

# **Sustainability Readiness Strategy for Substance Abuse Prevention**

## **Implementation Resources**

**Toolkit**

**Microsoft Excel Tools**

**Workgroup Training & Technical Assistance Guide**

**Evaluation Guide**

*by*

Knowlton Johnson, Ph.D.

David Collins, Ph.D.

Steve Shamblen, Ph.D.

Abe Wandersman, Ph.D.

**2019**

Pacific Institute for Research and Evaluation (PIRE) – Louisville Center  
401 West Main Street  
Suite 2100  
Louisville, KY 40202  
Contact: David Collins (502) 238-7338

## Acknowledgements

Our Sustainability Readiness Strategy for Substance Abuse Prevention consists of four implementation resources – a Toolkit, Excel tools, a Training & Technical Assistance Guide, and an Evaluation Guide—to assist communities and organizations in the use of the strategy. Production of these resources has involved review and editing by several prevention professionals. Foremost is Dr. Bernard Murphy, PIRE’s CEO, who worked with the PIRE internal committee members to partially fund the production of revised documents associated with an earlier version of a PIRE sustainability strategy that was published in the *Journal of Community Psychology* in 2013. He served as a reviewer as well. Deborah Fisher, writer and editor, was our first line editor who was a co-author on the earlier sustainability toolkit. She made important substantive and copy-editing changes in the revised toolkit and guides. Dr. Abraham Wandersman, one of the four authors of the 2019 sustainability toolkit, was instrumental in editing changes of the original Getting to Outcomes® (GTO®) model, which is cited in our revised documents. Dr. Bill Scarbrough, PIRE-Louisville Center Director, provided important content editing to the Training and TA Guide, and Evaluation Guide.

We also want to thank our PIRE at-large and Tennessee network reviewers for their valuable input that was also incorporated into the final documents. Drs. Roland Moore, Al Stein-Seroussi, and Bob Flewelling, who are PIRE Senior Scientists, served on a special expert panel for this PIRE project. Ms. Leah Festa, Director of Prevention Alliance of Tennessee, and Kristina Clark of Clark Consulting Group, also served as key coalition reviewers based on their work with Tennessee coalitions. We also thank Dr. Hayden Center and Charlotte Carlton, who are sustainability training consultants, for a careful review of all four of the sustainability strategy documents. Finally, we also thank our PIRE-Louisville Center Production Director, Chris Bayer, who conducted the final formatting and copy editing of the four implementation resources.

The Sustainability Readiness Strategy for Substance Abuse Prevention will be a forthcoming registered trademark of the Pacific Institute for Research and Evaluation (PIRE). Getting to Outcomes (GTO) is a registered trademark of the RAND Corporation. Microsoft Excel is a registered trademark of Microsoft Corporation.

Copyright

Pacific Institute for Research and Evaluation

# *SUSTAINABILITY READINESS TOOLKIT*

2019

**Pacific Institute for Research and Evaluation (PIRE) – Louisville  
Center**

401 West Main Street

Suite 2100

Louisville, KY 40202

Contact: David Collins (502) 238-7338

**Knowlton Johnson, Ph.D.**

**David Collins, Ph.D.**

**Steve Shamblen, Ph.D.**

**and**

**Abraham Wandersman, Ph.D.**

## Table of Contents

Preface.....	1
Introduction.....	4
Get Started .....	9
Sustainability Readiness Question 1 (SELECT EBPIs) .....	14
Sustainability Readiness Question 2 (PRE-READINESS ASSESSMENT) .....	19
Sustainability Readiness Question 3 (OUTCOMES) .....	25
Sustainability Readiness Question 4 (ACTIVITIES) .....	31
Sustainability Readiness Question 5 (FIT) .....	40
Sustainability Readiness Question 6 (RESOURCES) .....	45
Sustainability Readiness Question 7 (PLAN).....	51
Sustainability Readiness Question 8 (IMPLEMENTATION MONITORING).....	56
Sustainability Readiness Question 9 (POST-READINESS ASSESSMENT) .....	61
Sustainability Readiness Question 10 (CQI) .....	65
Sustainability Readiness Question 11 (SIX-MONTH FOLLOW-UP ASSESSMENT) .....	69
References.....	72

## Preface

Considerable resources have been spent in the past three decades in the United States and other countries to implement, evaluate, and establish a variety of evidence-based preventive interventions (EBPIs) in the form of substance abuse prevention strategies, programs, policies, and practices (Johnson et al., 2017; Guide to Community Preventive Services, 2017). There are evidence-based substance abuse environmental strategies, programs in schools, and parent-focused interventions to mention a few. In addition, there are other community-oriented health promotion interventions that address cancer, heart disease, oral, and mental health (Centers for Disease Control and Prevention, 2018; Guide to Community Preventive Services, 2017). There are also growing numbers of violence prevention programs as well as positive youth development programs (Guide to Community Preventive Services, 2017; Center for the Study and Prevention of Youth Violence, 2017).

Continued funding for effective preventive interventions is vital but sustaining those interventions goes beyond financial support. Many practitioners and researchers agree that not only is sustainability important, but that steps should be taken in the earliest developmental stages of a project to increase the chances of success. However, there has been relatively little agreement about what sustainability means or how to accomplish it in any predictable fashion.

In *A Sustainability Toolkit for Prevention Using Getting To Outcomes*, released in 2009, we offered our view of a sustainability definition and a complete system for building sustainability. That toolkit was grounded in science-based practice and blended proven principles, research, and practical activities with information gleaned from systematic literature reviews in a variety of areas. We now propose a revised sustainability strategy in 2019, one that targets EBPIs while providing additional knowledge needed to understand, assess, and strengthen the capacities and member advocacy required to adopt and sustain them. In addition, we have made the toolkit more user-friendly by reducing its length and streamlining the sustainability readiness strategy.

The model for our revised toolkit is based, in part, on multiple publications involving substance abuse prevention coalitions. The first publication area includes a systematic research and literature review of sustainability studies, contents gleaned from the 2009 sustainability toolkit, and two more recent studies involving Tennessee substance abuse prevention coalitions.

- Johnson, K., Hays, C., Center, H., & Daley, C. (2004). Building capacity and sustainable prevention innovations: A sustainability planning model. *Evaluation and Program Planning, 27*, 135-149.
- Johnson, K.W., Fisher, D., Wandersman, A., Collins, D., & White, P. (2009). *A Sustainability Toolkit for Prevention Using Getting To Outcomes*. Pacific Institute for Research and Evaluation (PIRE) & Community Anti-Drug Coalitions Across Tennessee (CADCAT).
- Johnson, K.W., Collins, D., & Wandersman, A. (2013). Sustaining innovations in community prevention systems: A data-informed sustainability strategy. *Journal of Community Psychology, 41*(3), 322-340.
- Johnson, K., Collins, D., Shamblen, S., Kenworthy, T., & Wandersman, A. (2017) Long-term sustainability of evidence-based preventive interventions and community coalition survival: A five- and one-half-year follow-up study. *Prevention Science, 18*(5), 610-621.

The second area on which the toolkit's model is based is the *Getting To Outcomes*<sup>®</sup> process articulated in the following publications. These publications reflect the evidence base for *Getting To Outcomes* as well as the range of public health and safety issues that the model has been used to address.

- Imm, P., Chinman, M., Wandersman, A., Rosenbloom, D., Guckenburg, S., & Leis, R. (2007). *Preventing Underage Drinking: Using Getting To Outcomes with the SAMHSA Strategic Prevention Framework to Achieve Results*. Santa Monica, CA: RAND Corporation. [https://www.rand.org/pubs/technical\\_reports/TR403.html](https://www.rand.org/pubs/technical_reports/TR403.html).
- Chinman, M., Acosta, J., Ebener, P., Malone, P.S., & Slaughter, M.E. (2016). Can implementation support help community-based settings better deliver evidence-based sexual health promotion programs? A randomized trial of Getting to Outcomes. *Implementation Science*, *11*, 1-16.
- Ebener, P. A., Hunter, S.B., Adams, R.M., Eisenman, D., Acosta, J.D., & Chinman, M. (2017). *Getting To Outcomes Guide for Community Emergency Preparedness*. Santa Monica, CA: RAND Corporation. <https://www.rand.org/pubs/tools/TL259.html>.
- Chinman, M., Acosta, J., Ebener, P., Malone, P.S., & Slaughter, M.E. (2018). A cluster-randomized trial of Getting to Outcomes' impact of sexual health outcomes in community-based settings. *Prevention Science*, *19*, 437-448.

Before you embark upon your sustainability planning process, it's important to recognize that not all interventions should be sustained within coalitions or other organizations. Many preventive interventions are "home grown" and although appealing, have no evidence of effectiveness; others have some scientific evidence of success but are insufficient to qualify as EBPIs, and some have been shown not to produce outcomes. This toolkit is about sustaining EBPIs that show some evidence of success within the implementing organization's mission.

## Introduction to the Sustainability Readiness Toolkit

This toolkit is one of four documents that describe a straightforward process to plan, implement, and evaluate efforts to achieve readiness to sustain evidence-based preventive interventions (EBPIs). It's written to help prevention practitioners, coalitions, and other EBPI implementing organizations systematically work toward achieving sustainability. The other three additional documents are a set of Excel tools, a Training and Technical Assistance Guide, and an Evaluation Guide.

Our comprehensive sustainability readiness strategy is based on our work with community substance abuse prevention coalitions, which are networks of community organizations that may be interested in implementing one or more EBPIs.

Our vision for achieving sustainability readiness starts with three important assumptions:

1. Efforts in prevention should focus on sustaining EBPIs that have shown benefits to the targeted stakeholders in your community or elsewhere.
2. Efforts launched by an EBPI implementing organization should involve the entire membership in decision-making about selecting and sustaining EBPIs.
3. A culturally diverse sustainability readiness workgroup and leadership committee should be established to take the lead in working through the process described in this toolkit. It is expected that the workgroup will consult and work with a sustainability leadership committee (from the EBPI implementing organization) at key steps identified in the toolkit.

To be fully realized, the work described here should be part of a comprehensive sustainability readiness strategy that requires adequate external training, technical assistance (T/A), and evaluation support. We at PIRE have developed and would institute training, technical assistance, and evaluation services at a low cost to help deliver this system. However, if local sustainability readiness training, T/A, and evaluation services are available, this is a viable option with some assistance from the PIRE team. We have a detailed guide for any support system service listed in the toolkit. External funding will be needed for the sustainability external support system, but our strategy is designed for a low-cost budget. If local training, T/A, and evaluation expertise is available, PIRE can work with them in preparing for their roles.

### What is Sustainability?

The literature uses a variety of terms such as continuation, institutionalization, and routinization to describe the process of continuing an intervention beyond a trial or demonstration period. We settled on the term *sustainability* because it seems broad enough to incorporate many of the essential elements described by other terms.

As a starting point, we have adapted a revised definition offered by Johnson, Hays, Center, & Daley in an important article published in *Evaluation and Program Planning* in 2004: 'the process of ensuring an adaptive prevention system and a sustainable innovation that can be integrated into ongoing operations to benefit diverse stakeholders.'

**Sustainability is the process of ensuring an adaptive prevention system consisting of adequate infrastructure capacity and strong member advocacy for evidence-based**

**preventive interventions (EBPIs) that can be integrated into ongoing operations and continue to benefit stakeholders.**

This sustainability definition lists a series of key elements that are important to our work in Tennessee and can be maintained by EBPI implementing organizations in other states:

1. **Successful sustainability requires an EBPI implementing organization with adequate infrastructure capacity and strong member advocacy as proposed in this toolkit.**
2. **EBPIs must be the focus of sustainability**—An EBPI can include an effective program, policy, or strategy (e.g., school-based prevention program or policy change that targets substance abuse). An organization should not waste resources on sustaining “home grown” interventions that do not have outcome evaluation results produced at least by a quasi-experimental design with some comparison data sufficiently rigorous to have been published as a peer-reviewed publication.
3. **The EBPI needs to be tested in the implementing organization’s service area** – The toolkit allows for EBPI implementation in the local area as part of the sustainability readiness process.
4. **A sustainable EBPI is fully integrated into normal operations and continues benefiting stakeholders**—For an effective intervention to continue to provide benefits to stakeholders, sustainability goes beyond just having funding. Our strategy will include assessment of intentions to sustain EBPIs at baseline and at six-month follow-up. Intentions to sustain EBPIs include the following elements: written goals and objectives, written implementation plans with a schedule, EBPI-recommended implementation procedures adapted to fit local circumstances, written plans for evaluating or monitoring implementation, supervisor formally assigned, formalized job descriptions, evaluation reports like those for most other interventions, permanent staff assigned for implementation, administrative-level individual in the organization who actively advocates for the EBPI sustainability, and staff within the organization who actively contribute to EBPI operations. Eventually, the EBPI should transition from trial status, be assigned permanent physical space, have funding sources like the sources for other established interventions in the agency, and the staff most closely associated with implementation hired from a stable funding source.

**Why is Sustainability Important?**

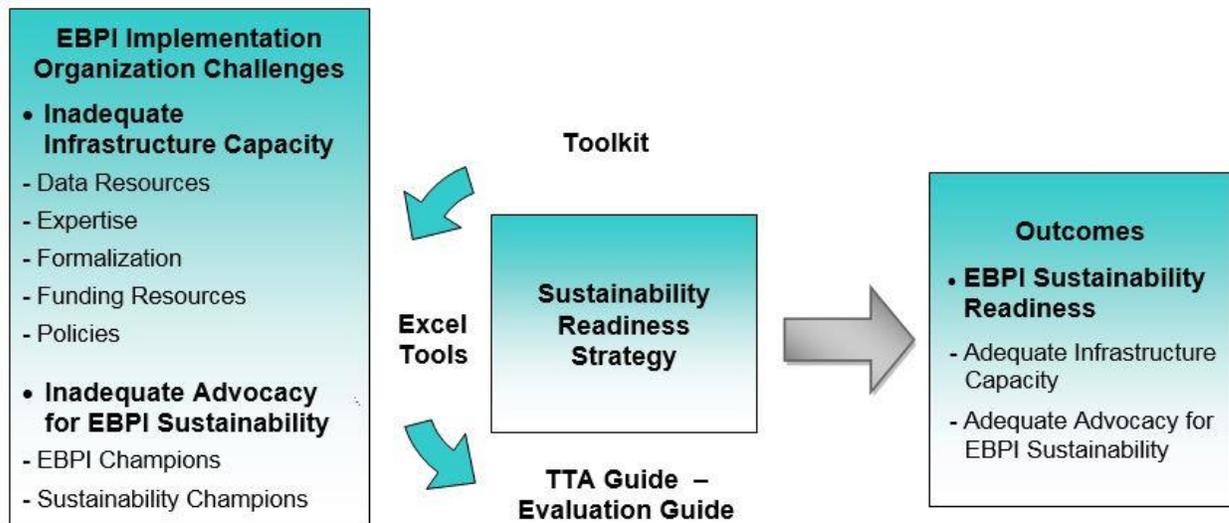
Implementing organizations often put huge amounts of time, energy and other resources into designing, developing, implementing, and evaluating preventive interventions. When positive results are produced, valuable lessons can be gleaned so that others can replicate what works. This benefits both those receiving the services as well as organizations providing them. It is important for Tennessee, other states, and tribal entities to implement and sustain proven preventive interventions to best use resources and continue to benefit stakeholders.

