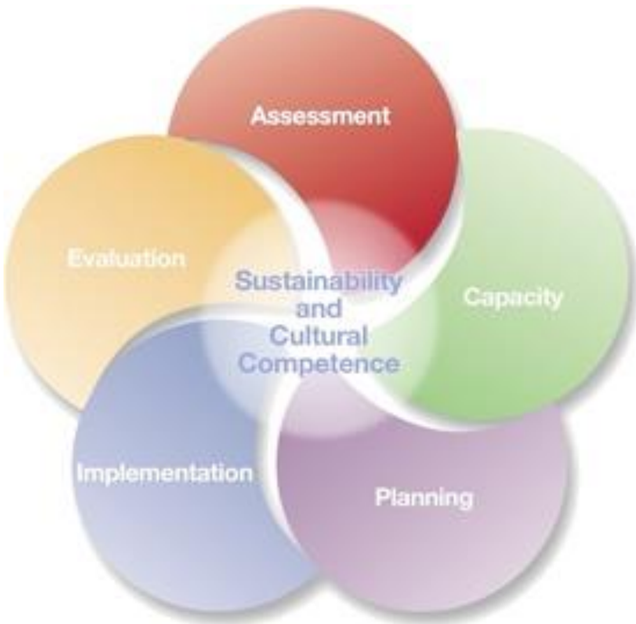
# Developing a Campus Strategic Plan:

# A Guidance Document for PFS Grantees

# Part C

Minnesota Department of Human Services

Alcohol and Drug Abuse Division




May 2016

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## Introduction

The *Strategic Planning Guidance Document, Part C* is the third in a series of documents intended to support Minnesota PFS sub-recipients in their process of developing a data-driven, community-specific strategic plan. Your Campus Strategic Plan will map Phase Two of funding and address local needs as well as the following statewide priority concerns:

- Underage drinking among persons aged 18 to 20
- Marijuana use among persons aged 18 to 25.

The *Strategic Planning Guidance Document, Parts A and B* provided details and a detailed description of the assessment, planning, and decision-making processes used to select a comprehensive set of strategies to address the prioritized local condition indicators. The *Strategic Planning Guidance Document, Part B* It also provided instructions for explaining how these strategies will be implemented on your campus community.

## The Strategic Planning Guidance Document Part C

Your Campus Strategic Plan will serve your coalition and project for the duration of the PFS grant. It should be written to cover the period from July 1, 2016 through September 29, 2019. Your coalition may choose to develop a plan that goes further into the future. Coalitions should plan through September of 2019 even though PFS funding ends in 2019 in order to maintain a timeframe consistent with measuring outcomes through the College Student Health Survey (CSHS). PFS funds may be used to cover the 2019 survey which is conducted early in the year with the data available in the fall of that year.

Below is an outline of the key components required in the Strategic Plan. Also provided are resources available to you and your coalition as you develop various parts of the plan. Please feel free to contact the resources listed in the chart as they are happy to assist in any way they can with this process.

## Outline of Campus Strategic Plan

Your Campus Strategic Plan must include the following components:

1. Assessment Summary
    a. Epidemiological Profile Summary
    b. Capacity, Assets, and Resources Summary
    c. Community Readiness Summary
    d. Description of the Local Conditions Selection, Assessment, and Prioritization Process

2. Focus Populations
    a. Direct Populations
    b. High-risk Populations
    c. Populations requiring Culturally-Specific Services
    d. Indirect Populations

3. Strategy Selection Justification

4. Action Plan: Project Plan
    a. Problem Statements
    b. Goals & Objectives

5. Action Plan: Capacity and Infrastructure Enhancement Plan
    a. Opportunity Statements
    b. Capacity and Infrastructure Enhancement Goals

6. **Evaluation Plan***
7. **Sustainability Plan***
8. Approach to Disseminating and Updating the Strategic Plan

Components marked with an asterisk and in **bold font** are described in this guidance document *Strategic Planning Guidance Document, Part C.* Components <u>not</u> marked with an asterisk* and bold were addressed in *Part A*, or *Part B.* You will develop your Evaluation Plan in collaboration with Wilder Research after your chosen strategies have been approved. Specific guidance will be provided in direct consultation with your evaluation contact at Wilder.

## Evaluation Plan

Evaluation is an essential component of the Strategic Prevention Framework. It allows you to identify how your selected strategies are working, the impacts they are having, and the opportunities for improvement. This can help to build buy-in for your work, increase the effectiveness of your work, and promote sustainability.

Below is a summary of the materials that you will submit as part of your overall evaluation plan. You are also strongly encouraged to add your evaluation tasks to your overall project Gantt chart or timeline tracking tool(s) to ensure they are completed as scheduled.

- Logic model
    - Responses to the logic model guiding questions
- Strategy Outputs and Outcomes Chart
- Data Collection Plans
    - Responses to the data collection plan guiding questions
    - Any materials created to facilitate the data collection plan (submit in appendix)
- Evaluation Dissemination Plan
- Responses to cultural and ethical considerations questions

### Important note about your Evaluation Plan

Work closely with Wilder Research consultant to develop your Evaluation Plan, starting with a site visit in May 2016.

