

Florida Brief Intervention and Treatment for Elders (BRITE)

Introduction to Sustainability of
Screening, Brief Intervention, Referral and Treatment
(SBIRT) Services

May 2009



**An SBIRT Project funded by
The US Substance Abuse and Mental Health Services Administration (SAMHSA)
Center for Substance Abuse Treatment (CSAT)
Grant #T118306**

Acknowledgements

Numerous presentations including websites and other reference materials were provided to SAMHSA grantees on the issue of sustainability and reimbursement for Screening, Brief Intervention, Referral and Treatment (SBIRT) services and are either available online in the public domain or for purchase. This Introduction to Sustainability of SBIRT services is based on the work and expertise of the following people and organizations. We gratefully acknowledge their important contributions:

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Screening, Brief Intervention, Referral and Treatment (SBIRT) Services Introduction to Sustainability Planning

Funding for the Brief Intervention and Treatment for Elders (BRITE) project will end in September 2011. By that time, your agency should have a plan in place to continue the Screening, Brief Intervention, Referral and Treatment (SBIRT) services model on which BRITE is based. After September 2011, your agency will no longer be limited to serving only individuals 55+ years of age. SBIRT services may be expanded to reach the life-span of 18+ years of age. And your staffing patterns may be different as well.

The following outline is intended to be a guide to understanding what is involved in the process of developing a sustainability plan for SBIRT services. The elements included here are not intended to be the basis for a rigid strategic plan. What is proposed is a framework that allows for flexibility and change in your agency's local environment, and that considers elements that may impact that environment.

1. Sustainability Planning: Why it is important

- Because many funding sources supporting prevention/intervention initiatives are short-term in nature
- Because we operate in a rapidly changing environment (political, economic, and demographic changes)
- Because we can't afford to lose quality programs and important innovations

2. Uses of a Sustainability Plan

- Clarify where you are and where you want to go
- Develop strategies for long-term success
- Provide benchmarks to measure progress
- Demonstrate the value of your work
- A written plan can provide overarching guidance for your initiative over time

3. Eight Key Elements of Sustainability

- Vision
 - Know what you want to sustain
 - Know how your initiative fits within the larger community
 - Know what you mean by sustainability
 - Scope of activities
 - Scale of operation
 - Timeline
- Results orientation
 - Adopt a results framework
 - Be clear about the results you want to achieve for your target population as well as the systems that serve them
 - Use indicators and performance measures to track progress and improve your work
- Strategic financing orientation
 - What are the expected fiscal needs?

- Make the best use of existing resources (fiscal and in-kind)
- Maximize available sources of revenue
- Create greater flexibility in categorical funding
- Create public-private partnerships
- Explore new state and local revenue sources
- Adaptability to changing conditions
 - Monitor announced opportunities for funding
 - Consider new ways to frame your work to interest different funders
 - Identify opportunities to improve policy climate
 - Participate in collaborative advocacy to encourage change
 - Work to improve ability to participate in these efforts
- Broad base of community support
 - Develop a plan to create a desired identity
 - Nurture a community presence and support
 - Encourage involvement of clients/recipients of services
 - Support public education and engagement
 - Build partnerships that foster collaboration rather than competition
- Key champions
 - Identify key decision makers and opinion leaders
 - Develop an effective outreach plan
 - Cultivate a broad base of champions
 - Elected leaders
 - Business leaders
 - Peers
 - Clients (youth, parents, others)
 - Community leaders
 - Philanthropists
- Strong internal systems
 - Know and involve the people you need to carry out your mission: staff, board(s), volunteers, etc.
 - Develop strong fiscal management, accounting, information, and personnel systems
 - Use those systems to review strategies, make changes as needed
- Sustainability plan
 - Develop a comprehensive plan that takes account of short-and long-term needs
 - Identify challenges and/or barriers
 - Identify strategies to obtain needed resources and overcome challenges
 - Identify and communicate with key partners

4. Sustainability Planning Process: 5 Steps to Take

Step 1: How are we doing so far?

- Introduce sustainability framework
- Take stock with sustainability self-assessment tool

Step 2: What do we want to sustain?