Is sustainability possible? A 2017 sustainability study (published in *Prevention Science*) by Johnson, Collins, Shamblen, Kenworthy, and Wandersman asked that question. These evaluators, who had worked with Tennessee coalition stakeholders in implementing a 2005-2010 SPF SIG project, found that a large majority of the Tennessee coalitions survived for *over five years* after the SPF SIG ended, as did most of the small number of EBPIs that were implemented

as part of this initiative. This sustainability readiness toolkit draws on some of the lessons learned that were identified in this study, as well as other literature, to help guide EBPI implementing organizations through the readiness process.

### Logic Model for a GTO-Based Sustainability Readiness Strategy

The logic model shown in Figure 1 below illustrates the sustainability readiness strategy which is based on an adapted GTO 11-step process. Four resources considered necessary to support implementation of the strategy are shown around the box that contains the strategy: Toolkit, Excel tools, Training and TA Guide, and Evaluation Guide. This strategy, described in detail later, should impact the sustainability readiness of one or more EBPIs that deal with serious prevention problems in a community, such as substance abuse. Sustainability readiness entails impacting the infrastructure capacity and member advocacy for EBPI sustainability of an EBPI implementing organization as defined later in the toolkit. If these mechanisms of change are realized, sustainability readiness should stimulate EBPI sustainability intentions.



**Figure 1. EBPI Sustainability Readiness Logic Model**

### Sustainability Questions Corresponding to the Adapted GTO steps

This 2019 GTO adaptation in the sustainability readiness strategy is designed to provide the EBPI implementing organization workgroup and leadership committee with higher quality assessment and external evaluation results to help do exactly what it says: *get to the desired sustainability readiness outcomes*. The GTO process rests on a firm foundation of accountability, which we define as the systematic inclusion of critical elements of program planning, implementation, monitoring, and evaluation to achieve results. Asking and answering the adapted GTO questions at each step of the process leads you through an accountability process, thus increasing your chances of success.

To help you develop and implement a comprehensive sustainability plan, we present below the GTO steps as GTO sustainability questions. We have recast all the original GTO questions in a revised sustainability readiness context, using them to provide you with a step-by-step planning process to assess and build the sustainability capacity of your work. Starting with Question 1, all

the questions, tasks, and tools build upon one another to help you plan, implement, monitor, evaluate, make continuous quality improvements to a completed sustainability plan, and conduct a follow-up assessment of readiness and sustainability intentions six months later.

<b>Adapted GTO Sustainability Readiness Questions</b>
<b>1. What EBPI(s) meet the sustainability selection criteria?</b>
<b>2. What EBPI implementing organization (1) infrastructure and (2) membership advocacy must be assessed to determine if the sustainability strategy is possible?</b>
<b>3. What are the desired outcomes associated with sustainability readiness that constitute the EBPI implementing organization’s goal(s) for sustaining EBPIs?</b>
<b>4. What activities can achieve sustainability readiness desired outcomes?</b>
<b>5. How do the sustainability readiness activities fit?</b>
<b>6. What resources are needed to implement the sustainability readiness activities?</b>
<b>7. What is the plan for impacting sustainability readiness?</b>
<b>8. What is the level of implementation quality?</b>
<b>9. How well did the sustainability plan achieve sustainability readiness?</b>
<b>10. How can the sustainability process be continuously improved over time?</b>
<b>11. Six months later, what is the level of EBPI sustainability readiness and intentions following implementation of the readiness strategy?</b>

### **How to Use the Toolkit**

The steps and tasks described in this toolkit will follow the flow of the logic model we’ve shown in Figure 1 above. The toolkit guides you in using the data-driven tools provided in each step to fully assess the conditions we identify as necessary to charting a successful sustainability plan. The tools will help you determine the current, relevant conditions upon which to base the decisions you need to make to develop your plan. The full scope of your assessments, sustainability planning, and decision-making process should be supported by the training, technical assistance, and evaluation needed to round out the system we’ve described.

### **Completion Calendar: How Long the Process Will Take**

In the next section on how to get started on your sustainability planning process, you’ll learn more important background information to help you lay good groundwork for moving ahead. The first steps to getting started are to establish a sustainability leadership committee in the EBPI implementing organization that will convene a diverse, interagency sustainability workgroup to do the tasks presented in this toolkit.

We will give you more detailed information as you work through each question about the tasks that need to be accomplished, who will be doing the work, and how long it should take to complete a set of tasks. For now, we want to give you a quick overview of the timeframe for the entire process, so we’ve summarized our ideas on the estimated length of the sustainability process and major tasks in the *Calendar Snapshot* shown below.

**Sustaining EBPIs takes time. We recommend taking 18 months to work through the strategy’s 11 sustainability readiness processes in this toolkit.** Our timeframe assumes:

- Establishing a sustainability leadership committee, and then forming a sustainability workgroup and answering sustainability readiness questions 1-7 which can be done in months one through six/seven.
- Answering sustainability questions 8-10 can be done during months eight through twelve.
- Question 11 entails a review of the external evaluator’s report on a six-month follow-up assessment of the organization’s continued level of readiness and sustainability intentions in month 18. **THERE ARE NO SCHEDULED WORKGROUP MEETINGS BETWEEN MONTHS 12 AND 18.**

Our calendar should give you enough time to adequately accomplish all the tasks while keeping participants motivated and involved.

### Calendar Snapshot

Workgroup Meeting	Workgroup Tasks	Month
1	Get Started -Establish workgroup	1
2	-Complete the Get Started tasks Question 1 -Select EBPIs to be sustained using Tool 1 (Select Sustainable EBPIs)	2
3	Question 2 -Review Tool 2 (Pre- Readiness Assessment Results)	3
4	Question 3 -Complete Tool 3 (Readiness Outcomes)	4
5	Questions 4 through 6 -Complete Tool 4 (Review of EBPI Sustainability Strategy Activities) -Complete Tool 5 (Fit of EBPI Sustainability Strategy Activities) -Complete Tool 6 (Resources for EBPI Sustainability Strategy Activities)	5
6	Question 7 -Complete Tool 7 (Sustainability Plan)	6-7
7	Question 8 -Complete Tool 8 (Sustainability Plan Monitoring)	11
8	Questions 9 and 10 -Review Tool 9 (Post-Readiness Assessment Results) -Complete Tool 10 (CQI Summary)	12
9	Question 11 -Review Report on EBPI Sustainability Continued Readiness and Intentions	18

More detailed time frames and major tasks for the 11 sustainability questions will be described in individual sections in the toolkit. We also note the time estimates in the instructions for each of the section tools. A *Completion Calendar Checklist* for each of the sections will help you organize your work as you proceed through the toolkit.

## Get Started

### Laying the Groundwork for Sustainability of EBPIs

The sustainability readiness planning works best when it is an integral part of the overall policies, practices, and procedures of your EBPI implementing organization. The more an entire organization and its members adopt and apply the process as a team, the more dynamic and effective the process. It's vital that the workgroup reflect a full range of diversity and represent key entities that have a stake in your outcomes.

Your chances of success are greatly enhanced by integrating the work we describe into your everyday business rather than viewing sustainability readiness as an add-on. We have designed the tools and resources to help you incorporate this important work into your day-to-day operations, which will make your work easier in the long run.

This section includes two major activities that need to be completed before beginning the sustainability strategy. The first activity is to establish a sustainability leadership committee, which will then convene a workgroup that will implement the readiness strategy. The second activity is to select evidence-based preventive intervention(s) to be sustained. The EBPI may have just started or may be new to your organization.

#### Set Up a Sustainability Leadership Committee and Workgroup

We recommend that you start your process by establishing a sustainability leadership committee within your EBPI implementing organization. The committee, composed of at least four members, will convene a workgroup (described next), which will implement the EBPI sustainability readiness strategy described in this toolkit. This workgroup will report to the committee, which will act on any recommended actions. An external evaluator will provide three evaluation reports at key steps to inform the leadership committee and work group of sustainability readiness at pre- and post- strategy implementation, and a six-month follow-up.

We recommend that you next establish a sustainability readiness workgroup made up of people from your EBPI implementing organization, who are committed to doing what it takes to achieve sustainability. Achieving sustainability capacity and EBPI advocacy is not about simply attaining a status quo or even securing funding. It's about embracing an ongoing change process that allows you to keep up with dynamic community conditions, so you can continuously improve your work to respond to change.

Your workgroup, ideally composed of five or six members, should be composed of dynamic participants who can gather and analyze information as well as communicate and promote innovative ideas within the diverse communities involved in your projects. You'll want people familiar with substance abuse prevention. You should also consider strategically reaching out to people who may not yet be part of the process but should be. It's important to recruit new people who might not already be advocates but are nonetheless key members of the organization with a stake in the results of your efforts.

You want members who can help you:

- Stay connected to the diverse community groups and agencies you want to be part of achieving your sustainability plans.

- Gather, analyze, interpret, and make sense of information and data.
- Understand how to strategically use information and data to stay on top of trends.
- Perceive what is changing in the community and fine-tune project needs.
- Develop insights on specific issues associated with sustainability.
- Define best substance abuse prevention practices and establish standards in relevant areas of your work to help improve outcomes.
- Belief in evaluation data to continuously update your sustainability efforts to keep it relevant.

Ideally, the members of this workgroup will be willing to work throughout the entire 18-month sustainability readiness process. In each readiness question, we describe the work for which they'll be responsible as you move through the entire process.

### **Guidance for Selecting Sustainability Workgroup Members**

You should take some time to decide on the ideal composition of the workgroup before recruiting members to ensure this group is an interagency one. That time can also help ensure you're achieving a sufficient level of inclusiveness and cultural diversity in your workgroup.

Start by brainstorming and making lists of all the types of members you hope for and the people who might fit these roles. You could conduct some key informant interviews to gather the names of potential candidates. If a coalition convenes the workgroup, look for a balance of coalition and sector representation. Consider representation in the following sectors for inclusion: youth, K-12 education, higher education, criminal justice, health care, business, civic groups, faith groups, media, local government, service providers, and parents. There may be others important in your community to include. Similarly, in an organization other than a coalition, you should also consider diversity of roles within the organization.

Discuss and write up a short draft describing the roles and responsibilities of the workgroup to give to potential recruits, so they will know exactly what they're being asked to do. Whether you choose to send out a letter describing the job or have informal discussions with people, be prepared to answer the following questions:

- What are the problems and issues being addressed?
- Who is convening the workgroup?
- Who will be coordinating data-related tasks of the workgroup?
- How will the workgroup be structured and to whom will they report?
- What are the roles and responsibilities of each workgroup member?
- What is the ongoing time commitment and how long are members expected to serve?
- What is the workgroup ultimately expected to produce and by when?
- When does the convening group need an answer from me about whether I'll participate?

In addition to expertise, you're looking for potential workgroup members who hold a certain level of stature in the community or organization and who may have a significant stake in the

issues of youth drug and alcohol use. If an ideal candidate you've approached is unable to participate, consider asking them if they can recommend someone else with similar background you can invite.

## **Initial Tasks for Workgroup**

### *Task 1: Role assignments*

The workgroup's first task will be to confirm two people to handle different tasks:

- *Workgroup Facilitator*—Responsible for managing the overall sustainability planning process (if one has not already been identified). Choose a credible leader for this role, someone who is accustomed to facilitating, negotiating, and building consensus. The workgroup facilitator should also serve as a member of the organization's sustainability leadership committee.
- *Data coordinator*—A qualified person to complete and manage the assessment tools in cooperation with the facilitator. It is helpful for this person to have experience in working with data using Excel and similar tools. This person should *not* be the same person who is chosen to facilitate the ongoing work of the group.

You may also want to add what we call a “most knowledgeable person” to help with specific tasks and assignments. This is someone who is familiar with the work and history of the EBPI implementing organization or who may have specific expertise in areas that would enhance the development of your sustainability plans. We will discuss later how you might consider the most knowledgeable person—and there may be more than one—to lead specific sustainability readiness activities in which they have knowledge or skills.

Once the workgroup comes together, a good place to start your work is to ask everyone to review the entire toolkit to get familiar with the contents in preparation for your first meeting. In your first meeting, you can discuss expectations for the workgroup, the overview of your process, any concerns, and what your work schedule is going to look like.

### *Task 2: Management*

In addition to managing the overall sustainability planning process, the workgroup will be expected to:

- Set meetings with relevant members of data sectors such as directors and managers of management information systems (MIS) to determine which data resources the sectors have or can develop to assist the EBPI implementing organization's work.
- Report back to the leadership committee on the available data.
- Develop a system for periodic data review.

### *Task 3: Relationships*

Building trust and developing solid, working relationships are both important to the success of the workgroup. Slowing down to make sure everyone's voice is heard helps ensure that you are working in culturally competent ways. Depending on the final composition of the group, you may need to also overcome a lack of experience in working together. We recommend the workgroup:

- Take time to get acquainted and establish agreed-upon protocols to facilitate its work.

- Assess if there are any trainings that would help develop more cohesiveness such as group process or understanding cultural competence. PIRE will be available to provide this training at a reasonable cost.
- Consider ways to keep people engaged throughout the process.

Paying attention to the process and achieving successes in your sustainability readiness plans will meet the challenges of some of the issues listed above, but part of your success will also come from making sure meetings are efficient and communication is clear, keeping members informed, and ensuring they're not overwhelmed.

