

*New Paradigms in Prevention*

Using Systems Approaches to Achieve Population-Level Outcomes

Laurie Barger Sutter

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*Overview*

Using Systems Approaches to Achieve Population-Level Outcomes

Laurie Barger Sutter

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*Systems Approaches*

Using Systems Approaches to Achieve Outcomes

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## Cost of Substance Abuse

According to a national study\*, the annual cost of substance abuse in 2005 to federal, state and local government spending was at least \$467.7 billion, or 10.7% of the combined budgets.

~ \**Shoveling Up II: The Impact of Substance Abuse on Federal, State and Local Budgets. National Center on Substance Abuse and Addiction*

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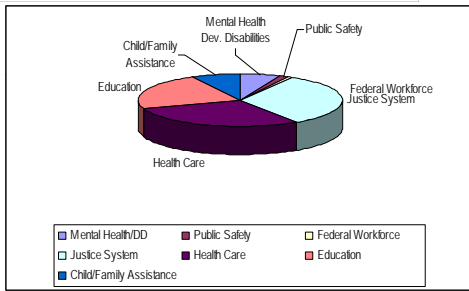
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## Burden of Substance Abuse 2005 - State Programs



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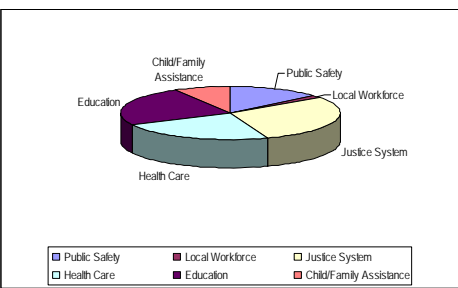
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## Burden of Substance Abuse 2005 - Local Government Programs



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## Paradigm Shifts in Prevention

### Accountability

- Behavior Change as the Ultimate Outcome
- The Community as the Unit of Analysis
- Adopting Outcome Evaluation Methodologies
- Emphasis on Cost Efficiencies and Return on Investment

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## Paradigm Shifts in Prevention

### Capacity

- Changes in Core Competencies
- Moving from "Silos" to "Systems"
- Devolution of Responsibility to the Local Level

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## Paradigm Shifts in Prevention

### Effectiveness

- Use of Population-Based Approaches
- Use of Evidence-Based Strategies
- Use of Comprehensive Approaches

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## Systems Theory

...is an emerging and interdisciplinary branch of science that seeks to establish logical frameworks through which the complex interactions between humans and their environments can be studied, and positive impacts made.

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## State and Community Systems

States, and especially communities, are complex systems.

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## Syndemics

"We have introduced the term...to refer to the set of synergistic or intertwined and mutually-enhancing health and social problems facing the urban poor. Violence, substance abuse, and AIDS, in this sense, are not concurrent in that they are not completely separable phenomena. Rather, they emerge in the lives of participants in our study as closely intertwined threads in the often tattered fabric of their daily lives." (Singer and Romero-Daza 1999).

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## Syndemics

“Two or more afflictions, interacting synergistically, contributing to excess burden of disease in a population.”

U.S. Centers for Disease Control and Prevention, 2004.

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## Preventing Syndemics

“To prevent a **syndemic**, one must prevent or control not only *each affliction* but also the *forces that tie those afflictions together*.”

U.S. Centers for Disease Control and Prevention, 2004.

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## Systems Theory – Key Tenets

- the individual parts of a whole cannot be entirely understood outside of their relationship to the whole
- the interactions between the parts of a whole produce individual effects that could not be produced by any one part on its own
- The collective effects (aka “synergy”) of the system are much greater than the sum of all of the individual effects together

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**The Success of a System Depends Upon Three Things:**

- its ability to coordinate the responses of its parts;
- its ability to evolve and adapt to changing conditions; and
- its ability to maintain stability (“homeostasis”) while it is adapting to change and/or working toward outcomes.

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**Leverage Points**

Those places in a system that are not only conducive to positive change themselves, but have the capacity to “ripple” positive change outward into other areas of the system.

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**Leverage Points**

Knowing where to target resources and efforts to optimally intervene in a system to produce positive movement can be challenging.