- Define vision
- Determine desired results and strategies to achieve them
- Measure progress

Step 3: How do we develop needed funding?

- Clarify what will be financed
- Estimate needs and identify resources
- Assess gaps in funding
- Determine sources and strategies

Step 4: How will we develop other resources?

- Enlist non-monetary resources
- Use results of sustainability self-assessment tool to determine strategies

Step 5: Translate information into clearly written plan (**see Attachment 1**)

- Then repeat Steps 1-4 as needed

5. Sustainability: Key Questions

- What makes for a sustainable initiative?
- What do you want to sustain?
- At what scale & scope?
- What will it cost? What resources do you have to help you accomplish that goal?
- What are the barriers: political, technical, fiscal, bureaucratic?
- What are viable strategies to achieve your goals?

6. Getting Started: Where to Begin

- Determine focus of planning effort and clarify planning parameters
- Decide whose input you need
- Determine that input should be structured and managed
- Develop a work plan

7. Sustainability Self-assessment Tool (see Attachment 2)

- Diagnostic tool to help you:
 - assess progress
 - identify internal strengths and weaknesses;
 - external opportunities and threats
 - determine where to target scarce resources (data will be given to providers on a regular basis including statewide and local information for use in your self-assessment and in conversations with potential funders)
- Organized by elements; rank your progress toward a desired state
- The first step in developing a sustainability plan

8. Where to Find Funding for SBIRT Sustainability

As a current provider of SBIRT (BRITE) services in Florida, you have an established stream of funds for the duration of the SBIRT grant, subject to the availability of those funds. As you prepare your plan to continue screening and brief intervention services beyond September 2011, you will need to find alternative funding sources that may include state funds, grants, insurance and other third-party payer sources. Some possible sources to consider in your SBIRT sustainability planning might include:

- Medicaid – https://portal.flmmis.com/FLPublic/Provider_Enrollment/tabId/50/Default.aspx
- Medicare Providers – <http://www.cms.hhs.gov/MedicareProviderSupEnroll/>
- Check Substance Abuse and Mental Health Services Administration (SAMHSA)/Department of Health and Human Services (DHHS) funding announcements and the Center for Substance Abuse Treatment (CSAT) Financing Catalog (forthcoming) - <http://www.samhsa.gov/>
- Since SBIRT is both prevention and substance abuse intervention – check both types of state substance abuse program funding
- Expand your search beyond SAMHSA and state program funding: consider Department of Health, Department of Education, Department of Justice/Courts/Corrections, and other state and Federal agencies
- Check the Foundation Directory/Foundation Center to find out what foundations want to fund and what they require (www.foundationcenter.org)
- Obtain external fundraising expertise; consider seeking large donations and “annuities” from stakeholders, as non-profits do
- Consider subsidizing SBIRT via starting a related for-profit or not-for-profit “business entity” or another “product line” that could help support it

Can you think of other possible sources of funding to continue your SBIRT program?
List them here:

9. Reimbursement for SBI in Various Settings

How health care services are reimbursed depends on a patient's illness or condition, the nature of the provider, the setting, type of intervention, and the complexity or length of time required for the service. This section provides suggestions for how billing codes can be used to ensure that screening and brief intervention services are reimbursed in a variety of settings.

Following are examples of settings in which substance abuse treatment agencies and other community-based organizations, through contract or agreement with a primary care provider, can successfully conduct SBI with reimbursement for those services using existing insurance codes.

(Note: The term brief intervention, as used in this discussion, refers to the method of client interaction described in BRITE Health Care Educator training and technical assistance. Further details and tools are available on the BRITE website: <http://brite.fmhi.usf.edu>.)

Setting: Ambulatory Outpatient Setting

SBI Provided by a physician or other licensed health care provider, recommended codes:
CPT

99408 Alcohol and/or substance (other than tobacco) abuse structured screening (e.g., AUDIT, DAST, ASSIST), and brief intervention (SBI) services; 15 to 30 minutes
99409 greater than 30 minutes

Medicare

G0396 Alcohol and/or substance (other than tobacco) abuse structured assessment (AUDIT, DAST, ASSIST), and brief intervention (SBI) services; 15 to 30 minutes
G0397 greater than 30 minutes

Medicaid (These codes have yet to be adopted in Florida)

H0049 Alcohol and/or drug screening.
H0050 Alcohol and/or drug services, brief intervention, per 15 minutes.