### **Workgroup Meetings to Get Started**

As noted earlier, it is important for the entire EBPI implementing organization to adopt and apply a sustainability readiness planning process. During a meeting of the leadership committee the readiness process should be discussed with the members.

After the initial meeting, two workgroup meetings should be held to a) establish the workgroup, b) outline its functions, and c) select EBPIs to be sustained. The actions to be implemented in these two meetings are described next.

#### *Workgroup Meeting 1 – Establish Workgroup*

An initial facilitated meeting will help establish the workgroup. Topics in this first meeting should include guidelines for the workgroup's function, assignment of roles and responsibilities, and member agreements for rules and processes. Questions about the members' review of the toolkit should be addressed.

#### *Workgroup Meeting 2 – Get Started and Select EBPIs to be Sustained*

Once the workgroup is established, the workgroup will (in Workgroup Meeting 2) solidify management functions.

In the same meeting, the workgroup will also select EBPIs to be sustained. This process is further explained in detail in Question 1, which follows this section.

### **Completion Calendar Checklist for Getting Started**

To help you move through the toolkit in an organized way, we've provided the table below called the *Completion Calendar Checklist*. Similar checklists will be found at the end of each section. The workgroup should take time to check on its progress at each of its meetings.

<b>Actions</b>	<b>Lead Person(s)</b>	<b>Method</b>	<b>Month</b>	<b>Completion Dates</b>	<b>If Not Completed, What Needs to be Done to Complete?</b>
<b>Initial Meeting</b>			<b>1</b>		
Discuss process for leadership committee	Facilitator	Discussion	1		
<b>Workgroup Meeting 1 – Establish Workgroup</b>			<b>1</b>		
Identify workgroup members (six or more members)	Sustainability Leadership Committee,	Consensus	1		

<b>Actions</b>	<b>Lead Person(s)</b>	<b>Method</b>	<b>Month</b>	<b>Completion Dates</b>	<b>If Not Completed, What Needs to be Done to Complete?</b>
	Workgroup				
Finalize workgroup membership	Workgroup Facilitator	Consensus	1		
Assign workgroup roles	Workgroup	Consensus	1		
Agree to meeting rules and processes	Workgroup	Consensus	1		
Workgroup presents summary to leadership committee	Workgroup	Summary	1		
<b>Workgroup Meeting 2 – Get Started</b>			<b>2</b>		
Get Started presentation	Facilitator	Presentation, Discussion	2		
Confirm workgroup roles	Workgroup	Consensus	2		
Establish management functions	Workgroup	Consensus	2		
Confirm workgroup relationships	Workgroup	Consensus	2		

# Sustainability Readiness Question 1

## What EBPI(s) meet the sustainability selection criteria? (SELECT EBPIs)

### Overview

The first step in starting the sustainability planning process is to identify EBPIs to be sustained that meet certain criteria. This should be completed by the workgroup during its second meeting (see Completion Calendar Checklist at the end of this section).

### Why This Sustainability Question is Important

**This question is important because the focus of this toolkit is on the sustainability of EBPIs, which have evidence of effectiveness derived through evaluation.**

### Select EBPI(s) to be Sustained

The workgroup should first identify EBPIs that address high priority community substance abuse problems. The EBPIs may be in the process of being implemented or identified in this step to be implemented. Selection of the EBPIs should meet one of the following criteria:

1. The preventive intervention is listed on a recognized registry of evidence-based programs (e.g., Blueprints for Healthy Youth Development, Guide to Community Preventive Services, or the Model Programs Guide of OJJDP).

**or**

2. The preventive intervention has outcome results from a published evaluation showing evidence of positive effects of the intervention. The evaluation should include, at minimum, an intervention-group-only evaluation design with pre-, post- and follow-up assessments. Ideally, there would be a control group study or studies that show effectiveness. **The intervention must also include an implementation guide.**

### Use Tool 1: Select Sustainable EBPIs

If one or more EBPIs identified to be sustained meet one of the above criteria, the workgroup should next complete for each EBPI, using consensus, **Tool 1: Select Sustainable EBPIs** (see tool at the end of this section). The tool is designed so that up to three EBPIs can be assessed. The EBPI attributes measured in this tool have been found in two or more published studies to be associated with at least one sustainability outcome. Our literature searches found that the four attributes shown in Table 1.1 below were shown to be associated with sustainability in two or more peer-reviewed published studies (at least one of which involved an EBPI).

**Table 1.1: Sustainable EBPI Attributes**

Attributes	Operational Definition
Compatibility	EBPI meets the community needs, fits the values and culture of the community, and fits with other prevention efforts
Simplicity	Perceived simplicity of EBPI by members of the EBPI implementing organization
Ownership	Organization stakeholders are supportive and feel ownership of EBPI
Relationships	Relationships between those implementing the EBPI and other key stakeholders and organizations that include collaboration, trust, communication, and enthusiasm

Once the workgroup identifies one or more EBPIs that meet the criteria outlined above, the process for completing this tool is:

1. The data coordinator enters the name of the first EBPI being considered into the box indicated.
2. The workgroup uses a consensus process to answer each of the items about the attributes related to sustainability of the first EBPI and the data coordinator enters the consensus responses into the Excel tool using an “x”.
3. The Excel tool will display for each attribute a rating of: Not Adequate, Marginally Adequate, or Adequate.
4. The workgroup then continues to the next EBPI being considered for sustainability and repeats steps 1-3 of the above process for each.
5. Continue until information has been entered for up to three EBPIs being considered for sustainability.
6. The last step to be conducted applies only if two or more EBPIs are being considered. The workgroup should review the attributes of each of the EBPIs that are (according to the tool) shown to be Adequate as opposed to Not Adequate or Marginally Adequate. The workgroup can use this information to rank the EBPIs according to their potential likelihood to be sustained.

The workgroup can still consider sustainability of all of the EBPIs. It should be noted that in our literature review of the relationships between the four attributes and sustainability, the attributes of compatibility and simplicity had stronger evidence of a relationship to sustainability of EBPIs than did the attributes of ownership and relationships.

An expert panel consisting of PIRE research scientists and community coalition experts reviewed our scoring system for adequacy. The results will provide important information that the workgroup should consider in making their final decision about the EBPIs that they want to sustain. The information can also be useful as the workgroup proceeds through the sustainability strategy implementation.

### **Example of an EBPI Assessment Using Tool 1**

To help you as you use Tool 1, consider the following example of an intervention being considered for its sustainability potential.

One of two high schools in a Tennessee county began implementing Project Towards No Drug Abuse (TND) in the current school year. Project TND is a model program of the Blueprints for Healthy Youth Development (Center for the Study and Prevention of Violence, 2017). The program targets youth who are at risk for drug use and violence-related behavior. Sessions provide instruction in motivation activities to not use drugs, self-control and communication skills, and decision-making strategies. Results have shown reductions in prevalence of use of cigarettes, marijuana, and other drugs compared to a control group of students.

Project TND as it is currently being implemented involves twelve 40-minute interactive sessions taught over a three-week period to high school youth. Certified classroom teachers teach the program. The high school has a Project TND coordinator who monitors fidelity and oversees the ongoing implementation of Project TND in the school, but the school is also interested in

gaining additional champions for the program in the community.

In considering this intervention for sustainability, the workgroup should use the information provided about the EBPI attributes.

- In rating Compatibility, the workgroup members should consider how well the EBPI meets the community needs, fits the values and culture of the community, and fits with other prevention programming.
- In rating Simplicity, the workgroup should consider that the strategy involves a school curriculum. The measures of Simplicity relate to ease of implementation, the number of components, and the overall complexity of the EBPI.
- In rating Ownership, the workgroup should consider the degree to which they believe that the stakeholders who would likely be involved with the EBPI would have influence on the design, implementation, and long-term planning for the intervention. This could require consideration of who the key stakeholders would be, including those who implement the school program and who oversee its implementation.
- In rating Relationships, the workgroup should again consider the potential key stakeholders and assess whether they expect these stakeholders will collaborate and communicate, while also maintaining trust and enthusiasm.

## TOOL 1: Select Sustainable EBPIs

NAME OF EBPI IMPLEMENTING ORGANIZATION	INSERT NAME			
NAME OF EBPI	Workgroup Inserts Name of EBPI			
Please select the response that best fits your workgroup's consensus for each of the following items.	Strongly disagree	Disagree	Agree	Strongly agree
<i>Compatibility</i>				
This EBPI fits well with other substance abuse preventive interventions implemented in the community.				
This EBPI helps us meet the current needs of our community.				
This EBPI is timely given the current needs of the community.				
This EBPI fits well with the culture and values of our community.				
<i>Simplicity</i>				
This EBPI is simple and easy to implement.				
There are so many components to this EBPI that it is hard to understand all the pieces.				
Putting this EBPI into place is difficult because of its complexity.				
<i>Ownership</i>				
The stakeholders involved with this EBPI have influence on the design of the EBPI.				
The stakeholders involved with this EBPI have influence on the implementation of the EBPI.				
The stakeholders involved with this EBPI have influence on the long-range planning for this EBPI.				
<i>Relationships</i>				
The key stakeholders involved with this EBPI can collaborate effectively.				
The key stakeholders involved with this EBPI have a high level of trust in each other.				
The key stakeholders involved with this EBPI are able to communicate well with each other.				
The key stakeholders for this EBPI have a high level of enthusiasm for the EBPI.				

	Adequacy of Compatibility	Adequacy of Simplicity	Adequacy of Ownership	Adequacy of Relationships
Not Adequate				
Marginally Adequate				
Adequate				

### Completion Calendar Checklist for Select Sustainable EBPIs Tasks

Actions	Lead Person(s)	Method	Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
Discuss criteria for EBPIs	Facilitator	Presentation, Discussion	2		
Workgroup identifies potential EBPIs for sustainability using two criteria	Workgroup	Discussion and consensus	2		
Workgroup completes Select Sustainable EBPIs Tool	Workgroup	Discussion and tool completion	2		
Workgroup selects EBPIs using results from tool	Workgroup	Workgroup selects EBPI	2		

## Sustainability Readiness Question 2

### Assess EBPI implementing organization infrastructure capacity and membership advocacy (ASSESS)

#### Overview

Having completed Get Started and Question 1 (Select EBPIs), we turn to an infrastructure capacity and member advocacy assessment of the EBPI implementing organization to determine if they are adequate to sustain an EBPI. This assessment involves the work of the external evaluator that is part of the sustainability strategy support system. In this section we describe the assessment process and how the results will be used by your workgroup.

Needs assessments are familiar to many people working in prevention. What is different about this process is that the sustainability assessment focuses on what conditions are needed to sustain a targeted EBPI. First, EBPIs must have some evidence of effectiveness. Effectiveness can be determined with an evaluation that uses an experimental or quasi-experimental design. This means an EBPI, with single or multiple components, should be implemented and sustained, as it was originally evaluated. Adapted EBPIs should only be sustained if the EBPI adaptations have also been evaluated and found to have positive outcomes prior to or during the implementation of the sustainability readiness strategy.

#### Why This Sustainability Question is Important

**This question is important because two challenges to EBPI sustainability noted in the literature are inadequate infrastructure capacity and inadequate member advocacy for the participating EBPI implementing organization. Therefore, it is important to conduct an initial assessment of the status of the organization vis a vis these two challenges.**

#### Assess Readiness to Sustain EBPI(s)

Question 1 focuses on assessing the potential of the organization's readiness to sustain an EBPI in the targeted community. Sustainability studies suggest that it is important for organizations to have adequate prevention system capacity (infrastructure capacity) and member advocacy to implement and sustain EBPIs. Both factors are shown in our sustainability readiness logic model (Figure 1).

Table 2.1 below lists five infrastructure capacities and two types of member advocacy with definitions for each. The factors in Table 2.1 are among those with the strongest evidence as predictors of sustainability that we found in our 2017 literature review. Specifically, each factor was shown in two or more peer-reviewed published studies (at least one of which involved an EBPI) to have been associated with at least one sustainability outcome.

**Table 2.1. Sustainability Readiness Factors That Predict EBPI Sustainability**

<b>Sustainability Readiness Factors</b>	<b>Definition</b>
<b>Infrastructure Capacities</b>	
Data Resources	Data resources that support prevention and include archival data, student survey data, household data, evaluation data from preventive intervention implementation, and state or regional level substance use related data
Expertise	Proficiency in obtaining funding for EBPIs, planning, implementing (and monitoring implementation of) EBPIs, and sustaining EBPI(s)
Formalization	Structures and practices that facilitate operating processes which support organizational functioning, including EBPI planning, implementation and sustainability
Funding Resources	External funding resources that support planning, implementation and sustainability of preventive interventions (from federal, state, local government, foundation, and other sources)
Policies	Written policies that support implementing (and monitoring implementation of) EBPIs, and sustaining EBPI(s)
<b>Member Advocacy</b>	
EBPI Champions	Members of the organization who proactively advocate for identifying EBPIs to meet community needs, and for implementing and monitoring implementation of EBPIs
Sustainability Champions	Members of the organization who proactively advocate for sustaining EBPIs through developing and implementing plans, defining personnel roles, developing managerial functions within the EBPI implementation agency, and developing stable funding and housing for the EBPI

An external evaluator will support your workgroup in collecting data to assess the capacity and advocacy factors shown in Table 2.1 (and later in Tool 2). It is important that an *external* evaluation be conducted to ensure valid and reliable assessment results thereby reducing potential bias on the part of the implementing organization. Further, having an external evaluator reduces the amount of work to be done by the workgroup.

We recommend using the following evaluation process for the assessment:

1. The workgroup will provide its sustainability leadership committee members' contact information to the external evaluator.
2. The external evaluator will survey the leadership committee membership through a web survey, telephone interview, or in-person survey administration, to assess sustainability readiness immediately after the workgroup completes Question 1.
3. The external evaluator will prepare a brief report that shows the readiness survey results (the percentage of the highest score possible) for each capacity and advocacy factor. The report will also include the values for each separate item that makes up each of the capacity and member advocacy scores. The information from this brief report is intended for use by the workgroup in Question 3.
4. The workgroup data coordinator will transfer the leadership committee assessment of infrastructure capacity and member advocacy results (percentage scores) from the brief

report into Excel **Tool 2: Pre-Readiness (Baseline) Assessment Results**, and the tool will calculate adequacy scores. Remember that there are five infrastructure capacity measures (Data Resources, Expertise, Formalization, Funding Resources, and Policies) and two member advocacy measures (EBPI Champions and Sustainability Champions).