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## Leverage Points

Knowing how, and where, to effectively intervene to solve problems requires an intimate understanding of:

- the community history, culture, and values;
- the relationships between individuals and institutions;
- the economic and political climate;
- the demographics;
- the capacity, readiness, and political will of members and leaders to define certain behaviors or conditions as problematic and act to address them; and
- the resources that are available to support action.

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## Prevention Systems

A prevention system is a purposeful, effective and sustained **partnership** of agencies, organizations and individuals that works systematically to achieve common outcomes by:

- assessing and identifying priority issues,
- mobilizing and building needed capacity,
- planning and implementing comprehensive approaches with locally and culturally-appropriate strategies, and
- monitoring and evaluating progress toward outcomes, and making mid-course corrections as needed.

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## Drug Abuse Dynamics

Substance abuse is complex. Potential substance abuse change areas include:

- drug-user populations;
- drug content or form;
- drug paraphernalia;
- drug making, distribution, and interdiction; and
- biological and social environments of drug use

-Singer 2006

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## Key State and Community Leverage Areas

- **Structural factors:** demographic characteristics, economic factors, and class structure, as well as policies and practices such as enforcement patterns that impact drug use dynamics.
- **Social factors:** relationships and networks that play important roles in diffusing drug use information and practices.
- **Cultural factors:** traditions, norms, and beliefs that shape what behaviors and conditions are deemed acceptable and by whom.
- **Biological factors:** brain chemistry responses to drug use and biological transmission of HIV/AIDS and other diseases through intravenous drug use or the effect of other transmission routes on users.

~These factors are core elements of the Critical Medical Anthropology approach, which defines health as access to and control over the most basic material and nonmaterial resources that sustain and promote life at a high level of satisfaction (Singer 2006).

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## Prevention Systems

Enhancing outcomes for State and community systems requires the active engagement of a sustainable, multi-sector prevention system infrastructure that:

- Is composed of strategic partnerships between system members and institutions,
- Has the authority to set priorities, select appropriate interventions, and allocate (or reallocate) resources, and
- Is committed to acting toward the common good through collaborative and coordinated assessment, planning, use of evidence-based strategies, resource allocation, evaluation of progress toward outcomes, and workforce development.

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## Prevention System Membership

In addition to including groups whose core mission involves prevention, prevention systems should engage other active interveners who have agreed to share in the system's vision and alter their work routines to help implement that vision even though it may not be the central focus of their day-to-day work.

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## Prevention System Assessment

Including a thorough analysis of prevention system strengths and areas for development is an important—but frequently overlooked—part of the assessment process.

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## Prevention System Assessment

Prevention system assessments have a focus on organizational behaviors: *what* the systems do and *how* they do it.

Assessments also examine resources, contextual conditions, and levels of readiness, factors that have synergistic impacts on system behaviors.

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## Key Prevention System Areas

- Representative and coordinated **leadership** working across sectors for the common good.
- Adequate **capacity** to carry out its work and achieve its common mission and vision.
- Use of **effective practices and processes**.
- Generation of resources to **sustain** outcomes.

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*Systems Assessment Tool*

**Assessing and  
Planning for  
Prevention System  
Development**

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**Leadership**

**Leadership** is the ability of the Prevention System to develop, communicate and carry out a vision for the common good based on mutual trust and respect, and collaborative, inclusive and effective methods.

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**Leadership Change Areas**

- Vision and Mission
- Conceptual Clarity
- Inclusion
- Political Will
- Influence
- Strategic Planning
- Accountability
- Sustainability

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## Capacity

**Capacity** is the combination of knowledge, experience and abilities that gives a Community System the ability to solve problems and implement change.

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## Capacity Change Areas

- Organizational Structure
- Funding and Other Resources
- Knowledge, Skills and Abilities
- Cultural Competency
- Accountability
- Sustainability

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## Process

**Processes** are practices or actions performed to achieve a given purpose. Process can include people, methods, materials, and/or tools.

