Stepping through Planning

**Got planning?**

If you’ve been working with your Regional Trainer (RT) on the Five Step Planning process in your county, then you’re well positioned to be ready for the Strategic Prevention Framework (SPF) required as of July 2006 by the California Department of Alcohol and Drug Programs (ADP). With some minor adjustments, you’re ready to begin SPF Five Stepping.

Prevention by Design’s system of Regional Trainers, guides and tools has focused on five step planning since 2003, building on TA-POM’s work begun in 1999. Prevention by Design is now updating its tools to make an easy transition to a very similar planning framework.

Keep in mind that both sets of steps seek the same basic end: evidence-based, outcome-oriented prevention planning. There are slightly different roles for the state ADP compared to what happens at the county or community level, but all are partners in one system.

**Why Plan?**

RTs have partnered with their counties on five-step planning to get great results. For example, Contra Costa County had used automatically-renewed-contracts for years. With RT Melinda Moore as an active partner, the county developed a formal data-driven RFP process that identified un-met needs in the county, and created a new crop of outcome oriented prevention contracts focused on demonstrated needs.

In another example, as in many MBA counties, Alpine County received such little prevention funding that in some ways it seemed more of a hassle than it was worth. County staff mostly experienced the difficulties with the “strings” and was challenged to build the partnerships to make the funding useful in the community. Today, with the help of RT Randy Davis, five step planning has changed everyone’s outlook on these resources. Randy was able to engage community partners to collect and work on data, and help identify community concerns. An RFP process is in development to get the resources out to groups that can add the needed energy to implement a broader range of prevention activities in this small county.

“County alcohol and drug programs look forward to making five step planning really work for prevention. The CAADPAC prevention committee will focus heavily on helping all our counties move forward. This planning process helps guarantee the outcomes we’re all looking for.”

Al Rodriguez and Mary Anne Ford-Sherman, Co-chairs of the CAADPAC Prevention Committee.
**Five Steps Side by Side**
SPF focuses both on state and community-level planning, with a high emphasis on systematic planning. The following chart compares the “old” NNA Five Steps from DADP with the “new” SPF Five Steps now under development, expected to be completed early this Fall.

CSAP is still refining suggested tasks and tools to implement its SPF Five Steps; an official announcement is expected in early Fall 2005. Several version of the Five Steps that have been circulated—the DADP Five Steps in force until June 20, 2005; descriptions of the Five Steps in ADP Bulletin 05-04 dated June 30, 2005; and the soon-to-be released SPF Five Steps—all should be considered guidelines based on principles and concepts for using a logical, repeatable planning process. The steps are not precise regulations.

Counties are asked to implement prevention policies and programs using the Five Steps systematically in an evidence-based process appropriate to the needs, settings, and circumstances of their local communities. The process should be capable of substantiation.

<table>
<thead>
<tr>
<th>DADP Five Steps for County ADPs through June 30, 2005</th>
<th>SPF Community Role for Five Steps expected Fall, 2005</th>
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<tbody>
<tr>
<td><strong>1. Assess AOD prevention needs/risks based on relevant data.</strong></td>
<td><strong>1. Assessment.</strong></td>
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<td>Emphasizes data collection on range of community AOD problems and concerns.</td>
<td>Local group or coalition assesses community AOD problems, identifies priorities, reaches out</td>
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<td>Identify core indicators based on county mission; Compile current data on AOD problems; Analyze data for needs, gaps to fully identify AOD problems; Generate new AOD problem data; Create unprioritized list of identified AOD problems in county.</td>
<td>Community Role: Identify area of concern for local AOD problems of concern to prevention coalition; Identify problem settings/situations/behaviors Use epi data from state &amp; local sources; Get community AOD data; Get community readiness data; Prioritize problems; Share data and findings with others.</td>
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<td><strong>2. Prioritize local prevention initiatives based on assessment findings and community input.</strong></td>
<td><strong>2. Mobilize and/or build capacity.</strong></td>
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<td>“We can’t solve everything, so let’s start with what’s important”</td>
<td>Engage stakeholders for action</td>
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<tr>
<td>Convene stakeholders to prioritize problems; Use criteria to judge prevention concerns; Select problems for action by a formal prioritization process.</td>
<td>Engage key stakeholders (state &amp; local); Convene leaders, extend plans (i/c strategic plans); Expand, build local coalition; Train stakeholders, coalitions, service providers; Collect additional data; Leverage resources.</td>
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<td><strong>3. Set and monitor progress on measurable objectives.</strong></td>
<td><strong>3. Develop community prevention plan(s) focused on specific aims.</strong></td>
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<tr>
<td>Focus on what you want to get done</td>
<td>Take initiative at the local level; Refer to comprehensive state strategic plan</td>
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<tr>
<td>Translate problem into objectives; Select outcomes; Create sequential order of expected outcomes (logic model); Identify how you will measure outcomes (indicators); Be sure targets and thresholds are included.</td>
<td>Develop community prevention initiatives which: Focus on aim(s) (objectives and outcomes); Define strategies; Identify benchmarks; Develop plan of activities (e.g. thru logic model); Develop plan for sustainability.</td>
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California ADP expects all counties to be using the SPF system by July 2006, so the coming year is set aside for building and preparing local planning systems. You can visit the Prevention by Design web site (www.preventionbydesign.org) for more information and regular updates on SPF.