To aid the workgroup in interpreting what the percentage scores mean, the following shows how each factor is measured and scored:

- *Data Resources* is measured using five items (e.g., In the past year has your EBPI implementing organization had access to county-level student survey results that can be used for substance abuse prevention planning?). The Data Resources percentage score is the percentage of the highest score possible across these items.
- *Expertise* is measured using four items (e.g., Please rate your organization’s level of expertise for implementing EBPIs). The Expertise percentage score is the percentage of the highest score possible across these items.
- *Formalization* is measured using seven items (e.g., My organization currently maintains an up-to-date membership list). The Formalization percentage score is the percentage of the highest score possible across these items.
- *Funding Resources* is measured using six items (e.g., Does your organization currently receive state funding—other than pass-through federal block grant funding—that is used to fund preventive interventions?). The Funding Resources percentage score is the percentage of the highest score possible across these items.
- *Policies* is measured using three items (e.g., Does your organization currently have a written policy specifying that EBPIs be given priority for implementation?) The Policies percentage score is the percentage of the highest score possible across these items.
- *EBPI Champions* is measured using three items (e.g., In the past year, how many organization members have actively advocated for implementing EBPIs? Responses can range from 0 [none] to 1 [one or more] to 2 [for three or more].). The EBPI Champions percentage score is the percentage of the highest score possible across these items.
- *Sustainability Champions* is measured using nine items (e.g., In the past year, how many organization members have actively advocated for a formal evaluation of the EBPI being conducted? Responses can range from 0 [none] to 1 [one or more] to 2 [for three or more].). The Sustainability Champions percentage score is the percentage of the highest score possible across these items.

Adequacy of readiness will be assessed based on the sustainability leadership committee’s responses to the measures for the seven factors. As described above, the workgroup data coordinator will transfer results from the report—specifically the percentage score for each factor (the percentage of the highest score possible)—into Tool 2. Once this is done, adequacy of readiness for the seven factors will be calculated in Tool 2. The tool will also show adequacy results for Infrastructure Capacity and for Member Advocacy.

### **Use Tool 2: Pre-Readiness (Baseline) Assessment Results**

Prior to workgroup meeting 3, the data coordinator will transfer the percentage scores for the readiness results into Tool 2. After the data coordinator has transferred the percentage scores

from the evaluation report into Tool 2, adequacy will be calculated, and the level of adequacy will be displayed in the tool. The workgroup should review the level of adequacy of each of the above infrastructure capacity and member advocacy factors. This should be accomplished by reviewing both the brief report and Tool 2.

The workgroup should focus special attention on any readiness result receiving a Not Adequate or Marginally Adequate rating. These will help your EBPI implementing organization easily see weak areas that should be targeted for attention to strengthen and ensure the capacities you need to build sustainability. As you will learn in Question 3, you will also be paying attention to those readiness results that are Adequate in the pre-assessment, but whose adequacy needs to be maintained.

The workgroup and the external evaluator will present the brief report to the EBPI implementing organization's sustainability leadership committee.

## TOOL 2: Pre-Readiness (Baseline) Assessment Results

	NAME OF EBPI IMPLEMENTING ORGANIZATION				INSERT NAME	
	Data Resources	Expertise	Formalization	Funding Resources	Policies	Infrastructure Capacity
Readiness Survey Result (% of Possible Score)						
Not Adequate						
Marginally Adequate						
Adequate						

	EBPI Champions	Sustainability Champions	Member Advocacy
Readiness Survey Result (% of Possible Score)			
Not Adequate			
Marginally Adequate			
Adequate			

### Completion Calendar Checklist for Assessment Tasks

Actions	Lead Person(s)	Method	Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
External evaluator collects and analyzes data	External Evaluator		2		
External evaluator analyzes data and provides results in a brief report	External Evaluator	Report	3		
<b>Workgroup Meeting 3 – Review Results of Readiness Assessment</b>					
Data coordinator transfers percentages from brief report into Tool 2 (Pre-Readiness Assessment Results)	Data Coordinator	Tool Completion	3		
Facilitator leads discussion of report and Tool 2 (Pre- Readiness (Baseline) Assessment Results)	Facilitator	Discussion	3		
Workgroup reviews outcome adequacy ratings in Tool 2	Workgroup	Review by Workgroup	3		
External evaluator provides brief report to leadership committee	External Evaluator	Report	3		

## Sustainability Readiness Question 3

### What are the desired outcomes that constitute achieving EBPI sustainability readiness? (OUTCOMES)

#### Overview

A *goal* indicates your overall direction, describing the impact you hope to have in the future. Based on our research, we suggest the following short-term and intermediate goals stemming from our definition of sustainability presented in the toolkit's introduction.

There are two goals that this sustainability readiness strategy aims to achieve.

**Goal 1 (short-term)** – Ensure EBPI implementing organization sustainability readiness by increasing adequate infrastructure capacities and member advocacy for EBPI sustainability (short-term).

**Goal 2 (intermediate)** – Ensure EBPI implementing organization has sustainability readiness and intentions for continuing EBPIs (assuming block grant funds are not available) (intermediate).

The sustainability readiness strategy presented in this toolkit targets short-term goal 1, which is to impact sustainability readiness. The strategy also targets the intermediate goal 2, which is to ensure that the organization has sustainability intentions for EBPIs. Our assumption is that achieving these goals should lead to the fulfillment of the long-term goal—to sustain EBPIs.

*Desired outcomes* are the specific changes expected to happen because of EBPI implementing organization actions that stem from the toolkit. This section covers specific outcome measures for Goals 1 and 2.

#### Why This Sustainability Question is Important

**This question is important because it helps your implementing organization understand the two goals that the readiness strategy is designed to help continue EBPI implementation in your organization. The short-term goal is sustainability readiness and the intermediate goal is sustainability intentions. The long-term goal that should result is the sustainability of EBPIs.**

In the following sections, we will first cover Goal 1 and show how the information from Question 2 (ASSESS) can be used to develop your short-term sustainability readiness outcomes, expressed in the form of statements. In this section we will also cover how to use **Tool 3: Readiness Outcomes**. In the last section, we will discuss the intermediate goal of intentions to sustain EBPIs and how the intermediate goal will be assessed in Question 11 in the follow-up conducted six months after implementation of your plan.

#### Outcomes Related to Goal 1

In the context of the sustainability readiness process, short-term outcomes are mechanisms of change as specified in Table 3.1 below. This table presents five organization infrastructure capacity outcomes and two advocacy outcomes that stem from research showing connections to successful sustainability. These outcomes were also shown in Table 2.1 (presented as sustainability readiness outcomes that predict EBPI sustainability).

**Table 3.1. Sustainability Readiness Outcomes Related to Goal 1**

<b>Sustainability Readiness Outcome</b>	<b>Definition</b>
<b>Infrastructure Capacities</b>	
Data Resources	Data resources that support prevention and include archival data, student survey data, household data, evaluation data from preventive intervention implementation, and state or regional level substance use related data
Expertise	Proficiency in obtaining funding for EBPIs, planning, implementing (and monitoring implementation of) EBPIs, and sustaining EBPI(s)
Formalization	Structures and practices that facilitate operating processes that support organizational functioning, including EBPI planning, implementation and sustainability
Funding Resources	External funding resources that support planning, implementation and sustainability of preventive interventions (from federal, state, local government, foundation, and other sources)
Policies	Written policies that support implementing (and monitoring implementation of) EBPIs, and sustaining EBPI(s)
<b>Member Advocacy</b>	
EBPI Champions	Members of the organization who proactively advocate for identifying EBPIs to meet community needs, and for implementing and monitoring implementation of EBPIs
Sustainability Champions	Members of the organization who proactively advocate for sustaining EBPIs through developing and implementing plans, defining personnel roles, developing managerial functions within the EBPI implementation agency, and developing stable funding and housing for the EBPI

### Use Tool 3: Readiness Outcomes

The development of short-term outcomes begins with the workgroup’s review of **Tool 3: Readiness Outcomes**, which shows the levels and adequacy of each of the readiness results.

Tool 3 has been designed to produce short-term results based on the seven outcomes that were assessed in Question 2. These outcomes will focus on plans to strengthen sustainability readiness in infrastructure capacities and types of advocacy that were found to be Not Adequate or Marginally Adequate in the external evaluation report. In addition, the outcomes for those capacities that were already Adequate will indicate that you plan to maintain the adequacy of those outcomes.

In Question 2, the workgroup was asked to discuss the EBPI implementing organization readiness results. In addition, the external evaluator presented a brief report to the sustainability leadership committee. Now the workgroup will review Tool 3, which includes a summary of the level and adequacy of each of the five infrastructure capacity outcomes and two advocacy outcomes and discuss those that are Not Adequate or Marginally Adequate.

At the bottom of Tool 3, those readiness results that are Not Adequate or Marginally Adequate are shown in statement format with the following wording to make an outcome statement: Increase the Adequacy of [OUTCOME]. For those readiness results that are shown as Adequate in the top portion of the tool, the outcome statement reads: Maintain the Adequacy of

[OUTCOME].

The process for using this tool is as follows:

1. The workgroup reviews the top portion of Tool 3 which displays the following for each of five infrastructure capacity and two advocacy results from the readiness survey:
  - The percentage of the highest possible score for each of the readiness results.
  - The rating based on the percentage of the highest possible readiness score (e.g., Not Adequate, Marginally Adequate, or Adequate).
2. The workgroup should then review the lower portion of Tool 3 in which outcome statements are shown as follows:
  - For those outcomes that were rated as Not Adequate or Marginally Adequate, the outcome statements are worded as “Increase the Adequacy of...”
  - For those outcomes that were rated as Adequate, the outcome statement will be worded as: “Maintain the Adequacy of...”

As noted above, to achieve both the necessary and sufficient readiness to sustain your selected EBPI(s), you will need to maintain those readiness results that are already Adequate and strengthen those readiness results that are Not Adequate or Marginally Adequate.

3. The workgroup should discuss the readiness results in the top portion of Tool 3 as well as the outcome statements in the bottom portion of the tool.

After completing the work in this question, the workgroup should present a summary of the results to the EBPI implementing organization’s sustainability leadership committee.

### TOOL 3: Readiness Outcomes

	NAME OF EBPI IMPLEMENTING ORGANIZATION			INSERT NAME	
	Data Resources	Expertise	Formalization	Funding Resources	Policies
Readiness Survey Result (% of Possible Score)					
Not Adequate					
Marginally Adequate					
Adequate					

	EBPI Champions	Sustainability Champions
Readiness Survey Result (% of Possible Score)		
Not Adequate		
Marginally Adequate		
Adequate		

### OUTCOME STATEMENTS

Increase / Maintain the adequacy of Data Resources
Increase / Maintain the adequacy of Expertise
Increase / Maintain the adequacy of Funding Resources
Increase / Maintain the adequacy of Formalization
Increase / Maintain the adequacy of Policies
Increase / Maintain the adequacy of EBPI Champions
Increase / Maintain the adequacy of Sustainability Champions

## Outcomes Related to Goal 2

When your sustainable EBPIs are being integrated into normal operations, they move closer to being sustained. Once you have identified the EBPIs to be sustained, then met your desired outcomes for ensuring all the necessary infrastructure capacities and types of member advocacy six months after implementing our sustainability readiness strategy, you've set the stage for achieving intentions to sustain the EBPIs at our six-month follow-up as well.

Adoption research suggests that there are practices that indicate sustainability or institutionalization of health promotion programs as integral parts of an organization. Based on the research by Goodman and colleagues (1993), we've identified 15 indicators of sustainability to be evaluated to determine the degree to which you achieved the intermediate goal of sustainability intentions for sustainable EBPIs (see below).

### *Sustainability Intentions*

We define sustainability intentions based on Goodman and colleagues' (1993) Levels of Institutionalization measures. We use 15 measures shown below of practices indicating that an EBPI is beginning to become an integral part of the implementing agency. For each of these measures, our definition also includes whether the implementing agency has some intention to implement each practice.

1. Have the EBPI's goals and objectives been put into writing?
2. Have any of the plans or procedures used for implementing this EBPI been put in writing?
3. Has a schedule (e.g., timetable, plan of action) used for implementing EBPI activities been put in writing?
4. Have the EBPI recommended procedures for implementing this EBPI been adapted to fit local circumstances?
5. Is there a written plan for evaluating or monitoring the EBPI implementation?
6. Has a supervisor (e.g., section chief, department head) been formally assigned to oversee the EBPI?
7. Have formalized job descriptions been written for staff involved with this EBPI?
8. Are evaluation reports of this EBPI done on a schedule like evaluation reports for most other interventions in your organization?
9. Has permanent staff been assigned to implement this EBPI?
10. Has an administrative-level individual within the organization been actively involved in advocating for this EBPI's continuation?
11. Does staff in the organization, other than those implementing the EBPI, actively contribute to the EBPI's operations?
12. Has the EBPI made a transition from trial or pilot status in your organization?
13. Has the EBPI been assigned permanent physical space within your organization?
14. Is this EBPI's source of funding like the sources for other established interventions in your organization?

15. Is the staff most closely associated with this EBPI’s implementation hired from a stable funding source?

In Question 11 of this toolkit, we will discuss the measurement of sustainability intentions at a six-month follow-up assessment after implementation of your sustainability plan. Sustainability intentions include measures of the 15 indicators discussed in this section.

**Completion Calendar Checklist for Outcomes Tasks**

Actions	Lead Person(s)	Method	Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
<b>Workgroup Meeting 4–Complete Tool 3: Readiness Outcomes</b>					
Workgroup reviews top portion of Tool 3 that shows adequacy levels of each readiness result	Workgroup	Tool Review	4		
Workgroup reviews lower portion of Tool 3 that shows outcome statements based on each readiness result	Workgroup	Tool Review	4		
Workgroup discusses the results and presents summary to leadership committee	Workgroup	Summary	4		

## Sustainability Readiness Question 4

### What sustainability readiness activities can achieve the desired outcomes? (ACTIVITIES)

#### Overview

In Question 3, the workgroup identified EBPI sustainability readiness outcomes based on the infrastructure capacity and member advocacy factors assessed in Question 2. Question 4 introduces you to evidence-based sustainability readiness activities to guide you toward effective ways to strengthen those capacities and advocacy factors. Addressing infrastructure capacity and advocacy outcomes through activities derived from the literature increases your chances of achieving sustainability.

