Health, human service & socially significant issues
- Parent & community perceptions of need
- Data indicating need

**Capacity to Implement**
- Staff meet minimum qualifications
- Sustainability
  - Staff Competencies
  - Organization
  - Leadership
  - Financial
- Buy-in process operationalized
  - Practitioners
  - Families

**Fit with Current Initiatives**
- Agency, community, state priorities
- Organizational structures
- Community values

**Readiness**
- Qualified purveyor
- Expert or TA available
- Mature sites to observe
- Several replications
- Operational definitions of essential functions
- Implementation components operationalized:
  - Staff Competency
  - Organizational Support
  - Leadership

**Evidence**
- Outcome — is it worth it?
- Fidelity data
- Cost-effectiveness data
- Number of studies
- Population similarities
- Diverse cultural groups
- Efficacy or Effectiveness

**Resources and Supports for:**
- Practice Setting
- Technology supports (IT dept.)
- Staffing
- Training
- Data Systems
- Coaching & Supervision
- Administration & system

---

http://implementation.fpg.unc.edu/resources/hexagon-tool-exploring-context

©2013 Karen Blase, Laurel Kiser and Melissa Van Dyke
Adapted from work by Laurel J. Kiser, Michelle Zabel, Albert A. Zachik, and Joan Smith (2007)
Best Practices Guide to Adaptation

1. Select EBP that meets your needs
2. Determine key elements that make EBP effective
3. Assess need for adaptation
   - **STEP 3**
4. Adapt using best practices
5. Develop continuous quality improvement plan
Best Practices Guide to Adaptation

Select EBP that meets your needs

Determine key elements that make EBP effective

Assess need for adaptation

Adapt using best practices

STEP 4

Consult with the experts about what “flavor” you want/need. The flavor should complement the core ingredients.

Develop continuous quality improvement plan
Best Practices Guide to Adaptation

Select EBP that meets your needs

Determine key elements that make EBP effective

Assess need for adaptation

Adapt using best practices

Develop continuous quality improvement plan

STEP 5

We need a taste test. The proof is in the pudding (or cake)!
Sustainability

*Research-based strategies for assessing, planning, and building sustainability capacity.*
Effective Program Sustainability: Assessing & Building Capacity

https://sustaintool.org/
# Program Sustainability Assessment Tool

To what extent does your program have or do the following?

<table>
<thead>
<tr>
<th>PSAT Scale</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental Support</td>
<td>Supportive internal and external climate for your program.</td>
</tr>
<tr>
<td>Funding Stability</td>
<td>Consistent financial base for your program.</td>
</tr>
<tr>
<td>Partnerships</td>
<td>Connections between your program and its stakeholders.</td>
</tr>
<tr>
<td>Organizational Capacity</td>
<td>Internal support and resources needed to effectively manage your program.</td>
</tr>
<tr>
<td>Program Evaluation</td>
<td>Assessing your program to inform planning and document results.</td>
</tr>
<tr>
<td>Program Adaptation</td>
<td>Taking actions that adapt your program to ensure ongoing impact.</td>
</tr>
<tr>
<td>Communication</td>
<td>Strategic communication with stakeholders and the public about your program.</td>
</tr>
<tr>
<td>Strategic Planning</td>
<td>Processes that guide your program’s direction, goals, and strategies.</td>
</tr>
</tbody>
</table>

Program Sustainability Assessment Tool v2, copyright 2013, Washington University, St Louis, MO. All rights reserved. [https://sustaintool.org/assess](https://sustaintool.org/assess)
Effective Program Sustainability: Assessing & Building Capacity

Prepare & Assess
- Identify key stakeholders
- Complete assessment tool

Develop Action Plan
- Assemble planning team
- Review assessment results
- Prioritize areas to address
- Write action plan

Take Action
- Implement action plan
- Reassess sustainability capacity annually

Modified from Calhoun et al. (2014)
https://sustaintool.org/plan/planning_process
Many factors can affect sustainability, such as financial and political climates, organizational characteristics, and elements of evaluation and communication. The Program Sustainability Assessment Tool allows stakeholders to rate their programs on the extent to which they have processes and structures in place that will increase the likelihood of sustainability. Assessment results can then be used to identify next steps in building program capacity for sustainability in order to position efforts for long term success.