### Developing your Evaluation Logic Model

A logic model is a visual depiction of how your activities link to your intended outcomes. Taking the time to carefully and thoughtfully develop an evaluation logic model can help you:

- Build consensus and clarity among your staff and other stakeholders about your essential program activities and expected outcomes.
- Spell out the beliefs and assumptions that underlie your choice of activities and intended outcomes.
- Promote evidence-based thinking in program management and evaluation.
- Assess your program's likelihood of success and identify factors that could impact success. For instance, how do the manner, amount, and quality of activities affect the likelihood of achieving the outcomes?
- Increase your understanding of program performance by clarifying the sequence of events from inputs through outputs through outcomes.
- Educate stakeholders regarding realistic expectations.
- Control "drift" by ensuring that the services that you are providing are still consistent with the initiative's intended purpose and approach.
- Provide a basis for developing an evaluation design by helping to decide which participant outcomes are the most important ones to measure.

Please note that an evaluation logic model is different than the SPF logic model that links consequences, consumption, local conditions, and strategies. While both provide a visual depiction of the relationship between activities/strategies and outcomes, they serve slightly different functions. The primary purpose of the evaluation logic model is to guide the overall evaluation plan, though the other benefits listed above are also important.

## Instructions:

**Step 1: Identify the components of your logic model.** Determine the key components that will be included in your logic model. Remember that your model is not intended to reflect an exhaustive list of your work or intended impacts, but to focus on the main elements and relationships that will most directly get you to your long-term goals.

The components you will need to list include:

- **Inputs**: The *essential resources* you need to make your efforts happen.
- **Activities:** The *major services* that you provide directly to your target populations with the potential for the greatest impact. Do not include administrative tasks, such as training staff or doing paperwork. While these tasks are a necessary part of running a program, they are not as likely to produce a direct change in participants. For SPF PFS, each of your strategies is considered a key activity, though there may be other key activities as well.
- **Outputs:** The *countable products* of your services that will help you determine dosage and explain your results. Remember that outputs are different from outcomes. While outcomes describe the actual impact (changes that result from the activities), outputs describe the amount of service provided.
- **Short-term outcomes:** Anticipated *changes in knowledge, skills, or awareness* are considered short-term because they typically precede changes in behavior or practice.
- **Intermediate outcomes:** Logical *behavioral changes* that follow changes in knowledge and awareness are considered intermediate. All of the objectives you have already identified in your strategic plan are either short-term or intermediate outcomes.
- **Long-term outcomes:** *Global changes*, such as community impacts, that connect to the individual behavior changes are long-term. The two SPF PFS priority areas will be the long-term outcomes in this logic model.

The linkages between your each component of your logic model should be appropriate, logical, and, when possible, based on evidence. As you move from short-term to long-term outcomes, your coalition's direct impact and accountability will decrease. The deeper or broader the change, the more factors that need to come together in order to make it happen. Not all of these factors will be within your coalition's control. It may be helpful to talk with other coordinators about how they are navigating through these changes and the lack of control associated with more distant outcomes.

**Step 2: Construct a draft model.** The next step is to take all of the key components you listed and put them together in a way that visually depicts the relationship between them. Use arrows to show the connections between your inputs and your activities, between your activities and outputs, and between your outputs and each sequence of outcomes. Remember that one activity could lead to multiple outcomes, or that multiple activities could lead to the same outcome.

Wilder staff can assist in talking through the connections between key components and using computer programs to put a visual model together.

**Step 3: Gather feedback on your draft model.** Once you have a draft of your logic model, gather feedback on the model from key stakeholders, including coalition members. This will help ensure you have a common understanding of the elements and logic behind the model and build buy-in for the evaluation framework that will stem from the model. You can also include key stakeholders in your logic model development, but it is essential and required that you gather feedback before finalizing the model.

Consider the following when reviewing your logic model:

- Does your logic model include all of the most important outputs and activities? Keep in mind it cannot include every detail of what you do on a day to day basis, so focus on the most important components.
- Are your outcomes clear and realistic? It is important not set yourself up to fail by not being clear about what you will be doing or by overpromising.
- Do the outcomes represent meaningful changes? Consider the purpose of your work and reason you are being funded. Remind the coalition about the priorities and the funding requirements during these conversations.
- Do the connections between components make sense? Remember to think about what evidence supports these connections.

**Step 4: Develop a plan for ongoing review and revision of the logic model.** In order to make your logic model as useful and meaningful as possible, revisit it as your efforts evolve over time. Just as your coalition evolves, so will your logic model; build time in to assess and make changes accordingly. Create a plan for reviewing your logic model annually. You may want to revisit the questions above when reviewing your logic model to make sure it is still accurate and relevant, and that the project is still on track.

## Submitting your logic model:

When you submit your strategic plan, ***include your logic model,*** as well as brief responses to the following questions:

- Who in your community did you gather feedback from in developing your logic model? How did you gather and address their feedback?
- When do you plan to review and revise your logic model in the next year? Who will be included in this review and any revisions?
- How do you plan to use your completed logic model? Who do you plan to share it with? How will you share it? Have others contributed to this plan?

## Strategy outputs and outcomes

This chart will lay out the outputs and outcomes that you will be measuring for each of your strategies. This chart will help to ensure that you are measuring all of the key indicators you need to measure in a coordinated, comprehensive way.

### Purpose:

**Process evaluation** is a way to examine your efforts and see connections between the way strategies are implemented and the outcomes or satisfaction levels for participants. A process evaluation will help you measure the **outputs** included in your logic model and your implementation **fidelity**, which is how closely you are following the model of an evidence-based program or practice. If you can demonstrate you are implementing your strategies with fidelity and enough reach, then you can be more confident you will have the intended impacts.