As you work through Question 4, it will be important for the workgroup to get feedback from the sustainability leadership committee about the feasibility of sustainability readiness activities. The feedback can help your workgroup plan the activities to strengthen sustainability readiness desired outcomes.

Later in Question 5, the workgroup will assess the FIT of the sustainability readiness activities. In Question 6, the workgroup will also assess the RESOURCES available for those activities.

#### Why This Sustainability Question is Important

**This question is important because your workgroup now reviews sustainability readiness activities and selects delivery mechanisms for the activities to address infrastructure capacities and member advocacy that were previously identified as needing strengthening and improvement.**

#### Review Sustainability Readiness Activities and Select Delivery Mechanisms

Building your sustainability plan on what's known from research helps you more efficiently use your resources while avoiding costly mistakes or wasted efforts. Basing your plans on what has worked makes it more likely you'll be effective.

As you go through this section, remember that the capacities or advocacy activities you are working to build are connected to outcomes that were rated in Question 2 as Not Adequate or Marginally Adequate. This was based on computations using data from the external evaluator's readiness survey of the workgroup membership.

We expect that at the end of your work in this question, you will have identified sustainability readiness activities and selected delivery mechanisms for those activities. These will become part of the larger sustainability plan you're on your way to developing in Question 6 (PLAN).

The tasks outlined in this question should help you identify sustainability readiness activities that you can use to make needed changes in capacities and member advocacy to reach EBPI sustainability. To enhance your work, consider the following:

#### *Work in Culturally Competent Ways*

Continuing to develop strong, trusting relationships among members of your workgroup will enhance their work as a team and filter back to the work being done within each member's

community and/or home organization. In an online primer on “Enhancing Cultural Competence,” the *Community Toolbox* outlines a series of goals for increasing cultural competence at the individual, program, organizational, and community level (for more details, see <http://ctb.ku.edu/en/enhancing-cultural-competence>), which includes:

- Describing a vision for cultural competence.
- Increasing respectful engagement among members.
- Changing policy and practices to enhance inclusion and respectful engagement with different groups.
- Redesigning programs or interventions so that they are more effective and provide a better fit with cultural beliefs and practices.
- Increasing respectful engagement among those from diverse cultures while decreasing intolerant practices by community members.

#### *Review of Sustainability Readiness Activities to Strengthen Readiness*

At this stage, the workgroup will collaborate with the leadership committee to:

- Review activities shown in Table 4.1 below to understand how to increase the chances of successfully sustaining your EBPI.
- Get feedback on sustainability readiness activities that will help build adequate capacities and member advocacy.
- Consider a set of delivery mechanisms for the activities and select one or more delivery mechanisms for each activity.

The left-hand column in Table 4.1 below presents infrastructure capacities and types of member advocacy that were assessed in Question 2. The second column, Sustainability Activity, presents a set of activities identified in the literature that are related to each infrastructure capacity or type of member advocacy.

The third column titled Indicators shows aspects of each EBPI potential sustainability activity for your workgroup. The external evaluator will prepare a brief report that shows the average score and the adequacy rating for each item from the readiness survey conducted as part of Question 2 that makes up each of the capacity and member advocacy scores. The information from this report will be used by the workgroup and the leadership committee as sustainability readiness activities are being considered.

The fourth column shows the potential delivery mechanisms for each activity. The numbers indicate the following options:

1. T/A (technical assistance) provided by the support system
2. Guidance from the organization’s sustainability leadership committee through discussions
3. The establishment of a small task force to deliver the activity

T/A through the support system will be provided for the seven sustainability readiness activities. Guidance through discussions with leadership may also be used for the five infrastructure capacities.

Finally, the workgroup and the leadership committee may decide that a small group specifically focused on the activity should be used as the delivery mechanism. A task force of two to four members may be desirable if the workgroup and leadership committee believe that more intensive efforts are needed to address the specific outcome.

**Table 4.1. Sustainability Readiness Activities to Strengthen Readiness**

<b>Infrastructure Capacities</b>	<b>Activity</b>	<b>Indicators</b>	<b>Delivery Mechanism</b>
Data Resources	Availability of data and sharing of data among stakeholders	<ul style="list-style-type: none"> <li>- County level statistics</li> <li>- Student survey results</li> <li>- Household survey results</li> <li>- Intervention evaluation results</li> <li>- State or regional level data</li> </ul>	1, 2, 3
Expertise	Expertise to plan, implement, and sustain EBPIs	<ul style="list-style-type: none"> <li>- Obtaining funding for prevention programs</li> <li>- Planning and implementing EBPIs</li> <li>- Monitoring implementation quality of interventions</li> <li>- Continuing EBPIs</li> </ul>	1, 2, 3
Formalization	Operating structures and processes important to EBPI implementing organizational functioning	<ul style="list-style-type: none"> <li>- Regularly scheduled meetings</li> <li>- Standard method of notifying members of meetings</li> <li>- Written bylaws</li> <li>- Organizational chart</li> <li>- Written policy defining membership</li> <li>- Up-to-date member list</li> <li>- Standard member orientation</li> </ul>	1, 2, 3
Funding Resources	Funding from multiple sources	<ul style="list-style-type: none"> <li>- Federal funding</li> <li>- State funding</li> <li>- Local government funding</li> <li>- Foundation funding</li> <li>- Other external funding</li> <li>- Funding for continuing EBPIs</li> </ul>	1, 2, 3
Policies	Well-developed policies for EBPI implementation, monitoring and sustainability	<ul style="list-style-type: none"> <li>- Giving priority to EBPIs</li> <li>- For monitoring implementation quality</li> <li>- For supporting continuation of effective EBPIs in community</li> </ul>	1, 2, 3
<b>Member Advocacy</b>	<b>Sustainability Activity</b>	<b>Indicators</b>	<b>Delivery Mechanism</b>
EBPI Champions	Members of implementing organization proactively advocate to implement EBPIs	<ul style="list-style-type: none"> <li>- For identifying EBPIs to meet community needs</li> <li>- For implementing EBPIs</li> <li>- For monitoring implementation quality</li> </ul>	1, 3
Sustainability Champions	Members of implementing organization proactively advocate to sustain EBPIs	<ul style="list-style-type: none"> <li>- For EBPI being supported by continuous funding</li> <li>- For EBPI activities becoming part of staff job descriptions / requirements</li> <li>- For key staff leadership been retained</li> <li>- For key prevention staff being promoted</li> <li>- For materials, equipment being provided by host agency</li> <li>- For skills becoming part of professional standards</li> <li>- For EBPI being recognized in manuals, procedures</li> <li>- For an EBPI implementation monitoring system being established</li> <li>- For a follow-up evaluation mechanism being established at the state level</li> </ul>	1, 3

**How Sustainability Activities Build Readiness**

For each sustainability activity shown in Table 4.1 below, we present more detailed information about how the activities associated with each item listed in the Infrastructure Capacity / Member Advocacy column build readiness for EBPI sustainability. We also discuss the potential delivery mechanisms for the activities. The workgroup can select from the list of delivery mechanisms those that are most useful for sustainability plans; not all mechanisms are required to be chosen.

### *Data Resources*

**Availability of data and sharing of data among stakeholders.** Evidence shows that data resources and the sharing of data among stakeholders are important to sustaining EBPIs. Data to support preventive interventions may include:

- County-level archival data
- Student survey data
- Household survey data
- Evaluation data on preventive interventions
- State or regional level substance use related data

A critical step to increasing available data sources is to first identify stakeholders for program evaluation and data sharing. Those identified will be asked to assist in increasing the available data sources. It is also important to share data among stakeholders for planning purposes.

Delivery mechanisms available for this activity include: support system T/A, leadership committee guidance through discussions, and a special, small task force to implement the activity.

### *Expertise*

**Expertise to plan, implement, and sustain EBPI(s).** Expertise that is important to planning and implementing EBPIs includes capability in several key areas.

- Obtaining funding for substance abuse prevention programs, policies, or environmental strategies
- Implementing EBPIs
- Monitoring implementation of preventive interventions
- Sustaining EBPIs

Increasing expertise for planning, implementing, and sustaining EBPIs should contribute to development of written goals and objectives, implementation plans, and plans for evaluating or monitoring EBPI implementation. These are all essential elements of EBPI sustainability.

Delivery mechanisms available for this activity include: support system T/A, leadership committee guidance through discussions, and a special, small task force to address the outcome.

### *Formalization*

**Operating structures and processes important to EBPI implementing organizational functioning.** SAMHSA’s<sup>1</sup> website (<https://www.samhsa.gov/capt/tools-learning-resources/components-effective-coalition>) notes the importance of formalized operating structures and processes as they relate to implementing organizations (e.g., written bylaws, regularly scheduled meetings, clearly defined roles and responsibilities for staff and members, and standard ways of notifying members of meetings and activities). The formalized procedures should be regularly reviewed and updated as needed. Having an up-to-date organizational chart also supports formalization.

It is important to EBPI sustainability to have a supervisor formally assigned to oversee the EBPI. It is also important to have formalized job descriptions written for staff involved with the EBPI, to eventually have permanent staff assigned to implementing the EBPI, and to have staff, other than those implementing the EBPI, actively contribute to the EBPI’s operations.

Delivery mechanisms available for this activity include: support system T/A, leadership committee guidance through discussions, and a special, small task force.

### *Funding Resources*

**Funding from multiple sources.** It is important for EBPI implementing organizations to continuously seek new funding opportunities. Substance abuse prevention organizations often receive funding from federal, state, and local governments, foundations and other sources (e.g., corporate contributions or private contributions from individuals). Organizations should consider all these potential sources. Often it is helpful to have one staff person who does regular searches for funding opportunities using resources such as grants.gov. Earlier we noted that expertise for fund raising is an important capacity. SAMHSA’s website is a good starting place for grant writing resources. Resource development activities can also include development of marketing materials.

For an EBPI to transition from pilot status within its implementing organization, it should have sources of funding like the sources for other established interventions. In addition, the staff most closely associated with the EBPI’s implementation would ideally be hired through a stable funding source. Funding is also important for obtaining physical space, which is another sign of an intervention becoming an integral part of the implementing agency.

Delivery mechanisms available for this activity include: support system T/A, leadership committee guidance through discussions, and a special, small task force.

### *Policies*

**Well-developed policies for EBPI implementation, monitoring, and sustainability.** Written policies will help ensure that your organization has a sound formalized basis for specifying that EBPIs have priority for implementation, that implementation is monitored, and EBPIs are sustained. Earlier, we noted the importance of having expertise to develop written implementation plans and plans for evaluating or monitoring EBPI implementation. It is equally important to have well-developed, written policies that support the development, updating, and use of these and other planning, implementation, and sustainability processes.

---

<sup>1</sup> Substance Abuse and Mental Health Services Administration

Delivery mechanisms available for this activity include: support system T/A, leadership committee guidance through discussions, and a special, small task force.

#### *EBPI Champions*

**Proactive advocacy to implement EBPIs.** One key part of advocacy is having champions who will proactively advocate for the implementation of EBPIs. Champions are also sometimes called change advocates or change agents. Whatever they're called, they proactively push an idea through entrenched internal resistance to change.

Delivery mechanisms available for this activity include: support system T/A, and a special, small task force.

#### *Sustainability Champions*

**Proactive advocacy to sustain EBPIs.** A second component of advocacy is having champions who will proactively advocate for the sustainability of EBPIs. Research has also shown the importance of having an administrative-level individual in the EBPI implementation agency who actively advocates for the EBPI's continuation.

Delivery mechanisms available for this activity include: support system T/A, and a special, small task force.

### **Use Tool 4: Review of EBPI Sustainability Readiness Activities**

Now you are ready to use **Tool 4: Review of EBPI Sustainability Readiness Activities**. The tool will be pre-populated with the adequacy ratings for the readiness outcomes from Tool 3 that the workgroup previously completed with the help of the data coordinator. Specifically, Tool 4 includes those factors for which the adequacy was **Not Adequate or Marginally Adequate**.

The workgroup should first carefully review Table 4.1 above and discuss each readiness adequacy rating, clarifying how each of the activities could help address deficits in these outcomes. Next, the workgroup should meet with the leadership committee to discuss each of the activities to gain feedback. This is a crucial step because in later steps, these activities will need to be planned and implemented. Getting broad input and buy-in from the leadership committee before finalizing the selection of the sustainability will make this job easier later.

The workgroup should also use Tool 4 to select delivery mechanisms that the workgroup and sustainability leadership committee will use for each sustainability activity.

The process for completing this tool is as follows:

1. The workgroup reviews Tool 4, in which each infrastructure capacity and member advocacy outcome that is **Not Adequate or Marginally Adequate** is shown.
2. The workgroup also reviews the information in the separate report from the external evaluator that shows the values for each item that made up each capacity and advocacy outcome.
3. For each capacity outcome or member advocacy outcome shown in Tool 4 (**which is therefore Not Adequate or Marginally Adequate (see 1 above)**), the workgroup will next review the Sustainability Activity shown in cells to the right of the infrastructure capacity and advocacy outcome.
4. Through discussion, the workgroup should reach a consensus on the delivery mechanisms they want to select to implement the activity for increasing the capacity or advocacy outcome.

*The workgroup can select one or more of the delivery mechanisms. We recommend that a special, small task force be used as the delivery mechanism if the workgroup and leadership committee believe that a more intensive effort is needed to have an impact on the capacity or advocacy outcomes.*

After completing the tasks in this question, the workgroup should then present a summary of the results to the EBPI implementing organization's leadership committee.