Other codes that could be used:

Screening
96150 (health & behavior assessment)
99420 (administer & interpret health risk assessment)

Brief Intervention

99201 - 99205 (new patient E/M)
99211 - 99215 (established patient E/M)
99401 - 99405 (preventive counseling, risk factor reduction)
96152 (behavioral counseling)

SBI provided by a **mental health/substance use disorder treatment professional or by an independent, licensed substance use treatment agency** or mental health service agency licensed by the state

Screening

99801 (psychiatric diagnostic exam)

H0001 (AOD assessment)

H0002 (AOD screening for treatment admission)

Brief Intervention

90804 - 90809 (psychotherapy)

H0004, H0005, H0016 (AOD counseling and therapy)

Setting: Hospital Emergency Department

For emergency department services, SBI can be delivered a physician or other health care provider who bills independently for services, a hospital employee, or **an independent substance use treatment organization under contract or agreement** with the hospital.

A physician or other health care provider (including providers under the supervision of a physician or other health care provider, such as residents and social workers) could bill using the new CPT codes, G codes for Medicare, or HCPCS codes for Medicaid (in a very few states). The hospital would also bill for the facility portion of the service delivered.

If SBI is delivered by a salaried employee of the hospital, the service would be built into the facility charge and likely would not be separately billed.

The delivery of SBI by an independent contractor in an Emergency Department is exemplified by the Urban Jacksonville, Broward County Elderly and Veterans Services, and Catholic Charities programs where SBI is delivered by an outside specialty services system under contract or agreement with the hospital. Such an approach also allows for using the CPT, G or HCPCS codes.

Recommended codes:

CPT

99408 Alcohol and/or substance (other than tobacco) abuse structured screening (e.g., AUDIT, DAST, ASSIST), and brief intervention (SBI) services; 15 to 30 minutes

99409 greater than 30 minutes

Medicare

G0396 Alcohol and/or substance (other than tobacco) abuse structured assessment (AUDIT, DAST, ASSIST), and brief intervention (SBI) services; 15 to 30 minutes

G0397 greater than 30 minutes

Medicaid (These codes have yet to be adopted in Florida)

H0049 Alcohol and/or drug screening.
H0050 Alcohol and/or drug services, brief intervention, per 15 minutes.

Other Codes (cannot be used with recommended codes):

- Screening 99281 - 99285 (emergency department services)
- Brief Intervention 99281 - 99285 (emergency department services)
- 99401 -99405 (preventive counseling, risk factor reduction)
- SBI provided by a hospital employee (social worker, nurse, health educator, or other mental health practitioner)
- Screening 99281 - 99285 (emergency department services)
- Brief Intervention 99281 - 99285 (emergency department services)
- 99401 - 99405 (preventive counseling, risk factor reduction)

SBI provided by an **independent, licensed substance use treatment agency** (or other agency under contract or agreement with the hospital to provide SBI services).