Outcome evaluation is a way to measure the impacts of your efforts. Plan to measure all of the **outcomes** in your evaluation logic model. To determine how they will be measured, identify specific **indicators** that represent those outcomes.

### Instructions:

**Step 1: List your strategy in the first row of the Strategy Outputs and Outcomes Chart.** Create one chart for each strategy you will be implementing.

**Step 2: List the outputs from your logic model.** Copy all of the core fidelity components and all of the outputs included in your logic model into the first column of the Strategy Outputs and Outcomes Chart.

For the strategies that meet the definition for evidence-based, you will be required to measure the degree to which the strategy is being implemented with fidelity. In order to measure fidelity, first identify the core components of the model that must be replicated by reviewing:

- The materials created by the developer of a prescribed evidence-based program
- The articles or reports that established the evidence for the model
- Experts in the strategy area

Wilder staff can help you access and interpret fidelity information. You may also enter best practices components for promising practices, if such information is available. Some strategies may have core fidelity components and additional outputs that are important to measure; include both the fidelity components and the outputs in the chart.

**Step 3: Enter the outcomes from your logic model.** Copy the outcomes from your logic model into first column of Strategy Outputs and Outcomes Chart.

**Step 4: Identify indicators.** An **indicator** is the specific information used to measure whether you are making progress toward your outputs and outcomes.

***You are required to have at least one indicator for each output and outcome***. Some outputs and outcomes may have only one clear, reasonable indicator, whereas others may be measured in multiple ways, so you may have more than one indicator for some outputs or outcomes. Use the following criteria for writing indicators, and enter them into second column of the Strategy Outputs and Outcomes Chart.

Ensure each indicator is:

- Stated in an explicit, specific manner so that anyone can understand exactly what is meant. Does it include who, what, and how?
- Directly measures an output or outcome.
- Realistically able to be measured with the time and resources available with this grant.
- Adequate to fully measure the output or outcome.
- Focused on change

*Many evidence-based strategies include guidelines indicating how and the extent to which core components need to be implemented to maintain fidelity. For instance, there are often guidelines about the number of participants that need to complete a program, the number of sessions a participant needs to complete, or the number of times an event needs to occur. When available, these established guidelines should be entered into the table as the indicator for that component.*

**Step 5: Identify the data collection method and data source for each indicator.** In order to measure your indicators, you will need to collect information. In some cases, the information you want may already have been collected and you only need to access it (known as “secondary data;” for example, your College Student Health Survey). In other cases, you need to collect new information (also called “primary data;” for example, the opinions of your key stakeholders about a new program). Whatever approach you choose to obtaining data will have advantages and disadvantages, as well as implications for the applicability and usefulness of your research results. Because of the multiple factors involved in and implications of choosing data collection methods, work with your Wilder Consultant to make these decisions.

What you need to submit: Submit the completed Strategy Outputs and Outcomes Chart (one for reach strategy) with your strategic plan.

### Strategy Outputs and Outcomes Chart - EXAMPLE

| **Strategy: Social Marketing Campaign** | | |
|---|---|---|
| **Outputs/Outcomes** | **Indicators** | **Data collection method** |
| # of messages released [Output] | At least 2 new messages are released each month | Pilot test survey results |
| # of message locations [Output] | Each message is distributed in at least 10 locations/ events | Material creation and distribution tracking |
| # of modes of communication [Output] | Each message is distributed in at least 3 forms | Material creation and distribution tracking |
| Increase students' perceived risk of using marijuana [Outcome] | Increase in the number of students who report there is a "moderate" or "great" risk of smoking marijuana once or twice a week | National College Health Assessment |

### Strategy Outputs and Outcomes Chart - TEMPLATE

| **Strategy:** | | |
|---|---|---|
| **Outputs/Outcomes** | **Indicators** | **Data collection method** |
| | | |
| | | |
| | | |

## Developing Data Collection Plans

### Purpose:

The next step is to create a full data collection plan detailing when data will be collected, how people will be selected and recruited to participate (if applicable), and who will be responsible for the tasks involved. In addition, you will need to identify and determine how the data will be entered and stored. Quality data, in turn, is a necessary foundation for research results that are both meaningful and useful.

### Instructions:

*To streamline your plans, you will create multiple strategy-specific data collection charts, as well as one cross-cutting data collection chart. This will allow you to update the strategy specific charts, as needed, when action plans shift, while preventing duplication for methods that cut across multiple strategies.*

**Step 1: Identify whether methods are strategy-specific or cross-cutting.** If a particular data collection method only pertains to a single strategy, then it will be placed in a table specific to that strategy, along with all other methods that are specific to that same strategy. The methods that apply to two or more strategies will go in the cross-cutting methods table. These methods are less likely to require updates each time a strategy's action plan shifts. Your data collection methods should be comprehensive and unduplicated. Once this is determined, enter the methods into the appropriate tables.

**Step 2: Develop Data Collection Plans.** Work with your Wilder Consultant, and any additional stakeholders, to draft a plan regarding the selection and recruitment of participants (if applicable), the timeline for data collection, and data entry.

To help you better understand the components of the data collection plan, additional information about the type of information included is provided below. ***Remember, your Wilder Consultant will help you make the decisions.***

Specifically, in regard to sampling and recruitment, consider:

- **The criteria used to select the people/documents from which you will gather data.** The criteria chosen should increase the likelihood that you get the types of information you need to answer your research question without biasing how "favorable" the information is about the strategy being evaluated.