## TOOL 4: Review of EBPI Sustainability Readiness Activities

NAME OF EBPI IMPLEMENTING ORGANIZATION			INSERT NAME		
			Delivery Mechanism		
Infrastructure Capacity	Adequacy	Activity	Support System T/A	Sustainability Leadership Committee Guidance Through Discussions	Implementing Organization Task Force
<b>Data Resources</b>		Availability of data and sharing of data among stakeholders			
<b>Expertise</b>		Expertise to plan, implement and sustain EBPIs			
<b>Formalization</b>		Operating structures and processes important to EBPI implementing organizational functioning			
<b>Funding Resources</b>		Funding from multiple sources			
<b>Policies</b>		Well-developed policies for EBPI implementation, monitoring and sustainability			
			Delivery Mechanism		
Member Advocacy	Adequacy	Activity	Support System T/A	Sustainability Leadership Committee Guidance Through Discussions	Implementing Organization Task Force
<b>EBPI Champions</b>		Advocacy by champions to implement EBPIs			
<b>Sustainability Champions</b>		Advocacy by champions to sustain EBPIs			

### Completion Calendar Checklist for Sustainability Readiness Activities Tasks

Actions	Lead Person(s)	Method	Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
<b>Workgroup Meeting 4 – Complete Tool 4: Review of EBPI Sustainability Readiness Activities</b>					
Facilitator leads discussion of activities to be implemented to achieve desired outcomes as well as delivery mechanisms for activities	Facilitator	Discussion	5		
Workgroup reviews Tool 4.	Workgroup	Review by Workgroup	5		
Workgroup reviews with leadership committee sustainability readiness activities being considered	Workgroup	Review by Leadership Committee	5		
Workgroup completes Tool 4, including selection of delivery mechanisms for the sustainability readiness activities	Workgroup	Tool Completion	5		
Workgroup presents summary to leadership committee	Workgroup	Summary	5		

## Sustainability Readiness Question 5

### How do the sustainability readiness activities fit? (FIT)

#### Overview

Question 5 addresses how to assess the fit of the sustainability readiness activities. In question 4, you reviewed readiness activities to be used to strengthen EBPI implementing organization's capacity and member advocacy inadequacies. You also selected delivery mechanisms for the activities. Before your workgroup plans and implements the readiness activities, you want to make sure the activities have a sufficient degree of fit with your organization. If there is insufficient fit, actions should be taken to increase fit before moving on.

Fit is defined as the degree to which the activities possess four attributes—compatibility, simplicity, ownership, and relationships—associated with sustainability. The four attributes are the same as those your workgroup used when selecting sustainable EBPIs in Question 1. These attributes should make the sustainability readiness activities more effective, which will strengthen the capacities or advocacy the activities are designed to address will also be strengthened. If the activities your workgroup selected have poor fit for your organization, it will be more difficult to implement your plans.

Understanding fit can help you:

- Ensure your sustainability readiness activities work for your organization and its members.
- Reduce duplication of efforts to maximize use of everyone's resources.
- Build stronger relationships and cooperation within your organization and among its members.
- Decide where appropriate adaptations in your sustainability readiness activities can be made to increase fit.

Establishing fit now provides a chance to refine how best to enhance the effectiveness of your activities, which eventually helps you increase capacities for sustaining your chosen EBPI.

#### Why This Sustainability Question is Important

**This question is important because the sustainability readiness activities to be implemented should align with other, ongoing efforts in your organization.**

#### Determine Fit

Once you finished reviewing the sustainability readiness activities and selected delivery mechanisms in Question 4, you may have already given some thought to how the selected activities may fit with other organization efforts. Tool 5 described below provides an effortless way for your workgroup to gain a better understanding of the specific aspects of fit that may help as you move toward development of your plan in Question 7.

Tool 5 has been designed to aid the workgroup in developing consensus responses to questions about the attributes of the sustainability readiness activities that were previously selected by the workgroup. An added feature is that the tool will also show, based on these responses by the workgroup, ratings of the adequacy of the attributes for each readiness activity.

This helps the workgroup consider which attributes need attention so that they and the EBPI implementing organization can make improvements in fit before moving to the next sustainability question.

Tool 5 shows each sustainability readiness activity that was selected by the workgroup in Tool 4. Under each activity, the tool shows the items that the workgroup members will respond to during a meeting. There are 10 items that relate to the fit of each sustainability activity. These items were selected based on three criteria:

1. A significant association with sustainability in at least two published studies.
2. Internal consistency within scales as outlined in Johnson et al. (2017).
3. Relevance to workgroup members.

### **Use Tool 5: Fit of EBPI Sustainability Readiness Activities**

We recommend the workgroup complete this tool in meeting 5 (during month 5) using consensus to arrive at the answers for each item as explained in detail below. Once consensus is reached, the data coordinator is responsible for inputting the consensus responses into the Excel tool.

The process for completing this tool is:

1. The workgroup facilitator and data coordinator should assemble any relevant, useful information before the meeting that can help the sustainability workgroup assess the fit of the sustainability readiness activities that were selected in Question 4.
2. Print paper copies of the blank tool for each workgroup member to use as a worksheet. For each activity, the tool includes a set of items that assess the attributes of compatibility, simplicity, ownership, and relationships.
3. The workgroup members should discuss each item for the first sustainability activity displayed in the tool and, using consensus, arrive at one response that best summarizes the agreement of the workgroup. The potential responses for each item are Strongly Disagree, Disagree, Agree, and Strongly Agree.
4. The data coordinator should input the consensus responses into the Excel tool for the first activity.
5. The workgroup should continue to the next activity and repeat the process until all items for all activities have complete responses.
6. Once the data coordinator has entered the consensus responses for a specific activity, the tool will display for that activity an adequacy rating (Not Adequate, Marginally Adequate, or Adequate) for each attribute (compatibility, simplicity, ownership, and relationships). Note that these attributes are the same as those used in Tool 1.
7. The data coordinator should make copies of the completed tool to distribute back to the workgroup for their use in upcoming tasks.
8. Once the tool is completed, we recommend printing it out and saving a hard copy of the tool, then storing it in a safe location.

Following the workgroup meeting, the facilitator should provide a summary of what was learned, and workgroup members should meet with the leadership committee to discuss areas in

which the fit of the sustainability readiness activities needs attention and what can be done to increase fit. This is an important step because you want to get broad input and buy-in from the leadership committee about how the fit of the activities can be addressed and improved upon.

Depending on what you learned about the fit of the activities, and depending on the feedback from the leadership committee, you might consider the following as you decide what comes next:

- Determine which fit issues can be remedied easily, and which ones may require more extensive attention so that the workgroup and leadership committee can consider what needs to happen to increase fit.
- Identify who will be responsible for making sure that the short-term actions to increase fit get accomplished.
- Stay current by having the workgroup periodically revisit the question of fit.

Having taken these steps, you should now have a better picture of the level of fit associated with your sustainability readiness activities. Decisions taken here will lead to actions to increase fit, thereby making it more likely that the chosen activities will be successful.

## TOOL 5: Fit of EBPI Sustainability Readiness Activities

NAME OF EBPI IMPLEMENTING ORGANIZATION	INSERT NAME
--	-------------

INFRASTRUCTURE CAPACITY OR MEMBER ADVOCACY ADDRESSED:				
SUSTAINABILITY READINESS ACTIVITY:				
Please select the response that best fits your workgroup's consensus for each of the following questions.	Strongly disagree	Disagree	Agree	Strongly agree
This activity is timely given the current needs of the community.				
This sustainability activity fits well with other substance abuse preventive interventions implemented in the community.				
Putting this activity into place is difficult because of its complexity.				
This activity is simple and easy to implement.				
The stakeholders involved with this activity have influence on the design of the activity.				
The stakeholders involved with this activity have influence on the implementation of the activity.				
The stakeholders involved with this activity are able to communicate well with each other.				
The stakeholders involved with this activity have a high level of trust in each other.				

	Adequacy of Compatibility	Adequacy of Simplicity	Adequacy of Ownership	Adequacy of Relationships
<b>Not Adequate</b>				
<b>Marginally Adequate</b>				
<b>Adequate</b>				

### Completion Calendar Checklist for Fit Tasks

Actions	Lead Person(s)	Method	Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
<b>Workgroup Meeting 5 –Complete Tool 5: Fit of EBPI Sustainability Readiness Activities</b>					
Facilitator leads discussion of fit, including the use of Tool 5	Facilitator	Discussion	5		
Workgroup completes Tool 5	Workgroup	Tool Completion	5		
Workgroup presents summary to leadership committee	Workgroup	Summary	5		

## Sustainability Readiness Question 6

### What resources are needed to implement the sustainability readiness activities? (RESOURCES)

#### Overview

In Question 5, fit was assessed by your workgroup's examination of critical sustainability readiness activity attributes (compatibility, simplicity, ownership, and relationships). Now you want to ensure you have the resources needed to implement your activities when you get to sustainability planning in Question 7. You will also determine how to get the resources you need to implement the activities you will include in your plan.

#### Why This Sustainability Question is Important

**This question is important because assessing resources that are needed now can help you make more realistic sustainability plans and avoid wasting resources. Having all the necessary resources to implement a sustainability plan boosts your chances of achieving your outcomes.**

#### Determine Resources

Your overall goal for your EBPI implementing organization should be to bring more resources to all your members, not supplant any. Ideally, you want to build everyone's resources.

In addition to funding, there are several kinds of critical resources needed to implement your sustainability plans.

*Human resources*—Staff with the right credentials, training, and experience as well as commitment to your prevention work; leaders who understand and support your work, including board members; trained and committed volunteers.

*Fiscal and other resources*—Adequate funding and other resources needed to implement your sustainability plan (e.g., transportation, food, printed materials, and evaluation resources).

*Technology resources*—Expertise needed to address all aspects of the sustainability plan, including the use of the tools provided here; access to any special materials needed to implement the plan; technology appropriate to implementation, such as computers.

*Partnership, collaboration, and other linkage resources*—Connections with other community partners who can help implement the plan.

It's easy to quantify technical and fiscal resources—you just determine whether you have enough money in your budget to hire staff or if you have enough computers or software to accomplish your tasks. However, it may be harder to quantify some of the human resources, such as staff or collaborators, but these resources are also vital to your success.

As you work your way through some of the resource capacity issues, think about how you can:

- Build and sustain the knowledge, skills, and diversity of your implementing organization and its members.
- Get, build, and sustain the human and technical resources and linkages your organization

members need.

Let's examine some of the important resources capacities you should be considering.

### **Human Resources: Staff, Volunteers, and Leaders**

You need different types of people with a variety of skills to implement your sustainability plan. This variety encompasses the staff and volunteers in your member organizations. You also need to have leaders and champions who might help support your work. Promoting a feeling of shared, inclusive leadership and investment increases the feelings of ownership people have about your work, which helps build sustainability.

What kinds of human resources should you consider? Think of what you already have or need more of in these areas:

- Trained staff and/or volunteers
- Facilitation skills
- Leadership skills
- Champions
- Implementing organization management, including recruitment and board development
- Volunteer development and management
- Adequate and appropriate training to develop and sustain all human resources.

It will be important to cultivate strong, diverse leadership to help build and sustain your work. You want to recruit, train, and retain people with different cultural and professional backgrounds, as well as different ages. Also, look for a good balance between doers and thinkers, because it will be helpful to your work to have a variety of perspectives.

### **Fiscal and Other Resources**

Obviously, money is important to keep things going, but many other resources are important, too, such as:

- Supplies to run your programs and your organization, including meeting space, food, and materials such as paper, copiers, etc.
- Transportation.
- Media equipment (TV/DVD/video players, videos, DVDs, screens, and projectors).
- Computer hardware, software, printers, and monitors.
- Internet access and research resources.
- Program materials.

Focus on getting the resources the implementing organization needs to help it serve as a catalyst in the community, which could include access to leadership and organizational skills, knowledge, and expertise. You also want to make sure that fiscal and other resources available to the organization will be used for all parts of the community.

### **Technology Resources**

You'll need basic tools to help you do your work, including computers, Internet access, and various kinds of software, such as spreadsheets. Certain types of technical expertise may be important to implement and sustain your efforts, including:

- Knowledge of computers and software.
- Communications and marketing.
- Fundraising.
- Evaluation expertise.
- Access to the data you need to implement and sustain your work.
- Access to appropriate training.

### **Partnerships, Collaboration, and Linkages**

Partnerships and collaborations will be an important source of many of the personnel, training, and other resources you'll need to accomplish your work. What one member of the EBPI implementing organization needs might be available from another member, such as staff who could provide cross training on important substance abuse issues. Knowing whom your organization members know and to whom they are connected in the larger community can also be an important resource as you try to extend your outreach and knowledge. Solid partnerships and collaborations can help everyone use their resources wisely.

Consider what kinds of:

- Engagement strategies are needed to ensure the involvement and representation of the diverse communities you'll serve with your EBPI(s)
- Key linkages are needed and what sectors they represent.
- Training may be needed to build and maintain partnerships and key linkages.
- Materials may be needed to support these connections.
- Partnerships and collaborations are needed to increase your cultural competence and relevance to the communities you serve.

Keep in mind that you should think not only about how you'll get some of the resources you may be missing, but also how you'll renew them as needed. This will be especially important when considering human resources, such as champions.

### **Use Tool 6: Resources for EBPI Sustainability Readiness Activities**

To help you identify the resource capacities that need to be obtained or strengthened, we have provided **Tool 6: Resources for EBPI Sustainability Readiness Activities**. This tool will help you identify the people, skills, knowledge, technical, and other resources you need to implement the activities in your plan.

We recommend you complete this tool in workgroup meeting 5 (during month 5) using consensus to arrive at the answers for each question.

The process for completing this tool is:

1. The workgroup facilitator and data coordinator should assemble ahead of time any relevant,

useful information that can help the workgroup assess resources.

2. Print paper copies of the blank Tool 6 for each workgroup member to use as a worksheet. The tool will show each activity that the workgroup reviewed in the prior meeting. For each activity, the toolkit displays (below the question, ‘What types of resources will be needed?’) the categories of human, fiscal, technology, and linkages.
3. The workgroup members should consider the available information about resources relevant to each of the sustainability readiness activities. They should discuss and reach consensus on each of the four categories in terms of what they think needs to be increased or improved upon for the activity, then check off those choices on the tool.
4. The workgroup members should then discuss and use consensus to provide answers to the following questions contained in the tool:
  - What specific resources will be needed?
  - What will it take to get the needed resources?
5. The data coordinator should input the consensus responses into the Excel tool.
6. Once this task is finished, the data coordinator should make copies of the completed tool to distribute back to the workgroup for upcoming tasks.
7. Once the tool is completed, we recommend printing it out and saving a hard copy of the tool, then storing it in a safe location.