Screening

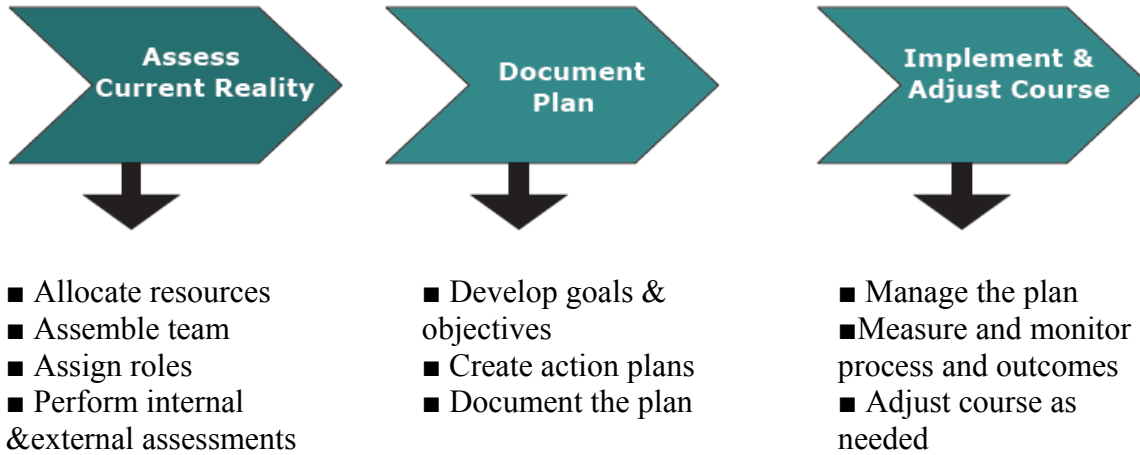
99801 (psychiatric diagnostic exam)

- H0001 (AOD assessment)
- H0002 (AOD screening for treatment admission)
- Brief Intervention 99804 - 99809 (psychotherapy)
- H0004, H0005, H0016 (AOD counseling, therapy)

10. Summary of Sustainability Planning

Screening and Brief Intervention (SBI) is a tool to identify and intervene with individuals who are at risk for substance use/misuse-related problems or injuries. The goal of SBI is to use systems such as trauma centers/emergency rooms, urgent care clinics, community clinics, community-based agencies, school clinics and a variety of other settings to screen persons and, if necessary, provide them with a brief intervention or referral to appropriate treatment services. By screening people in these settings, it is possible to identify those at risk, and use this as a motivation for them to change.

Planning to sustain your SBIRT program can be complex and time-consuming – or it can be pragmatic, simple and built into the existing systems and routines of your project. To consider the planning process graphically, it might look something like the following:



As we near the end of Year 3 of the SBIRT grant (September 2009) BRITE project staff will assist you as needed in the development of your agency's sustainability plan. Our goal is for you and the state project office to have an initial sustainability plan by March 2010. Some key dates and benchmarks in planning for SBIRT sustainability include:

- March 15, 2010 – Initial SBIRT sustainability plans from providers
- June 15, 2010 – Feedback to providers on sustainability plan from project staff
- September 15, 2010 – Providers begin implementation of sustainability plans

Contact your BRITE project staff any time you have questions about sustainability planning for your SBIRT program.

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Sustainability Plan Sample Outline

Section I. Executive Summary (1 – 2 pages)

Purpose: To capture the readers' attention and summarize the highlights of the plan. This is your first opportunity to make a compelling case for sustaining your effort. In one or two pages, the section typically includes **brief** descriptions of:

- **Background:** Initiative's history, vision and desired results; and the unique role it plays in the community.
- **Target Community:** Description of the community and population served; needs to be addressed, and existing assets.
- **Programs, Services and Operations:** Mission, key strategies and activities, governance and staffing; current partnerships; and successes to date in addressing community needs.
- **Future Plans and Timeframe:** Outline of future plans and timelines for accomplishing your goals; summary of strengths and advantages of your initiative.
- **Financial Status and Financing Plan:** Resource plan, showing investments to date; descriptions of needed additional resources and brief overview of plans for obtaining the resources.

Work to date: The information to be included in this section is gathered from Sections II-V of the plan, described below.

Section II: History, Progress and Future Plans

Purpose: To provide general background and answer key questions about your program or initiative. This section can include the following subsections:

- **Background:** History and development of the initiative, including where, why, when and by whom it was established, and the basic organizational structure.
- **Current Status:** Describe key partnerships and the strategies and activities you employ, highlighting innovative approaches. Describe the progress you are making toward the results you are trying to effect and major accomplishments.

Work to date: Desired results, as well as your major strategies and activities are included in your logic model. Progress to date would include numbers describing how many children you serve, as well as outcome data.

- **Future Plans:** Discuss what it is that you want to sustain over the next three years, including the scope and scale of your strategies and activities. Describe how these goals build on past successes and are well formulated to contribute to desired results, and how you will measure progress.