  *For example, if you are evaluating a 16-week program, you would need to decide if you want to collect data from everyone who was in the program, only people who were in the program a certain period of time, or only people who completed the whole program. If you are looking at the impact of DUI saturations, you'll need to decide if you are interested in collecting information on the number of stops made, the number of citations, the number of arrests, the outcome of arrests, or all of the above.*

- **Whether all of the people/documents that meet the criteria for participation will be included or only some of them (known as a sample).** If a sample will be selected, will it be done randomly (so every person/source has an equal chance of being selected) or systematically (so that specific sources, for example the ones that are easiest to obtain, are chosen)?

- **How people will be told their participation is desired.** Whether you are collecting data from people or are planning on reviewing documents or data that has already been collected, you will need people to assist you. Consider what person or entity should do the inviting. That is, who will elicit trust and a motivation to participate? In what format will the invitation come?

- **Whether an incentive will be used to encourage participation.** If so, what incentive will be motivating while meeting state guidelines without creating undue influence on potential participants or undue stress on the budget?

In regard to frequency and timelines, consider:

- **The timing of data collection relative to the strategy being evaluated.** Likely, you will want to collect data at a point in time when the strategy is expected to have achieved its short-term outcomes. Will data also be collected prior to implementation of the strategy so change can be assessed? Will data also be collected long enough after the strategy to assess whether short-term outcomes are lasting and intermediate outcomes have occurred? Also consider the timing for gathering any tracking information you're collecting, e.g., how often will you compile attendance data or training summaries?

- **Time of year to collect data.**
    - Data can be influenced by the time of year as a result of seasonal work patterns (such as the school year), holidays (such as New Year's Eve), and seasonal events (such as homecoming). For example, underage drinking may be higher in the spring and summer when there is spring break, more free time, and greater opportunity to be outside.
    - Potential participants' willingness to give data also can be influenced by the timing. For example, retail business owners are less likely to find time to provide data during the December holiday season, while faculty may be less likely to respond at the end of the academic year.
    - Timing may also be influenced by reporting deadlines or dissemination opportunities, for instance, you may want collect data at a time when it can be included in your annual report to ADAD or in a proposal for another funding source.

- **How long to collect data.** Based on such factors as the indicator being measured, the amount of time available, and when the results are needed, decide how long to collect data.

In terms of data entry, consider the type of data and how it will be analyzed, and what you need to do to get the data into a form that can be analyzed (i.e. entering quantitative paper surveys into Microsoft Excel or transcribing recorded qualitative interviews).

**Step 3: Have the draft <u>Data Collection Plans</u> reviewed by your coalition and other key stakeholders and complete the "Persons Responsible by Task" column.**

The purpose of having the plan reviewed by key stakeholders is three-fold:

1. *To improve the ease of administering the plan and/or the quality of the data collected.* Often people with firsthand knowledge about the processes and people

that will be involved in data collection have valuable insights into potential barriers to collecting data and/or strategies for improving the plan.

2. *To build buy-in among key stakeholders.* Including people/organizations that will be key to making the data collection plan work in an early review helps ensure the plan makes sense to them, meets their needs, and helps build their investment in making the plan work. Alternatively, if it is clear the people/organization will not be a good partner in implementing the plan (and it is decided to keep the plan, rather than keep the partner), it is helpful to know this before the data collection plan is implemented.
3. *To help maintain peaceful operations.* In some cases, it is important to share the draft plan with an individual or organization in order to show respect for a particular organization, person, or practice that may not be essential to this part of the project, but is a major stakeholder in the project nonetheless.

Your Wilder consultant will work with you to determine what questions to ask stakeholders about the plan to maximize the usefulness of the feedback received. Along with requesting feedback from stakeholders, work with stakeholders to complete the "Persons Responsible by Task" column. The specific tasks that need to be completed will depend on your data collection plan, but will likely include:

- Obtaining permission from organizations or individuals to access data
- Developing recruitment materials
- Recruiting participants
- Piloting (i.e. trying out) data collection tools
- Reviewing documents (such as citations or project records) for specific information
- Identifying locations for in-person data collection (e.g., focus groups)
- Purchasing incentives
- Training people who are involved in recruitment and/or data collection
- Administering data collection tools (e.g. handing out and collecting surveys)
- Entering data
- Reporting results

**Step 4: In conjunction with your Wilder Consultant, revise the <u>Data Collection Plans</u>.**
Wilder will work with you to incorporate feedback received from stakeholders. In the cases in which changes aren't made, Wilder will equip you to explain those decisions to stakeholders. ***Once the plan is complete, your ADAD contract manager will review it for final approval.***

What you need to submit: When you submit your strategic plan, include the <u>Data Collection Plans</u> as well as answers to the following questions:

- How was it determined which stakeholders would review the draft data collection plan? Which stakeholders were asked to provide input and who actually provided input?

- What process was used for these stakeholders to review the plan and provide their input?
- How did you decide who will be responsible for each data collection task?

If any materials were created to facilitate the abovementioned processes, please include them in the appendix of your strategic plan.