## TOOL 6: Resources for EBPI Sustainability Readiness Activities

NAME OF EBPI IMPLEMENTING ORGANIZATION	INSERT NAME
--	-------------

<b>INFRASTRUCTURE CAPACITY OR MEMBER ADVOCACY ADDRESSED:</b>			
<b>SUSTAINABILITY READINESS ACTIVITY:</b>			
Please select which types of resources your workgroup will need for this sustainability activity.	Please indicate your choices with an X.	What specific resources will be needed?	What will it take to get the needed resources?
Human			
Fiscal			
Technological			
Linkages			

<b>INFRASTRUCTURE CAPACITY OR MEMBER ADVOCACY ADDRESSED:</b>			
<b>SUSTAINABILITY READINESS ACTIVITY:</b>			
Please select which types of resources your workgroup will need for this sustainability activity.	Please indicate your choices with an X.	What specific resources will be needed?	What will it take to get the needed resources?
Human			
Fiscal			
Technological			
Linkages			

**Completion Calendar Checklist for Resource Tasks**

Actions	Lead Person(s)	Method	Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
<b>Workgroup Meeting 5 –Complete Tool 6: Resources for EBPI Sustainability Readiness Activities</b>					
Facilitator leads discussion about resources	Facilitator	Discussion	5		
Workgroup completes Tool 6	Workgroup	Tool Completion	5		
Workgroup presents summary to leadership committee	Workgroup	Summary	5		

## Sustainability Readiness Question 7

### What is the plan for impacting sustainability readiness? (PLAN)

#### Overview

You are now moving into the next important stage of your sustainability strategy—developing plans to ensure adequacy of EBPI implementing organization infrastructure capacities that will help sustain your chosen EBPI. It is always important to have written, up-to-date plans for substance abuse prevention; in Question 7, we show how to develop written plans to implement your sustainability readiness activities.

Developing the details of your plan brings together everything you've learned in the first six questions into a complete road map showing you how to move forward. Here is where you will spend time deciding on specific details for the activities you plan to implement to achieve your outcomes. These details will include who needs to have overall responsibility for making sure tasks get done as well as who else will assist in completing the tasks, what resources will be needed for implementation, and how long you think it will take to accomplish your plans.

While it may seem that you are spending a lot of time getting ready to implement the sustainability readiness activities, good planning now saves time later by maximizing the use of your resources and minimizing surprises. In addition, the development of your plan at this stage also helps everyone see clearly where they are going. This includes not only the implementation team and other organization members but also other stakeholders in the community such as funders, policy makers, champions (and potential champions), other organizations, and partners.

Note that developing and finalizing your sustainability plan may require work during months 6 and 7 of the sustainability readiness strategy. This is reflected in the Completion Calendar Checklist at the end of this section. The workgroup may find it beneficial to conduct two workgroup meetings, with each coming after leadership committee meetings, to maximize input from the larger EBPI implementing organization. The support system staff can help you plan how to best develop your sustainability plan through a series of workgroup meetings using input from your organization.

#### Why This Sustainability Question is Important

**This question is important because developing a written plan gives you a clear roadmap for increasing sustainability readiness.**

#### Develop a Sustainability Readiness Plan

The steps for developing a sustainability plan are simple. You need to review the information you've collected so far and then set up a schedule for the workgroup to meet and, through consensus, develop the details of your plan.

If you have not already done so, we recommend you assemble the following completed tools from this toolkit before starting work on your sustainability plan and finishing **Tool 7: Sustainability Readiness Plan**:

- Tool 3: Readiness Outcomes
- Tool 4: Review of EBPI Sustainability Readiness Activities
- Tool 5: Fit of EBPI Sustainability Readiness Activities
- Tool 6: Resources for EBPI Sustainability Readiness Activities

Consider other materials that could be useful to help complete your plan such as:

- Assessments, reports, and evaluations about your EBPI.
- Other relevant data that informs your work, such as health, education, and criminal justice information.
- Research and planning materials used in other activities, such as those generated through the SPF-SIG process.
- Information to help assure cultural competency.
- Relevant materials from the EBPI implementing organization, such as vision statements, logic models, or reports about programs and practices.

### **Use Tool 7: Sustainability Readiness Plan**

**Tool 7: Sustainability Readiness Plan** will help you organize your activities for increasing infrastructure capacities and member advocacy for EBPI sustainability. Tool 7 helps you bring together all that you've learned in Questions 1 through 6 into a detailed plan for building sustainability. We recommend you complete this tool in workgroup meeting 6 (during month 6) using consensus to arrive at the answers. Once consensus is reached, the data coordinator is responsible for inputting the consensus responses into the Excel tool.

Tool 7 is organized so that for each infrastructure capacity that was identified as being Not Adequate or Marginally Adequate, the tool will display each sustainability activity that your workgroup reviewed in Tool 4. Remember, in that tool your workgroup also selected a delivery mechanism (e.g., support system T/A). For each sustainability activity, Tool 7 includes fields for the following information about each activity:

- Lead person in charge
- Other people needed for implementation
- Resources needed for implementation

As you consider the lead person for each activity, think about who might be most knowledgeable about the content of the activity.

There are fields for up to 10 tasks, as well as space to write in a lead person for each task, the scheduled completion date, and the actual completion date.

The process for completing this tool is:

1. The workgroup facilitator and data coordinator should assemble ahead of time any relevant, useful information which can help the workgroup develop their sustainability plans. Materials should include completed versions of Tools 2 through 5, as well as any other relevant materials such as those we described above.
2. Print paper copies of the blank Tool 7 for each workgroup member to use as a worksheet.

3. The workgroup members should review each sustainability readiness activity that was previously selected.
4. The members should then go through each activity and make consensus decisions to identify the lead person in charge of the specific activity, other people who will need to be involved in the activity, the resources needed to implement the activity, and up to 10 tasks that will be needed to accomplish the activity. Please note that there can be fewer than 10 tasks.
5. The data coordinator should input all the information decided upon by the workgroup into the tool.
6. Once this task is finished, the data coordinator should make copies of the completed tool to distribute to the workgroup for their use in upcoming tasks.
7. Once the tool is completed, we recommend printing it out and saving a hard copy of the tool, then storing it in a safe location.

In addition to filling out Tool 7 during workgroup meeting 6, the completion of the fields that show *actual completion dates* for each task should be done throughout the implementation process but *before* workgroup meeting 7. This is because in that meeting, the workgroup will be assessing the extent to which the tasks for each sustainability readiness activity were completed on schedule. It may be helpful to review Question 7 ahead of time for better preparation.

## TOOL 7: Sustainability Readiness Plan

NAME OF EBPI IMPLEMENTING ORGANIZATION	INSERT NAME
--	-------------

<b>INFRASTRUCTURE CAPACITY OR MEMBER ADVOCACY ADDRESSED</b>	
<b>SUSTAINABILITY READINESS ACTIVITY</b>	

Lead person in charge of this activity	
--	--

Other key people for this activity	

	Task	Lead Person for Task	Scheduled Completion Date	Actual Completion Date
1			__/__/__	__/__/__
2			__/__/__	__/__/__
3			__/__/__	__/__/__
4			__/__/__	__/__/__
5			__/__/__	__/__/__
6			__/__/__	__/__/__
7			__/__/__	__/__/__
8			__/__/__	__/__/__
9			__/__/__	__/__/__
10			__/__/__	__/__/__

### Completion Calendar Checklist for Sustainability Readiness Plan Tasks

Actions	Lead Person(s)	Method	Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
<b>Workgroup Meeting 6 –Complete Tool 7: Sustainability Readiness Plan</b>					
Facilitator leads discussion of plan development	Facilitator	Discussion	6-7		
Workgroup completes Tool 7	Workgroup	Tool Completion	6-7		
Workgroup presents summary to leadership committee	Workgroup	Summary	6-7		

## Sustainability Readiness Question 8

### What is the level of implementation quality necessary to achieve sustainability readiness? (IMPLEMENTATION MONITORING)

#### Overview

Monitoring the implementation of your plan provides critical information about what was done and how consistent implementation was with the original plan. Without useful information on what was implemented, it may be hard to make sense of the results of an outcome evaluation.

In this section, we guide you through the process of how to monitor action on your sustainability readiness plan. Monitoring establishes a method for assessing and documenting implementation as your sustainability workgroup and leadership committee put sustainability readiness activities into practice. Implementation monitoring can be complex, but in Question 8, we outline a basic process that can be used to help you gain insights about your progress. Your workgroup and leadership committee will be playing a critical role in this assessment.

#### Why This Sustainability Question is Important

**This question is important because your sustainability workgroup and leadership committee will want to know what was implemented and how well implementation conformed to the written plan.**

#### Conduct Implementation Monitoring

The implementation monitoring process assesses the degree to which sustainability readiness activities are implemented, and whether the implementation is consistent with what was planned. This process includes monitoring your activities, tracking who participated, whether the needed resources were acquired, whether the tasks that made up the activity were implemented, and whether the tasks were implemented according to the planned schedule. In addition to helping to understand your outcome results, monitoring can also provide quick feedback about where you may need to make midcourse adjustments to keep your plans on track.

The implementation monitoring described below asks two basic questions: Were your sustainability readiness activities implemented as planned? Were sustainability readiness activities implemented with high quality?

The results from your implementation monitoring can be useful in two ways:

1. **Use what you learn to make midcourse adjustments in your sustainability readiness plan.** Tracking the details of your implementation as it rolls out can give you information about activities that should be adjusted quickly to keep things on track.
2. **Use what you learn to help understand the sustainability readiness evaluation that will be implemented in Question 8.** An implementation monitoring process may help explain why adequate readiness was achieved.

In the monitoring process outlined in this question, you'll answer a short series of questions about implementation of the activities your workgroup selected in Question 4.

### **Use Tool 8: Sustainability Readiness Monitoring**

To conduct an implementation monitoring process, we've provided **Tool 8: Sustainability Plan Monitoring**. This tool will help you assess the quality of implementation of your plan, which was designed to increase infrastructure capacity and member advocacy for sustaining your EBPI.

For each infrastructure capacity and member advocacy that was originally identified as being Not Adequate or Marginally Adequate, Tool 8 will show each activity that your workgroup identified and selected in Tool 4.

For each activity shown in Tool 8, there are five implementation assessment questions:

- Was one lead person in charge of the implementation of the activity?
- Did other people who were identified in the plan for each activity take part in the implementation?
- Were the resources needed to implement the activity acquired?
- Were the tasks for the activity implemented?
- Were the tasks for the activity implemented on schedule?

We recommend you work on this tool in sustainability workgroup meeting 7 in month 8. It is important to note that **Tool 7: Sustainability Readiness Plan** will need to be updated and completed when you convene meeting 7.

The process for completing this tool is as follows:

1. The workgroup facilitator and data coordinator should assemble ahead of time any relevant, useful information which can help the workgroup develop their sustainability plans. Materials should include the completed Tool 7 as well as any other relevant materials. The printed version of the plan in Tool 7 is very important since the workgroup will be assessing elements of the plan.
2. Print paper copies of the blank Tool 8 for each workgroup member to use as a worksheet.
3. The workgroup members should discuss each activity that was selected to be implemented and review the printed copy of Tool 7 for each activity. This tool will show the elements that need to be assessed using Tool 8.

Please note: For brevity, Tool 8 does not include all details of the plan that are in Tool 7.

4. The members should refer to Tool 7 and proceed through each of the five questions listed for each activity. Using consensus, the members will select one of the responses as being the best response. For example, the workgroup should pick the best response to the first question, which is simply: "Was one lead person in charge of the implementation of the sustainability readiness activity?" They should use consensus to select one of the responses with the response options being: "No," "Yes, partially," "Yes, mostly," and

“Completely.” There are four possible responses for each of the five items. The members should read the responses carefully since the wording differs somewhat for each of the five items.

5. As consensus is reached, the data coordinator should input the consensus responses for each of the items.
6. Once this process is completed for the first activity, the workgroup should move to the next activity and repeat the process.
7. Once this task is finished, the data coordinator should make copies of the completed tool to distribute to the workgroup for their use in upcoming tasks. Tool 8 will calculate—based on the workgroup’s consensus responses to the five questions—whether the implementation was Adequate, and this will be displayed in the tool. The adequacy calculation will be based on the responses to all five of the questions about implementation.
8. Once the tool is completed, we recommend printing it out and saving a hard copy of the tool, then storing it in a safe location.

## TOOL 8: Sustainability Readiness Monitoring

NAME OF EBPI IMPLEMENTING ORGANIZATION	INSERT NAME
--	-------------

<b>INFRASTRUCTURE CAPACITY OR MEMBER ADVOCACY ADDRESSED</b>	
<b>SUSTAINABILITY READINESS ACTIVITY</b>	

Lead person in charge of this activity	
--	--

Other key people for this activity	
------------------------------------	--

	Task	Lead Person for Task	Scheduled Completion Date	Actual Completion Date
1			___/___/___	___/___/___
2			___/___/___	___/___/___
3			___/___/___	___/___/___
4			___/___/___	___/___/___
5			___/___/___	___/___/___
6			___/___/___	___/___/___
7			___/___/___	___/___/___
8			___/___/___	___/___/___
9			___/___/___	___/___/___
10			___/___/___	___/___/___

Thinking about the implementation of this sustainability readiness activity:	No	Yes, partially	Yes, mostly	Completely
Was one lead person in charge of implementation?				
Did other key people who were identified in the plan take part in the activity implementation?	No	Yes, partially	Yes, mostly	Completely
Were the key resources needed to implement the activity acquired?	No	Yes, partially	Yes, mostly	Completely
Were the key tasks for the activity implemented?	No	Some	Most	All
Were the key tasks implemented on schedule?	No	Some	Most	All

Not Adequate	
Marginally Adequate	
Adequate	

### Completion Calendar Checklist for Sustainability Readiness Monitoring Tasks

Actions	Lead Person(s)	Method	Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
<b>Workgroup Meeting 7 –Complete Tool 8: Sustainability Readiness Monitoring</b>					
Facilitator leads discussion of implementation monitoring	Facilitator	Discussion	11		
Workgroup completes Tool 8	Workgroup	Tool Completion	11		
Workgroup presents summary to leadership committee	Workgroup	Summary	11		

## Sustainability Readiness Question 9

### How well did the sustainability plan achieve sustainability readiness? (READINESS)

#### Overview

In Question 2 (ASSESS), the external evaluator assessed the initial sustainability readiness of your implementing organization to sustain an EBPI. The results from this assessment informed your workgroup about which infrastructure capacities were either Not Adequate or Marginally Adequate to do this job. These capacities became the focus of the short-term outcomes needing improvement. For capacities that were Adequate, there were also desired outcomes developed, which aimed at maintaining these capacities.