### Five Steps at State and County Levels

SPF focuses both on state and community-level planning, with a high emphasis on systematic planning. The state will be required to manage an epidemiological workgroup, thus affording a good surveillance system at the state level that can be accessed by county prevention planners.

<table>
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<tr>
<th>State</th>
<th>County</th>
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<tbody>
<tr>
<td><strong>Building/Maintaining a Prevention System</strong></td>
<td><strong>State Partners to Implement the Prevention System</strong></td>
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<tr>
<td>Systematic Planning</td>
<td>Problem-finding Priority-setting</td>
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<tr>
<td>Epidemiology</td>
<td>Monitor</td>
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<tr>
<td>Funding</td>
<td>Coalition Building</td>
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<tr>
<td>Evaluate local programs</td>
<td>Capacity Building</td>
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**Identify intervention / strategy;**
**Identify timeline;**
**Search / review for similar initiatives, strategies;**
**Develop an RFA/RFP;**
**Create action plan for implementation including strategy and timeline.**

**Implement the prevention plan(s).**
- Carry out policies, programs and practices planned in Step 3;
- Monitor and track performance (process and outputs);
- Modify planned activities as needed.

**Evaluate progress on prevention goals and objectives; refine and strengthen AOD prevention initiatives.**
- Identify, select and/or design instruments and processes for evaluation;
- Ensure evaluation responsibilities are assigned and funded;
- Field test data collection tools and protocols;
- Collect data;
- Convene providers midyear for mid-course corrections, and build contractor connection to use, importance of data;
- Incorporate findings into planning; revise based on results;
- Include process evaluation in each step.

**Monitor process, evaluate effectiveness, sustain effective programs/activities, and improve or replace those that fail.**
- Identify evaluation questions at the beginning stages of the prevention initiative;
- Select specific outcomes;
- Select evaluation design and methodology;
- Identify subjects of study;
- Identify evaluation measures;
- Identify timeline and data collection;
- Finalize evaluation plan;
- Ensure sustainability;
- Use data to guide systems change/continuous improvement.

**Identify, select and/or design instruments and processes for evaluation;**
**Ensure evaluation responsibilities are assigned and funded;**
**Field test data collection tools and protocols;**
**Collect data;**
**Convene providers midyear for mid-course corrections, and build contractor connection to use, importance of data;**
**Incorporate findings into planning; revise based on results;**
**Include process evaluation in each step.**
Established in 1999 with the California Department of Drug and Alcohol Prevention (DADP), and in conjunction with the County Alcohol and Drug Program Administrators Association of California (CADPAAC), Prevention by Design provides technical assistance to county alcohol and drug program (ADPs) and contracted community based organizations (CBOs). Prevention by Design operates through a Regional Trainer system set up to help counties and communities design and use a five-step outcome-based approach to prevention of alcohol and drug problems.

Regions and Regional Trainers

Region IA
Counties: Del Norte, Humboldt, Trinity, Tehama, Shasta, Butte, Plumas
Trainer: Rebecca Berner, rberner2@berkeley.edu

Region IB
Counties: Siskiyou, Modoc, Lassen, Glenn, Sutter, Yuba, Nevada, Sierra
Trainer: Danielle Campbell, kidccampbell@sbcglobal.net

Region II
Counties: Mendocino, Lake, Colusa, Yolo, Sonoma, Contra Costa, Napa, Marin, Solano, Sacramento
Trainer: Melinda Moore, mkassocts@aol.com

Region III
Counties: San Francisco, San Mateo, Alameda, Santa Clara, San Benito, Monterey, Santa Cruz
Trainer: Stephen Purser, spurser@berkeley.edu

Region IV
Counties: Placer, El Dorado, San Joaquin, Stanislaus, Mariposa, Merced
Trainer: Peter Cattrell, petecattrell@yahoo.com

Region V
Counties: Alpine, Mono, Inyo, Calaveras, Amador, Tuolumne, Fresno, Madera, Tulare, Kings, Kern
Trainer: Randy Davis, rad19@csufresno.edu

Region VI
Counties: Ventura, Santa Barbara, San Luis Obispo
Trainer: David Kattari, dkattari@yahoo.com

The opinions, finding, and conclusions herein stated are those of the authors and not necessarily those of the State of California, Department of Alcohol and Drug Programs.