### Strategy Specific Data Collection Chart - EXAMPLE

| **Strategy: Responsible Beverage Server Training** | | | | |
|---|---|---|---|---|
| **Data collection method** | **Sampling and Recruitment** | **Frequency & Timing** | **Data Entry** | **Persons responsible by task** |
| Surveys with responsible beverage server training participants | All participants who are trained | At the beginning and end of every training | Data entry into Excel | Wilder will:<br>• Create tools and materials<br>• Coordinate translations<br><br>Coordinators will:<br>• Train trainers on surveys<br>• Coordinate survey administration<br>• Provide materials to trainers<br><br>Trainers will:<br>• Discuss confidentiality<br>• Administer surveys |
| Server training attendance sheet | All participants who are trained will sign in and provide demographic information | At the beginning of each training | Data entry into Excel | Coordinator will:<br>• Create the attendance sheet for the trainers<br>• Ensure the attendance sheet is at each training<br>• Be sure that trainers know to discuss confidentiality with trainees at the training<br><br>Trainers will:<br>• Discuss confidentiality<br>• Collect attendance<br>• Submit to the coordinator |

### Cross-Cutting Data Collection Chart - EXAMPLE

| **Data collection method** | **Sampling and Recruitment** | **Frequency & Timing** | **Data Entry** | **Persons responsible by task** |
|---|---|---|---|---|

| | | | | |
|---|---|---|---|---|
| PFS Student Survey | All students will be emailed a link to the online survey. Reminder emails will be sent weekly and there will be posters advertising the survey around campus. Students completing the survey will be entered into a drawing for book store gift certificates. | The survey will be administered during the month of October each year | The survey is only, so there is no data entry needed | Wilder will:<br>• Work with coordinators to update the tool<br>• Program the web survey<br>• Report results<br>• Conduct the drawing for incentives<br><br>Coordinators will:<br>• Apply for IRB approval<br>• Send out survey link<br>• Develop and hang flyers<br>• Send weekly email reminders<br>• Administer incentives |
| Community Leader key informant interviews | Coalition staff and members will develop a list of 25 community leaders from the campus and surrounding community to participate in a telephone interview. Coordinator will contact potential participants and offer an opt-out option before sharing contact information. | Interviews will be conducted in January and February 2019 | | Wilder will:<br>• Create the tool<br>• Conduct interviews<br>• Analyze and report results<br>• Thank participants<br><br>Coordinators will:<br>• Provide initial sample<br>• Lead communication for participant pre-notification and opt-out |

## Strategy Specific Data Collection Chart - TEMPLATE

| **Strategy:** | | | | |
|---|---|---|---|---|
| **Data collection method** | **Sampling and Recruitment** | **Frequency & Timing** | **Data Entry** | **Persons responsible by task** |
| | | | | |

### Cross-Cutting Data Collection Chart - TEMPLATE

| Data collection method | Sampling and Recruitment | Frequency & Timing | Data Entry | Persons responsible by task |
|---|---|---|---|---|
| | | | | |

## Sharing Evaluation Results

### Purpose:

The data you collect can only benefit you and your community if it is used and shared with stakeholders, so being thoughtful about how to use the information will ensure the time and energy you invested in the data will be well-spent.

### Instructions:

Complete the Evaluation Dissemination Plan using the guidelines listed below.

- **With whom will the information be shared:** Explicitly state all of the different audiences with whom you think you will share the results. Consider all stakeholder groups who may have an interest in the results or would benefit from seeing the results. Knowing your audiences will determine whether you need reports, presentations, press releases, or other ways of communicating information and what type of information should be included.
- **What will they need/want to know:** Keeping in mind who the information will be shared with, brainstorm what types of information this particular group will be especially interested in. How much do they know already? How much detail do they need to know? What is most relevant to them and their jobs?
- **How will you share the information:** Identify ways to present your information to the selected audience(s). Some options could include, but are not limited to, a full report, a presentation, or a fact sheet. Also consider how you will disseminate the information. For example, will you share a final report at a coalition meeting or send it out via email?
- **Who will be responsible:** Identify who will be responsible for preparing and sharing the deliverables, including:
  - Figure out who will be responsible for creating the deliverable. Will this individual will be responsible for preparing the materials and talking points?
  - Each document or presentation must be proof-read. Typos and other errors can be distracting to your overall message and could lend less credibility to the hard work you have done. Identify two stakeholders that will be able to proof-read the work.
  - Determine out who will be responsible for presenting or distributing the information to your selected audience.

What you need to submit: When you submit your strategic plan, include the Evaluation Dissemination Plan.

### Evaluation Dissemination Plan - EXAMPLE

| **Audience** | **What they need/ want to know** | **How information will be shared** | **Persons responsible by task** |
|---|---|---|---|
| Coalition members | Key findings from:<br>• Community leader key informant interviews<br>• College Student Health Survey<br>• Coalition member conversations<br>• Responsible beverage server training surveys | Written summaries for each component will be distributed at coalition meetings and attached to emails with meeting minutes | • Wilder will summarize and proofread results for:<br>o Community leader key informant interviews<br>o Coalition member conversations<br>• Coordinator will summarize and assistant and coalition member will proofread results for:<br>o College Student Health Survey<br>o Responsible beverage server training<br>• Coalition chair will distribute at meeting and via email |
| Administrators | Updates on the grant and changes in key outcomes | Bi-annual summary of project activities and key outcomes | • Coordinator will develop summary<br>• Assistant and coalition member will proofread<br>• Coordinator will send to administrators via email |

### Evaluation Dissemination Plan - TEMPLATE

| **Audience** | **What they need/ want to know** | **How information will be shared** | **Persons responsible by task** |
|---|---|---|---|
| | | | |

## Ethical and cultural considerations

Your evaluation plan should address any potential ethical or cultural considerations in order to ensure all potential participants have fair access to the evaluation and everyone's rights are protected.