Work to date: Highlight the main components identified by Module II subcommittee. This is your opportunity to highlight what is unique about your initiative and why it is important to sustain.

Section III: Achieving Our Goals: Strategic Considerations

Purpose: To show that you understand how the external community affects the initiative, and to demonstrate adequate internal capacity to accomplish the initiative's goals.

- **Community context:** This section typically discusses current political, economic, labor market, demographic, social and other trends, threats and opportunities which may have an impact on your success, and how you plan to effectively respond to as well as proactively influence the community context.

Work to date: Address context issues that have come up in the course of the planning. These can include:

- *Political Developments*
 - *Economic and Funding Trends*
 - *Demographic Trends*
 - *Policy Trends*
- **Internal capacity:** This section addresses governance, leadership, staffing, information systems, and the overall infrastructure of the initiative.

Work to date: Discuss the evolving collaboration among key partners and other strengths identified during your self-assessment and Module IV discussions.

Section IV: Financing Plan

Purpose: To show potential investors that their investments will be used responsibly and wisely to contribute to the success of your initiative. This section presents your assumptions about future funding needs, and your plan for meeting those needs. It should include the following subsections:

Fiscal Needs – Describe what it is that you want to sustain and what that will cost.

Work to Date: This section builds on work completed during Module III.

Current resources and gap to be filled – Describe the resources you have available to meet your fiscal needs – how much through what timeframe and what the gaps are.

Work to Date: In this section you would simply describe the future of your funding – when current grants will run out, and any other resources you have available to support the work.

Strategies for Securing Needed Resources– Highlight the options you have and are planning to pursue to secure needed resources.

Work to Date: This comes from the work of the Module III. You may want to reference the uncertainty of funds in the current climate and that you are monitoring a number of sources to determine when/if they will be available. Describe the goal of diversifying in order to be prepared for the end of your current grant funding. Identify which sources you anticipate pursuing in the shorter term and those that are longer-term strategies. It may be useful to include a table here that lists the funding sources you are pursuing.

Section V. Action Plan and Timetable

Purpose: The purpose of this section is to present a clear and convincing plan of action to sustain your initiative. The section should describe how you plan to implement both your financing and related strategies. Indicate what the milestones are for each of your strategies, and who is accountable for implementation.

Work to Date: This section is derived from the workplan you created.

Getting Started: A Sustainability Self-Assessment

Sustaining comprehensive community initiatives depends on developing a clear, sensible, and convincing plan for marshalling the key resources that are necessary to continue (and often to expand) your work. However, in order to develop a sustainability plan detailing where you want to go, a necessary first step is to take stock of where you currently are.

The Uses of the Self-Assessment Process

This tool is intended to help program developers and community leaders who are working to sustain comprehensive community initiatives assess their progress and identify areas that need extra attention, resources, or technical assistance. This diagnostic process can provide valuable information to guide the development of your sustainability plan, for example, to capitalize on the assets of your initiative, as well as to plan for the development of additional capacity in areas that need strengthening. This tool can also help you make decision about how to target scarce resources to move toward sustainability. This tool is part of The Finance Project's **Sustainability Planning Workbook**, a comprehensive toolkit for developing a sustainability plan.

How the Tool is Organized

Sustaining a community initiative over time requires work both within the initiative, and between the initiative and the broader community. Work within the initiative focuses on deciding what should be sustained, gathering data to demonstrate its value, taking steps to constantly improve over time, and seeking new avenues for sustainability. Work with the outside community focuses on building a broad base of support and working with other people and organizations around common goals.

This tool examines eight key aspects of sustainability and lists individual tasks or steps within each one:

- (1) Decide what the initiative wants to sustain
- (2) Develop a results orientation
- (3) Identify, develop and pursue a variety of financing options
- (4) Encourage and take advantage of changing opportunities
- (5) Develop a broad base of community support
- (6) Develop key champions
- (7) Develop strong internal processes and controls
- (8) Develop a sustainability plan

Each aspect and task is listed in terms of a desired state; initiative leaders can rank themselves on a five-point scale to see how close they are to where they would like to be.