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**Process:  
Systems Change Areas**

- Information, Communication and Marketing
- Operating Procedures and Protocols
- Evidence-Based Planning and Practices
- Training and Technical Assistance
- Monitoring and Evaluation
- Accountability
- Sustainability

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**Prevention System Assessment**

When prioritizing areas of future systems development, it is important to analyze the feasibility of addressing certain areas given the system's current stage of development and the external climate.

Addressing areas that can be positively and easily impacted provides "early wins" that can build momentum for future development.

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*Prevention Systems  
Planning*

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## Planning Components

Vision and Mission  
Assessment  
Problem Identification & Target Population  
Goals  
Objectives  
Outcomes  
Strategies & Activities  
Implementation Plan  
Evaluation Plan  
Sustainability Plan

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## Vision Statement

A **vision statement** is a simple expression of the overarching desired ideal state toward which action and resources are being directed.

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## Mission Statement

A **mission statement** succinctly expresses how action and resources will be directed to accomplish the vision by describing:

- the overarching goal or goals that will help to achieve the vision, and
- what the initiative will do to achieve its purpose .

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## System Assessment

System assessments focus on **performance improvement**: reducing discrepancies between current levels of performance or results and needed, expected, or optimal levels of performance.

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## Problem Statements

Concise descriptions of the priority problems and consequences that were identified during the assessment process, and which the planning process will address.

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## The “Lack Trap”

A statement that frames a problem as a “lack” of something is actually an example of “jumping to strategies,” because such a statement assumes that addressing the “lack” will solve the problem.

It is also an integral part of the “blame game,” and tends to divide rather than unite.

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## Goals

General statements of the major accomplishments (i.e., **changes in organizational behavior**) that need to be achieved in order to become more effective in achieving and sustaining outcomes and achieving the vision.

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## Objectives

Specific statements that are logically-linked to goals, and which describe the changes underlying conditions that must occur in order for the goals to be realized.

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## Outcomes

Statements of intended accomplishment that demonstrate that tangible and quantifiable progress is being made.

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## Long-Term and Intermediate Outcomes

**Long-Term Outcome:** a change in organizational system behavior.

**Intermediate Outcome:** a change in underlying conditions that impact the system's behavior.

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## Immediate Outcomes

**Immediate Outcome:** a change in knowledge, skills, abilities, or attitudes.

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## Case Study

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## Nebraska SICA

### State Conditions:

- Fragmentation among State agencies and few effective State-tribal working relationships
- Most SAPT Block Grant funds redirected to a service delivery system focused on information dissemination and education
- Prevention was based on a treatment model of changing individual behavior
- No instrument for collecting and reporting local level data on substance abuse or its underlying conditions
- Prevention was not a State priority

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## Nebraska SICA

### Community Conditions

- Youth consistently reported some of the highest rates in the nation for underage drinking, binge drinking, drinking and driving, and riding with a drinking driver
- Social norms accepting of underage drinking
- Adults report highest rates of drinking and driving in the country
- Highest per capita liquor licenses in the country
- Prevention efforts focused almost exclusively on assets and resiliency

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## Key Philosophies

- Substance abuse is local; local people solve local problems best
- No one organization or agency can reduce substance abuse on its own
- Communities had take ownership of their substance abuse issues and include comprehensive approaches in order for things to improve
- "Jumping to strategies" is not effective
- Prevention funds should be viewed as strategic investments, not as entitlements
- Systems development at every level was critical.

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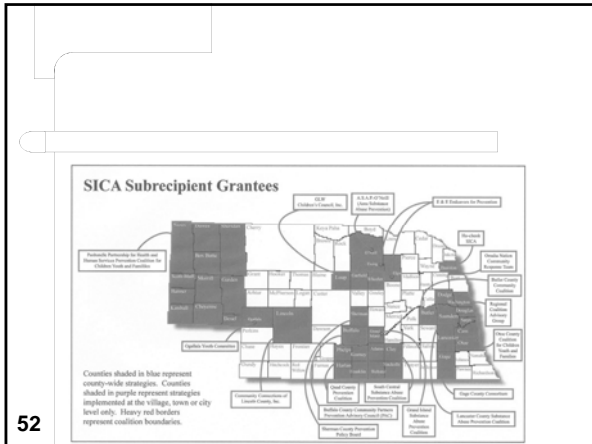
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## Results