Plan to implement the following ethical guidelines when developing your evaluation tasks and timeline:

- Ensure participants are making an informed, voluntary decision to engage in the evaluation.
- Protect the confidentiality of participants during data collection by:
  - Conducting interviews in a private location
  - Allowing for anonymous completion of surveys, when possible

    - Collecting the least amount of information possible, particularly potentially identifiable information
    - Ensuring that identifiable information is separated from participant responses
    - Avoiding discussion about individual participants with other people
- Protect individuals' confidential information during data entry and analysis, including:
    - Password protecting or encrypting files and folders that contain sensitive information
    - Making sure cabinets are locked and that a minimal number of people have keys
    - De-identifying the data file or transcripts
    - Outsourcing the data entry to a third party professional who will de-identify the information
- Protect confidentiality when reporting and sharing results, such as:
    - Suppressing results for small samples or groups of respondents, e.g., fewer than 10 individuals
    - Redacting potentially identifiable information when sharing quotes
    - Avoiding sharing results from one or a few individuals

***Respond to the following questions*** to describe your plan for addressing any ethical or cultural considerations with your evaluation.

- How will you ensure that people from different cultures/backgrounds have a chance to participate in the evaluation?
- How will you make the data collection plan culturally sensitive and maximize the likelihood that the results will be useful to people from different cultures/backgrounds?
- How will you ensure the evaluation does not harm participants and increase the likelihood it will be beneficial to them?

## Writing a Sustainability Plan

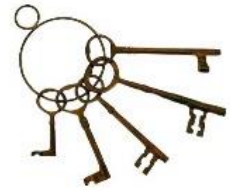
### Sustainability Definitions:

The process through which a prevention system becomes a norm and is integrated into ongoing operations, that prevention values and processes are firmly established, that partnerships are strengthened, and that financial and other resources are secured over the long term.

### SPF and Sustainability

One of the core elements of the SPF model is sustainability. Sustainability is often not addressed until funding is about to or has already ended, at which point it is often too late.

The SPF model promotes careful planning for sustainability before you begin the Implementation Phase. This does not mean that you plan for endless funding to continue to implement specific prevention programs indefinitely. In the SPF model, the focus should be on:



- sustaining outcomes
- sustaining capacity and infrastructure
- sustaining the SPF process in the community


**Goal(s):**

**Strategy:**

Strategic Components of Sustainability

1. Public Value - strategy must provide substantive value to overseers, clients and beneficiaries
2. Political - it must be legitimate and politically sustainable
3. Operational Capacity - it must be operationally and administratively feasible

**Tactic:**

Action steps: Ask questions . . . Prioritize . . . Identify resources

## The Keys to Sustainability

The Keys to Sustainability were developed by the Center for the Application of Prevention Technologies (CAPT) System to assist substance abuse prevention grantees and coalitions in understanding how to go about building sustainable prevention efforts.

The following is a summary of the Keys and the related action you should consider while drafting your Sustainability Plan.

**<u>Key 1—Organizational Capacity</u>**

Action 1: Develop administrative structures and formal linkages
Action 2: Adopt supportive policies and procedures
Action 3: Secure resources

Action 4: Acquire appropriate expertise

**<u>Key 2—Effectiveness</u>**

Action 5: Assess implementation quality for effectiveness of each strategy

Action 6: Assure effectiveness of each strategy

Action 7: Assess the reach and alignment of effective strategies

**<u>Key 3—Campus/Community Support</u>**

Action 8: Develop and nurture positive relationships

Action 9: Turn stakeholders into system leaders and champions

Action 10: Encourage ownership of the prevention system

**Resources**

- Discussion Guide
- Coalition Sustainability Checklist

A sustainability plan links the continuing strategies of the coalition with the various resources needed to maintain the strategic plan beyond the life of grant funding. The effectiveness of sustainability plan is connected to the active involvement of committed partners. Coalition members must therefore, be involved in its creation and implementation.

## A step-by-step outline provides guidance for creating your project's sustainability plan

Step 1.

Indentify What to Sustain

- What resources do we provide to the campus community?
- What are the most critical resources we need to maintain to meet our **outcomes**?
- What are we really trying to sustain?

Step 2.

Develop case statements for the elements that will be sustained

- Explain why your coalition is needed.
- Explain your prioritized list of strategies and elements to be sustained.
- Identify the benefits and harm if the **outcomes** are not sustained.
- Identify who is and will continue to be involved.

Ident what resources (financial, in-kind, human, etc) the coalition will need to sustain the utcomes long-term

- Describe how coalition will provide or develop the needed resources to fund the identified strategies.
- Outline the coalition's plan for implementing new resource development ideas going forward.

**Resources**

- Discussion Guide

## Instructions- Sustainability Plan

**Resources**

- Discussion Guide
- Coalition Sustainability Checklist
- Resources Worksheet

**Once you've obtained approval** for your Campus Strategic Plan**,** you are required to draft specific sustainability tasks that can be integrated early in the Implementation Phase**.** There are two major components that should be included in the Sustainability Plan Section of your Campus Strategic Plan.

Use the template below to outline how your Phase Two strategies will be sustained after SPF PFS funding ends. For every strategy proposed in your Project Plan, complete the table below.