This list is partly sequential, since some items naturally come before others. For example, it is important to know what you want to sustain before deciding how to sustain it. Also, it is necessary to develop a good “product” internally before selling it to the outside world. However, other items will need to be pursued simultaneously. For example, initiative leaders will need to cultivate champions not as a last step but in conjunction with efforts to develop financing strategies.

A brief word concerning language. Just as the goals for sustaining community initiatives may vary, the terms to describe these efforts and their leaders also differ. Some community leaders refer to their work as an initiative, others whose goal is institutionalizing their efforts may use the term organization, and yet others may characterize their efforts as continuing a particular program. To avoid repetition, this tool uses “initiative” to mean an organization, initiative, collaborative, group, program or other entity that is trying to sustain its work. It also uses “initiative’s leaders” to mean staff, board members, volunteers or others who may act on behalf of the initiative.

Suggestions on How to Proceed

This first step in using this tool is deciding what “initiative” means. For some, it may mean the entire initiative, including its partners and collaborative process. For others, it may mean a specific agency or set of services. For multi-site initiatives, this tool can be used in two separate processes, at the larger community or initiative level, as well as at the site level to assist a particular site team in planning their work.

Based on what you determine “initiative” to mean, the second step is to decide who to have at the table during this process. Having the appropriate decision makers participate is key to getting the most out of the assessment process. The absence of a representative from the largest community-based organization in your initiative or of a principal from a school-based site will likely make these conversations much more difficult and much less useful.

It is important to keep in mind that few initiative leaders have time to address all of these items in detail. Leaders should not assume that they must do all of these tasks, to the highest level, in order to succeed. Rather, they need to make their own best judgment about where to focus their attentions. This tool aims to give initiatives a comprehensive array of options to help leaders make their own best decisions about where to target scarce material and human resources to move towards long-term sustainability.

As you walk through this assessment tool, this process may raise questions and issues that you may not want to take the time to address. Jot these questions and issues down in the comments section of the tool to return to at a later time.

Allow a minimum of one and one-half to two hours to complete this assessment process. If you are using this tool with a group larger than 10, you may need to allow additional time for discussion.

SUSTAINABILITY SELF-ASSESSMENT TOOL

The eight elements of sustainability, along with tasks specific to each element, are described below. Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative's leaders:

- 1 = Have not started this task
- 2 = Have started initial conceptual and planning work
- 3 = Have begun to implement this task
- 4 = Have made solid progress in implementing this task
- 5 = Have made sufficient progress in completing this task

ELEMENT ONE: Vision						
The initiative's leaders know what they want to sustain.						
	1	2	3	4	5	Comments
A. The initiative's leaders have developed a clear vision for their work.						
B. The initiative's leaders have developed a process to determine what is to be sustained, and by whom.						
C. The initiative's leaders have decided what they want to sustain (for example, a formal entity, a process, a service, a particular practice, a method of operation).						
D. The initiative's leaders have analyzed and can articulate how the initiative fits (or would like to fit) within the larger community.						
E. The initiative's leaders have analyzed and can articulate how the initiative complements, yet is distinguishable from, other initiatives.						

ELEMENT TWO: Results Orientation

The initiative incorporates processes to establish and track performance and process measures. The initiative’s leaders use that information to improve their work over time.

	1	2	3	4	5	Comments
A. The initiative has an accepted “theory of change” and logic model that shows how its work fits into a range of state and community efforts to improve the lives of children and families.						
B. The initiative’s leaders have identified and use indicators ¹ and performance measures to track the performance of their own work.						
C. The initiative uses indicators and performance measures to plan its work and budget its resources.						
D. The initiative’s leaders examine data on these measures (including input from clients, parents, or both) to find ideas for ways to improve service design and delivery.						
E. The initiative’s leaders implement these ideas, including changing or discontinuing initiatives as necessary.						
F. The initiative’s staff and board collaborate with other initiatives that are pursuing improvements in community-wide indicators that relate to the initiative’s work.						