Now that your workgroup has implemented its sustainability readiness plan and has monitored its implementation, the next step is for the external evaluator to again assess the infrastructure capacities. This will help your workgroup and EBPI implementing organization understand how well the plan may have achieved improved sustainability readiness.

In Question 3 (OUTCOMES), your workgroup reviewed the infrastructure capacities and types of advocacy, including those that were found in the assessment in Question 2 by the external evaluator to be Not Adequate or Marginally Adequate. In Question 3, your workgroup also reviewed the short-term outcome statements, which were worded to show desired results in terms of outcomes. For infrastructure capacities and types of advocacy that were Not Adequate or Marginally Adequate, the desired outcomes were about increasing adequacy, while for those capacities already deemed Adequate, the desired outcomes were to maintain those adequacy levels.

This section involves the external evaluator collecting and analyzing data about sustainability readiness (infrastructure capacities and advocacy). This will provide the sustainability workgroup and leadership committee information about changes in readiness outcomes from *prior* to implementation of the sustainability readiness plan (Question 2) to *after* plan implementation (Question 9).

#### Why This Sustainability Question is Important

**This question is important because it answers how well the plan implementation achieved improvements in sustainability readiness.**

#### External Evaluator Assessment of Post-Sustainability Readiness

To address Question 9—which asks how well the plan achieved sustainability readiness—the external evaluator will again assess the infrastructure capacity and member advocacy for EBPI sustainability of the implementing organization. The external evaluator will conduct the same process that was implemented in Question 2.

The process for answering Question 9 is as follows:

1. The workgroup will provide its sustainability leadership committee members' contact information to the external evaluator.

2. The external evaluator will survey the leadership committee membership through a web survey, telephone interview, or in-person survey administration, to assess sustainability readiness.
3. The results, including the percentage scores for each of the seven capacity and advocacy outcomes, will be provided by the external evaluator to the workgroup in a brief report. Exactly as for Tool 2, the percentage score is a percentage of the highest score possible for each outcome.
4. Prior to meeting 8, the data coordinator will copy the percentage scores for each of the seven capacity and advocacy outcomes into **Tool 9: Post-Readiness Assessment Results**. Readiness adequacy as measured for these outcomes will be calculated and the adequacy levels will be shown in the tool.
5. The workgroup will discuss the assessment results.
6. The external evaluator will present the brief report to the leadership committee.

## TOOL 9: Post-Readiness Assessment Results

NAME OF EBPI IMPLEMENTING ORGANIZATION	INSERT NAME
--	-------------

	Data Resources	Expertise	Formalization	Funding Resources	Policies
Readiness Survey Result (% of Possible Score)					
Not Adequate					
Marginally Adequate					
Adequate					

	EBPI Champions	Sustainability Champions
Readiness Survey Result (% of Possible Score)		
Not Adequate		
Marginally Adequate		
Adequate		

### Completion Calendar Checklist for Post-Assessment Tasks

Actions	Lead Person(s)	Method	Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
External evaluator collects and analyzes data	External Evaluator	Data Collection & Analysis	11-12		
External evaluator produces brief report	External Evaluator	Produce Report	12		
Prior to meeting 8, data coordinator transfers percentages for seven capacity and advocacy outcomes into Tool 9	Data Coordinator	Tool Completion	12		
External evaluator provides brief report to leadership committee	External Evaluator	Report	12		

## Sustainability Readiness Question 10

### How can the sustainability process be continuously improved over time? (CQI)

#### Overview

The concept of continuous quality improvement (CQI) originated in the business world and has more recently gained wider acceptance in prevention, health, and human services. CQI often involves a review of process and outcomes to find ways to improve service delivery.

Your workgroup will use a CQI process to review the results of the sustainability readiness results provided by the external evaluator in Question 9. By answering Question 10, you will be describing what needs to be improved to continue the process of strengthening sustainability readiness. This will be done by reviewing which readiness results at post assessment were Adequate, Not Adequate, or Marginally Adequate. For those readiness results that are less than Adequate, the workgroup will be asked to think about (1) their confidence that they can work with others to improve the readiness results over the next six months, (2) how they plan to improve the readiness results over the next six months, and (3) their commitment to improve the readiness result over the next six months.

#### Why This Sustainability Question is Important

**This question is important because it provides an opportunity to assess what could be improved and explore how to make improvements in sustainability readiness in the future.**

#### Use Tool 10: CQI Summary

To conduct a CQI review, we have provided **Tool 10: CQI Summary**. This tool will help you get the big picture of the sustainability readiness outcomes, for which the external evaluator collected data early in the sustainability process (in Question 2) and conducted a post-assessment (in Question 9) during months 8 and 9 of implementation.

We recommend that you complete this tool in workgroup meeting 8 in month 9. The workgroup should continue to use consensus to arrive at the answers for each question. Once consensus is reached, the data coordinator will be responsible for inputting the responses into the Excel tool.

The process for completing the tool is as follows:

1. Print paper copies of Tool 10 for each workgroup member to use as a worksheet. The tool will be pre-populated with both the pre- and post-readiness assessment results (computed adequacy ratings).
2. Convene the workgroup to discuss and review Tool 10.
3. The workgroup members should go through each outcome and review the pre-assessment and post-assessment adequacy results.
4. The workgroup members should review the questions at the bottom of Tool 10 for each readiness result for which the box is checked “No” (indicating that the result was less than

Adequate). The workgroup should discuss and reach consensus in response to three items for each readiness result that shows “No” and repeat this process until the tool is completed. The three items are:

- How confident is the workgroup that they can work with the EBPI implementing organization’s sustainability leadership committee to improve this readiness result over the next six months?
  - Describe briefly *how* the workgroup plans to improve this readiness result over the next six months.
  - Summarize the workgroup consensus regarding their commitment to improve this readiness result over the next six months.
5. The data coordinator should enter the responses as statements into Tool 10 in the fields provided.
  6. Once this task is finished, the data coordinator should make copies of the completed tool to distribute back to the workgroup for their use in upcoming tasks.
  7. Once the tool is completed, store a hard copy of the tool in a safe location.
  8. The workgroup will need to meet with the leadership committee to discuss the CQI summary and to take steps toward improving the readiness results.

## TOOL 10: CQI Summary

NAME OF EBPI IMPLEMENTING ORGANIZATION					INSERT NAME		
<b>INFRASTRUCTURE CAPACITY / MEMBER ADVOCACY (PRE-ASSESSMENT RESULTS)</b>							
	Data Resources	Expertise	Formalization	Funding Resources	Policies	EBPI Champions	Sustainability Champions
<b>Readiness Survey Result (% of possible score)</b>							
Not Adequate							
Marginally Adequate							
Adequate							
<b>INFRASTRUCTURE CAPACITY / MEMBER ADVOCACY (POST-ASSESSMENT RESULTS)</b>							
	Data Resources	Expertise	Formalization	Funding Resources	Policies	EBPI Champions	Sustainability Champions
<b>Readiness Survey Result (% of possible score)</b>							
Not Adequate							
Marginally Adequate							
Adequate							

	Was this infrastructure capacity or member advocacy adequate at Post-Assessment?		If No ...											
			How confident is the workgroup that they can work with the sustainability leadership committee to improve this readiness result over the next six months?				Please describe briefly HOW the workgroup plans to improve this readiness result over the next six months.		How committed is the workgroup to improve this readiness result over the next six months?					
	Yes	No	None	A little	Some	Very		None	A little	Some	Very			
<b>Data Resources</b>														
<b>Expertise</b>														
<b>Formalization</b>														
<b>Funding Resources</b>														
<b>Policies</b>														
<b>Formalization</b>														
<b>EBPI Champions</b>														
<b>Sustainability Champions</b>														

### Completion Calendar Checklist for CQI Tasks

Actions	Lead Person(s)	Method	Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
<b>Workgroup Meeting 8 –Complete Tool 10: CQI Summary</b>					
Facilitator gives presentation on CQI	Facilitator	Presentation	12		
Workgroup completes Tool 10	Workgroup	Tool Completion	12		
Workgroup presents summary to leadership committee	Workgroup	Summary	12		

## Sustainability Readiness Question 11

### **Six months later, what is the level of EBPI sustainability readiness and intentions? (SIX-MONTH FOLLOW-UP)**

#### **Overview**

Six months after implementation of the 12-month sustainability strategy, the external evaluator will conduct a follow-up outcome assessment that is independent of the 12-month implementation process. The assessment of sustainability readiness and intentions will be conducted with the sustainability leadership committee in the organization implementing each EBPI to be sustained.

Sustainability intentions describe steps taken toward the integration of a sustainable EBPI into normal operations of the implementing organization(s). This integration has multiple indicators. We describe in this section the collection by the external evaluator of data for follow-up assessment of sustainability intentions six months after completion of Question 10 (CQI) of the sustainability strategy.

#### **Why This Sustainability Question is Important**

**This question is important because it provides a follow-up assessment of both readiness and the sustainability intentions of the EBPI to determine if impact is on-going. Given that sustainability is not a quick process, it is important for the workgroup and the EBPI implementing organization to see what has occurred at an interim time point (six months following implementation of the sustainability strategy).**

To answer Question 11, the external evaluator will conduct a follow-up assessment. The following describes the assessment that will be conducted and the report that will be produced.

#### **Assess EBPI Sustainability Readiness and Intentions: Goal 2**

1. The workgroup will provide its sustainability leadership committee members' contact information to the external evaluator.
2. The external evaluator will survey the sustainability leadership committee membership through a web survey, telephone interview, or in-person survey administration, to assess sustainability readiness and sustainability intentions. The sustainability intentions address 15 indicators from the literature (Goodman et al., 1993).
3. The external evaluator will analyze sustainability readiness data from pre- assessment, post- assessment, and follow-up, as well as intentions to sustain EBPIs from pre- assessment and follow-up. The evaluator will produce a report that will show at each time period the percent each outcome (readiness and intentions to sustain) represents of the maximum possible score. It will also show the adequacy ratings for readiness and intentions to sustain EBPIs. The report will include results for all EBPIs that were considered for sustainability. The tool will also display computed adequacy ratings for EBPI sustainability readiness at follow-up and intentions to sustain the EBPI. For the end user, the specific calculation of these adequacy ratings appear in the Excel tool instructions for Questions 2 and 9, and the Evaluation Guide for Questions 2, 9, and 11.

4. Results will be provided to the workgroup in a report. The report will include results for all EBPIs that were being considered for sustainability.

The workgroup should convene a final meeting in month 18 to review and discuss summary results from the external evaluator's assessment of EBPI sustainability readiness at follow-up and intentions to sustain the EBPI(s). After the workgroup reviews the results, the external evaluator will present a brief report to the leadership committee. The workgroup will also present a summary to the leadership committee that includes recommendations for sustaining the EBPI(s).

### Completion Calendar Checklist for Sustainability Readiness & Intentions Follow-up Tasks

Actions	Lead Person(s)	Method		Month	Completion Dates	If Not Completed, What Needs to be Done to Complete?
Workgroup Meeting 9 – Review Continued Readiness and EBPI Sustainability Intentions						
Survey administration to assess continued readiness and EBPI sustainability intentions	External Evaluator	Data Collection		18		
Analysis and report to workgroup	External Evaluator	Analysis & Report		18		
Workgroup reviews report	Workgroup	Workgroup		18		
Evaluator presents report to leadership committee	External Evaluator	Report		18		
Workgroup presents summary to leadership committee	Workgroup	Summary		18		

## References

- Centers for Disease Control and Prevention (2018). Evidence-based Practices. <https://www.cdc.gov/stltpublichealth/program/resources/evidence.html>
- Center for the Study and Prevention of Violence (2017). Blueprints for Healthy Youth Development. <https://www.colorado.edu/cspv/>
- Chinman, M., Acosta, J., Ebener, P., Malone, P.S., & Slaughter, M.E. (2016). Can implementation support help community-based settings better deliver evidence-based sexual health promotion programs? A randomized trial of Getting to Outcomes®. *Implementation Science, 11*, 1-16.
- Chinman, M., Acosta, J., Ebener, P., Malone, P.S., & Slaughter, M.E. (2018). A cluster-randomized trial of Getting to Outcomes' impact of sexual health outcomes in community-based settings. *Prevention Science, 19*, 437-448.
- Collins, D. A., Johnson, K. W., & Shamblen, S. R. (2012). Examining a home environmental strategy to reduce availability of legal products that can be misused by youth. *Substance Use & Misuse, 47*(12).
- Ebener, P. A., Hunter, S.B., Adams, R.M., Eisenman, D., Acosta, J.D., & Chinman, M. (2017). Getting To Outcomes® Guide for Community Emergency Preparedness. Santa Monica, CA: RAND Corporation. <https://www.rand.org/pubs/tools/TL259.html>.
- Goodman, R.M., McLeroy, K.R., Steckler, A., & Hoyle, R.H. (1993). Development of Level of Institutionalization (LoIn) scales for health promotion programs. *Health Education Quarterly, 20*(2), 1993, 161-178.
- Guide to Community Preventive Services (2017). The Community Guide. <https://www.thecommunityguide.org/>
- Imm, P., Chinman, M., Wandersman, A., Rosenbloom, D., Guckenbug, S., & Leis, R. (2007). Preventing Underage Drinking: Using Getting To Outcomes with the SAMHSA Strategic Prevention Framework to Achieve Results. Santa Monica, CA: RAND Corporation. [https://www.rand.org/pubs/technical\\_reports/TR403.html](https://www.rand.org/pubs/technical_reports/TR403.html).
- Johnson, K., Collins, D., Shamblen, S., Kenworthy, T., & Wandersman, A. (2017) Long-term sustainability of evidence-based prevention interventions and community coalition survival: A five and one-half year follow-up study. *Prevention Science, 18*(5), 610-621.
- Johnson, K., Hays, C., Center, H., & Daley, C. (2004). Building capacity and sustainable prevention innovations: A sustainability planning model. *Evaluation and Program Planning, 27*, 135-149.
- Johnson, K.W., Fisher, D., Wandersman, A., Collins, D., & White, P. (2009). A Sustainability Toolkit for Prevention using Getting To Outcomes. Pacific Institute for Research and Evaluation (PIRE) & Community Anti-Drug Coalitions Across Tennessee (CADCAT).
- Johnson, K.W., Collins, D., & Wandersman, A. (2013). Sustaining innovations in community prevention systems: A data-informed sustainability strategy. *Journal of Community Psychology, 00*(0), 1-19.