<table>
<tr><td colspan="4">Strategy:</td></tr>
<tr><td>What do you hope will be sustained after the PFS funding ends? (Think about the outcomes identified in your Evaluation plan)</td><td>What needs to be done in Phase 2 in order for this outcome to be sustained? (List as many tasks as needed)</td><td>Who will be responsible for each of these tasks?</td><td>Timeframe (identify a goal completion date for each task)</td></tr>
<tr><td rowspan="3"></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td></tr>
</table>

# Disseminating and Updating Your Strategic Plan

## Purpose

It is extremely important to not only inform the community of certain components of your Strategic Plan, but also to ensure that all stakeholders have a clear understanding of their roles in implementing the plan.

All of the components of your Campus Strategic Plan should be viewed as living documents, to be continuously updated as new information becomes available. Different components will need to be revised at varying frequencies. For example, your Actions Plans will likely need to be tracked at least weekly, while your Needs Assessment Workbook Summary may only need to be updated annually.

## Instructions

After gathering input from stakeholders/coalition members, complete the table below and include it in your Disseminating and Updating Your Strategic Plan Section of your Campus Strategic Plan using the template provided here.

| Strategic Plan Component | 1 ) With whom would you like to share this information?<br>2) What information within should be shared with others (and with whom?) | | How will you share this information with others (in what format will it be best received)? | How and when will this section be updated? | Who will be responsible for updating this section? |
|---|---|---|---|---|---|
| | Who | What | | | |
| Assessment Summary- Capacity, Assets and Resources Summary | | | | | |
| Assessment Summary- Description of | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| **the Local Condition Prioritization Process** | | | | | |
| **Populations of Focus** | | | | | |
| **Project Plan- Action Plans** | | | | | |
| **Capacity and Infrastructure Enhancement Plan- Action Plans** | | | | | |
| **Evaluation Plan** | | | | | |
| **Sustainability Plan** | | | | | |
| **Dissemination and Updating Plan (Yes, you may need to update this as well!)** | | | | | |

Refer to the SUMN websites for helpful tips about reporting back and disseminating information in your community.

While updating the components of your Campus Strategic Plan is important, we should emphasize that major revisions to your Project Plan or your Capacity and Infrastructure Enhancement Plan must be pre-approved by your ADAD Grant Consultant.

These tips can be found at: www.sumn.org in the Toolbox under the "Tools" tab Maybe steer them toward the "Share Data: Presenting Data" section of the SUMN Toolkit at http://www.sumn.org/tools/Toolbox.aspx#SUMN_toolkit

Major revisions include, but are not limited to:

● Any changes to problem or opportunity statements, goals or objectives, or overall strategies
● Subtraction of activities
● Addition of activities that greatly impact your Phase Two Contract Budget
● Significant changes in who is responsible for key activities
● Goal completion dates being pushed back by two weeks or more

If you have a need to revise your Evaluation Plan, please connect with your Wilder Evaluation Consultant.

**Your plan should be thoroughly proofread before you disseminate anything. Typos are distracting and may impact your credibility**. Also, it's important that information being shared with people who have not been involved in the SPF PFS process is easy to understand.

After you have reviewed the document carefully, ask for a volunteer coalition member, one who is preferably detail-oriented and has an interest in editing, to proofread the entire document before disseminating any of its components. It may also be good to ask an uninvolved family member or friend to read parts of it as well to test for clarity and "community friendliness." Also, be careful not to unintentionally leak any information about political will that may be potentially sensitive.

***Final thoughts:*** *Your coalition should take pride in your Campus Strategic Plan and be confident about what is disseminated, because the ultimate goal is that this document is read, supported, and utilized.* ***Do not allow your Campus Strategic Plan to sit on a shelf or tucked away on a computer file. Part of implementing the SPF is gaining broad support and implementing your carefully drafted plan with fidelity.***

# APPENDIX A: Sustainability Discussion Guide

Collaborate with your coalition to develop consensus on what you wish to sustain. Specifically ask the following questions:

## Perceptions of likelihood of sustainability

- What resources do we provide to the campus and/or community?
- Are we prepared to seek out other resource partners?
- Are we prepared to invest the time and energy into sustaining our efforts?
- To what extent will the coalition continue to function after PFS funding ends? What should be done now to ensure future continuation of coalition work in prevention?
- To what extent will the Epi Workgroup or Assessment Workgroup continue to function? What should be done now to ensure future work in this area continues?
- Who are some potential partners who can continue to lead PFS efforts? What tasks may these partners be able to continue? What should be done now to prepare them to lead efforts in the future?

## What to sustain

- Are activities or program services still applicable?
- Which activities or programs and services are most applicable?
- Which aspects of programming?
- Which students should be the primary focus?
- What outcomes are most critical?
- What are we really trying to sustain?
- What are the key resources we need to maintain to meet our outcomes?
- How will the SPF model be utilized moving forward? How can your campus utilize lessons learned in future use of this model?

***Things to consider for each strategy/activity:***
*-Is it working well?*
*-How can it be refined?*
*-What outcomes are occurring?*
*-What resources are needed to keep it going?*
*-Is it worth the investment of resources?*

## Efforts and Resources

- Identify your different implementation strategies: which ones are most frequent?
- Identify the different resources involved and required for implementation: what is the biggest resource?
- Which strategies/activities will you continue in order to sustain your outcomes? Which resources will be needed to sustain them? How will you leverage those resources?

## APPENDIX B: PFS Outcomes Sustainability Assessment

This tool allows you to assess your program's current capacity for sustainability across a range of specific organizational and background factors. Your responses will highlight sustainability strengths and challenges. The results will help guide your sustainability action planning for your program.