¹ In this tool, indicators are defined as measures of change in child and family well-being across an entire community. Performance measures track changes in child and family well-being among specific target populations served by an initiative, program, or individual; or the level of activity or quality of a specific service. Most initiatives would use performance measures to track their own work; they would use indicators to see how they contribute to community-wide efforts.

1 = Have not started this task
 4 = Have made solid progress in implementing this task

2 = Have started initial conceptual and planning work 3 = Have begun to implement this task
 5 = Have made sufficient progress in completing this task

ELEMENT THREE: Strategic Financing Orientation

The initiative's leaders have identified a variety of financing strategies that could support the initiative. The initiative has a plan to pursue those strategies and is following that plan.

	1	2	3	4	5	Comments
A. The initiative's leaders know how much funding is needed to sustain their work.						
B. The initiative's leaders have identified the types of financial resources necessary to sustain their work, such as: <ul style="list-style-type: none"> • discrete sources of public funds (for example, one-time, ongoing); • discrete sources of private funds; • institutionalization within an ongoing system or process. 						
C. The initiative's leaders have identified and are pursuing ways to ensure the most efficient use of existing funds (for example, gaining economies of scale).						
D. The initiative's leaders have identified and are pursuing ways to support the redirection or reallocation of funds (for example, using funds freed up through improved outcomes to finance more prevention activities).						
E. The initiative's leaders have identified and are pursuing ways to increase the flexibility of existing funding streams (for example, through pooling funds across agency and program lines or improving coordination of existing funding streams).						

1 = Have not started this task
 4 = Have made solid progress in implementing this task

2 = Have started initial conceptual and planning work 3 = Have begun to implement this task
 5 = Have made sufficient progress in completing this task

ELEMENT THREE: Strategic Financing Orientation (continued)

The initiative's leaders have identified a variety of financing strategies that could support the initiative. The initiative has a plan to pursue those strategies and is following that plan.

	1	2	3	4	5	Comments
F. The initiative's leaders have identified relevant federal funding sources and are taking steps to access these sources (for example, Medicaid, tobacco settlement funds, TANF funds, other federal entitlements, block grants, and discretionary programs).						
G. The initiative's leaders have built public-private partnerships to leverage private-sector funding, create leadership, and garner technical expertise in support of their work.						
H. The initiative's leaders have investigated ways to generate new revenue that the initiative can control (for example, local fundraisers, grants from public- and private-sector sources).						
I. The initiative's leaders have identified and are pursuing ways to support the creation of new sources of public funds (for example, general revenue, expansion or creation of new sources of revenue).						

ELEMENT FOUR: Broad-Based Community Support

The initiative's leaders take steps to involve the community in their work and gain community support based on the initiative's positive impact on families' lives.

1 = Have not started this task
4 = Have made solid progress in implementing this task

2 = Have started initial conceptual and planning work
5 = Have made sufficient progress in completing this task

	1	2	3	4	5	Comments
A. The initiative has a plan to establish a desired identity and reputation within the community.						
B. The initiative's leaders involve recipients of their services in their work to improve service design and delivery and to build ownership and support.						
C. In addition to service recipients, the initiative's leaders involve a diverse set of stakeholders in their work (such as community-based organizations, government agencies, and private businesses) to improve service design and delivery and to build ownership and support.						
D. The initiative's leaders and community partners understand and communicate the work's value for families in its community.						
E. The initiative's leaders collect quantitative and qualitative data to show the value of their work for families.						
F. The initiative's leaders package those data in user-friendly formats and communicate them regularly to the community, key stakeholders, media, potential funders, and others.						
G. The initiative's leaders recognize and reward people who are instrumental in helping achieve sustainability for the work.						



ELEMENT FIVE: Key Champions

1 = Have not started this task
 4 = Have made solid progress in implementing this task

2 = Have started initial conceptual and planning work
 3 = Have begun to implement this task
 5 = Have made sufficient progress in completing this task

The initiative's leaders identify potential champions they need to approach on an individual level and are following a plan to do so. These champions include senior decision makers, local community representatives and peer initiatives, and individuals. The initiative's leaders also pursue ways to communicate with stakeholders in a more general (less labor-intensive) fashion.