Interpreting the Results:
The table presents the average rating for each sustainability domain based on the responses that you provided. The remainder of the document presents the ratings for indicators within each domain. There is no minimum rating that guarantees the sustainability of your program. However, lower ratings do indicate opportunities for improvement that you may want to focus on when developing a plan for sustainability.

Next Steps:
- These results can be used to guide sustainability planning for your efforts.
- Areas with lower ratings indicate that there is room for improvement.
- Address domains that are most modifiable, quicker to change, and have data available to support the needed changes.
- Develop strategies to tackle the domains that may be more difficult to modify.
- Make plans to assess the sustainability of your efforts on an ongoing basis to monitor changes as you strive for an ongoing impact.

<table>
<thead>
<tr>
<th>Overall Capacity for Sustainability</th>
<th>3.9</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental Support</td>
<td>3.0</td>
</tr>
<tr>
<td>Funding Stability</td>
<td>3.6</td>
</tr>
<tr>
<td>Partnerships</td>
<td>5.0</td>
</tr>
<tr>
<td>Organizational Capacity</td>
<td>5.0</td>
</tr>
<tr>
<td>Program Evaluation</td>
<td>4.0</td>
</tr>
<tr>
<td>Program Adaptation</td>
<td>3.0</td>
</tr>
<tr>
<td>Communications</td>
<td>3.8</td>
</tr>
<tr>
<td>Strategic Planning</td>
<td>3.6</td>
</tr>
</tbody>
</table>

1 = to little or no extent / 7 = to a great extent
Sample Sustainability Action Plans

We have collected a few examples of action plans for the Environmental Support, Partnerships, and Communications domains. These come from programs operating in public health or clinical care and operating at different levels (e.g., state or community). We hope these samples can give you some direction as you write your own plan.

---

**Environmental Support: Having a supportive internal and external climate for your program**

**Sustainability Objective:** Identify and cultivate 1 physician and 1 senior administrator as champions for reducing hospital readmissions by January 2015.

<table>
<thead>
<tr>
<th>Steps to achieve objectives: [Be very specific and include important sub-steps. Anyone should be able to pick up this document and understand what needs to happen in order to reach your objective.]</th>
<th>Who will do the work? [For every task, there needs to be a responsible party/parties. Who will ultimately ensure the work gets finished?]</th>
<th>What does success look like? [What metrics will you use to track progress on the completion of each step? How will you know it’s time to move on to the next step?]</th>
<th>What non-financial resources are needed for this step? Where will they come from?</th>
<th>Due date [In the appropriate quarter, enter a specific date by which the activity must be completed.]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Identify 2 physicians and 2 senior administrators who are well placed to build internal support for our initiative.</td>
<td>Readmission team leader</td>
<td>4 potential champions identified Meeting with senior leadership held</td>
<td>None</td>
<td>Q1</td>
</tr>
<tr>
<td>2. Build relationships with them and educate them about importance of our initiative. Ask them to be champions for our efforts.</td>
<td>Readmission team leader</td>
<td>1 physician and 1 administrator agree to be champions</td>
<td>Time</td>
<td>Q2</td>
</tr>
<tr>
<td>3. Ensure champions identified above are ready to roll out key aspects of the plan.</td>
<td>Readmission team leader</td>
<td>Time needed to roll out plan</td>
<td>Time</td>
<td>Q3</td>
</tr>
<tr>
<td>4. Plan for first initiative.</td>
<td></td>
<td>Time needed for first initiative</td>
<td>Time</td>
<td>Q4</td>
</tr>
<tr>
<td>5. Continue to build momentum.</td>
<td></td>
<td>Time needed to continue momentum</td>
<td>Time</td>
<td>Q4</td>
</tr>
</tbody>
</table>

- [https://sustaintool.org/plan](https://sustaintool.org/plan)
Contacts:

brittany.cooper@wsu.edu
angie.funaiole@wsu.edu
laurahill@wsu.edu