**Things to Remember:**

- **Please revisit these questions frequently as you move through Phase Two. (It may be wise to re-visit them at least annually).**
- **Your answers to these questions will continually evolve from perhaps "unsure" the first year to "Yes" the final year.**
- **Review the results carefully and address identified gaps and needs.**
- **Assign specific responsibilities to address gaps.**

| Yes | Limited | No | Unsure | Conditions |
|---|---|---|---|---|
| | | | | **Environmental Support** |
| ❑ | ❑ | ❑ | ❑ | The program has leadership support on campus |
| ❑ | ❑ | ❑ | ❑ | The program has leadership support external to the campus (alumni, community, etc . . .) |
| | | | | Campus champions have been identified and trained |
| ❑ | ❑ | ❑ | ❑ | Campus champions are supported and thoughtfully engaged |
| | | | | The program's champions are able to garner important resources for the program. |
| ❑ | ❑ | ❑ | ❑ | The program is valued and supported by students on campus |
| | | | | **Partnerships** |
| ❑ | ❑ | ❑ | ❑ | The coalition connects with campus organizations and entities regularly |
| ❑ | ❑ | ❑ | ❑ | Campus organizations are invested in the success of the program |
| ❑ | ❑ | ❑ | ❑ | Key community organizations are invested in the success of the program |
| ❑ | ❑ | ❑ | ❑ | Campus and community groups are engaged in the development of program goals. |
| | | | | **Organizational Capacity** |
| ❑ | ❑ | ❑ | ❑ | The program is well integrated into the operations of the campus |
| ❑ | ❑ | ❑ | ❑ | Organizational systems are in place to support the various program needs |
| ❑ | ❑ | ❑ | ❑ | The program has leveraged support from various staff to help complete its goals. |
| ❑ | ❑ | ❑ | ❑ | Leadership efficiently manages staff and other resources. |

| Yes | Limited | No | Unsure | Conditions |
|---|---|---|---|---|
| **Resource Stability** | | | | |
| ❑ | ❑ | ❑ | ❑ | The program has developed a realistic plan to integrate AOD programming costs into existing campus budgets |
| ❑ | ❑ | ❑ | ❑ | The program has a long-term funding plan that includes both stable and flexible funding |
| ❑ | ❑ | ❑ | ❑ | The program has a long-term funding plan that includes a variety of sources. |
| **Program Evaluation** | | | | |
| ❑ | ❑ | ❑ | ❑ | The program has the capacity for quality program evaluation |
| ❑ | ❑ | ❑ | ❑ | Evaluation results inform program planning and implementation |
| ❑ | ❑ | ❑ | ❑ | Program evaluation results are used to demonstrate successes to campus leadership and other key stakeholders |
| ❑ | ❑ | ❑ | ❑ | The program provides strong evidence to the campus and community that the strategies are effective |
| **Program Adaptation** | | | | |
| ❑ | ❑ | ❑ | ❑ | The program adapts strategies as needed |
| ❑ | ❑ | ❑ | ❑ | The program proactively adapts to changes on campus or the community |
| ❑ | ❑ | ❑ | ❑ | The program adaptations focus on **sustaining outcomes** |
| **Yes** | **Limited** | **No** | **Unsure** | **Conditions** |
| **Communications** | | | | |
| ❑ | ❑ | ❑ | ❑ | The program has a communication plan to secure and maintain campus support. |
| ❑ | ❑ | ❑ | ❑ | The program has communication strategies that effectively markets its successes |
| ❑ | ❑ | ❑ | ❑ | The program increases community awareness of the issue |
| ❑ | ❑ | ❑ | ❑ | The program communication strategies demonstrates its value to the campus |
| **Strategic Planning** | | | | |
| ❑ | ❑ | ❑ | ❑ | The long-term role of the coalition is defined and outlined |
| ❑ | ❑ | ❑ | ❑ | The program's goals and outcomes are understood and agreed upon by coalition members |
| ❑ | ❑ | ❑ | ❑ | The coalition has integrated the SPF model for future planning and implementation of programming |
| ❑ | ❑ | ❑ | ❑ | The coalition has develop both a plan and a process for long-term implementation of the Campus Strategic Plan |

Components of this Assessment is taken from the following sources:
The Program Sustainability Assessment Tool v2 is a copyrighted instrument of Washington University, St Louis, MO.
Sustainability Toolkit, Omni Institute, Colorado.

## APPENDIX C: PFS Resource Plan

| **SAMPLE**<br>**Resource Plan** | | |
|---|---|---|
| **Outcomes to be sustained** | **Resources Needed** | **Resource Options** |
| **Description of strategies** | **Human** | **Shared Resources** |
| Detail the program components to sustain<br>▪ **BASICS**<br>▪ **InShape Prevention +** | ✓Personnel<br>• Time<br>✓Skills<br>✓Experience<br>• Leadership<br>✓Training | ✓ In-kind contributions<br>✓ Leveraging/sharing positions |
| **Action Steps** | **Social** | **Requesting Funds for program costs** |
| Outline the steps that must be implemented to achieve the outcomes<br>• **Integrate programs into . . .**<br>• **Identify/train key staff** | ✓ Relationships<br>✓ Agreements<br>✓ Partnerships | ✓ Grants<br>• Fundraisers<br>• Individual donors<br>• Endowment funds |
| **Partners** | **Material** | **Charging for program costs** |
| Identify key partners<br>• **Student Support Services**<br>• **Health Services** | ✓Supplies<br>✓Office/meeting space<br>✓Technology<br>✓Communication | ✓ Fine/penalty revenue<br>• Fee for service<br>• Budget line item |

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