	1	2	3	4	5	Comments
A. The initiative's leaders have identified key senior decision makers at the community and state levels who can influence its sustainability.						
B. The initiative's leaders have designed and implemented a plan for tailored outreach to these key decision makers (including appropriate messengers and messages).						
C. The initiative's leaders have also developed other, less labor-intensive ways to contact and keep other potential champions informed (for example, sending them newsletters, inviting them to initiative events).						
D. The initiative's leaders use a variety of strategies to encourage parent champions, such as strongly involving parents in its work.						
E. The initiative's leaders have and use a variety of strategies to encourage peer community champions, such as collaborating with other organizations (for example, public and nonprofit service providers) in service planning, delivery, and financing.						

1 = Have not started this task
 4 = Have made solid progress in implementing this task

2 = Have started initial conceptual and planning work 3 = Have begun to implement this task
 5 = Have made sufficient progress in completing this task

ELEMENT SIX: Adaptability to Changing Conditions

The initiative's leaders seek new opportunities for resource development and support and are able to respond to new opportunities (for example, welfare reform, newly elected or appointed leaders) as they arise.

	1	2	3	4	5	Comments
A. The initiative's leaders monitor changes in the policy and program environment to see how their initiative could fit with new directives and agendas.						
B. The initiative's leaders consider how its work can be framed or positioned to interest different funders and to take advantage of new financing opportunities.						
C. The initiative's leaders use this information to approach new funders.						
D. The initiative's leaders have identified opportunities to participate in efforts to improve the overall policy and program environment (for example, standing advisory groups, opportunities to develop or comment on state plans for expending federal funds).						
E. The initiative's leaders actively participate in decision-making processes about changes in policy and practice.						
F. The initiative's leaders have determined how they can improve their ability to participate in these efforts (for example, by establishing their credibility as technical experts, community representatives, or controllers of resources), and have followed through to increase the likelihood of being able to participate.						

1 = Have not started this task
 4 = Have made solid progress in implementing this task

2 = Have started initial conceptual and planning work 3 = Have begun to implement this task
 5 = Have made sufficient progress in completing this task

ELEMENT SEVEN: Strong Internal Systems

The initiative has strong internal processes that ensure a vibrant, durable, and continuously improving initiative.

	1	2	3	4	5	Comments
A. The initiative has a well-defined team of staff, advisory or governance group members, volunteers, and others that it needs to accomplish its mission.						
B. The initiative's leaders and others understand and accept their roles and responsibilities.						
C. The initiative has strong fiscal processes that allow leaders to stay informed on its current financial status and to be alerted to emerging financing concerns.						
D. Staff and board develop and review projections for short- and long-term revenues and expenses.						
E. Staff and board develop financing strategies to meet those needs; staff and board review and change financial strategies as needed.						
F. The initiative has strong internal systems (for example, accounting, auditing, management information, procurement, personnel) to maintain quality control over its work.						
G. The initiative has strong communication processes to ensure that all partners are kept informed.						

1 = Have not started this task
 4 = Have made solid progress in implementing this task

2 = Have started initial conceptual and planning work
 3 = Have begun to implement this task
 5 = Have made sufficient progress in completing this task

ELEMENT EIGHT: Sustainability Plan

The initiative has a sustainability plan that enables it to set priorities and take action.

	1	2	3	4	5	Comments
A. The initiative's leaders have a long-term plan for what they want to accomplish.						
B. The initiative's leaders have identified challenges or obstacles to sustaining the initiative, including potential conflicts with alternative initiatives or agendas.						
C. The initiative's leaders have developed strategies to garner needed resources and overcome identified barriers.						
D. The initiative's leaders have a process to reassess and adjust their plan periodically.						
E. The initiative's leaders have identified and communicated with other individuals who have a role in the sustainability plan.						

1 = Have not started this task
4 = Have made solid progress in implementing this task

2 = Have started initial conceptual and planning work 3 = Have begun to implement this task
5 = Have made sufficient progress in completing this task