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### Substance Abuse Outcomes

**Butler County Coalition – 30-Day Alcohol Use Among Youth**

- Example: reduced 30-day alcohol use among 12<sup>th</sup> graders by 20 percentage points in a two-year time frame

**Gage County MAPS Coalition – 2009 CADCA “Got Outcomes” Awardee – Many substance abuse and risk factors on the decline.**

- Example: 10<sup>th</sup> graders who indicate that alcohol use is risky have increased from 53.3% in 2003 to 63.5% in 2007. 30-day use of alcohol has decreased steadily, dropping from 46% in 2003 to 28.8% in 2007.

**Otoe County Coalition - Drinking and Driving among youth**

- Example: 2003: 48%, 2005: 41%, 2007: 28%

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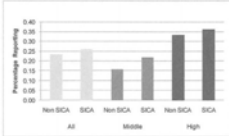
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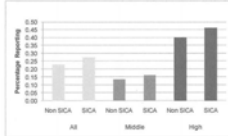
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## SICA Grantee Communities More At-Risk Initially

Access to Alcohol – Any Source



30-day Alcohol Use



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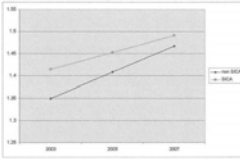
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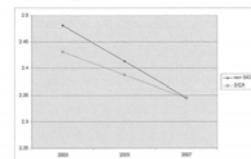
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## But They Narrowed or Closed the Gaps Quickly

Change in Perceived Parent Acceptance of Alcohol Use: 2003 - 2007



Change in Perceived Law Enforcement Efficacy: 2003 - 2007



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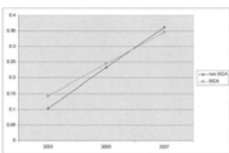
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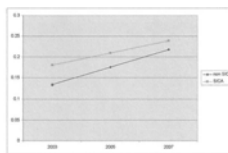
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## But They Narrowed or Closed the Gaps Quickly

Change in Alcohol Access – All Sources: 2003 - 2007



Change in Past 30-Day Alcohol Use: 2003 - 2007



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## Prevention System Outcomes – Assessment

Nebraska Risk and Protective Factor Student Survey (NRPFS) Participants



Counties shaded in green indicate participation by one or more schools in the NRPFS.

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## Prevention System Outcomes – Assessment

2005 Nebraska Risk and Protective Factor Student Survey (NRPFS) Participants



City of Omaha

City of Lincoln

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## Substance Abuse Became a Priority

Thursday, April 8, 2004

# Syracuse Journal-Democrat

Syracuse, NE 68448-0810 Volume 128, Number 15 (JDP 28-50)

## Officials battle underage drinking

Conditions to apply for grant to deal with underage substance use.

**BY DAVID BRANNON**  
SYPHRA.03030401  
A new multi-agency effort to prevent the Syracuse City Council at its Monday evening, Syracuse-Dodge-Arroyo Public Schools teachers and administrators, representatives of the S.D.A.,

Newsletters and parents attended the meeting to show their concern for the underage drinking problem in Oneida County.  
The council unanimously approved a resolution urging on behalf of underage drinking, drinking and supporting holding violators accountable for their actions.  
The resolution followed a review of a survey designed to assess adolescent substance abuse and other variables. Interviews

Oneida County and state/federal. The survey was conducted last year by officials of the Nebraska Department of Health and Human Services System Office of Human Health Substance Abuse and Adolescent Services and the Nebraska Department of Education (NDE). It was conducted in conjunction with the Nebraska Partners in Prevention. A Prevention presentation was made by Cassie Rudolph and Joel

Admitted to, Counseling Alcohol Grade 12, 83 percent and 89 percent, grade 10, 67 percent and 66 percent, eighth grade, 20 percent and 17 percent, and sixth grade, 20 percent and 20 percent. Admitted to Drinking and Driving: Grade 12, 55 percent and 50 percent, grade 10, 20 percent and 13 percent, grade eight, 9 percent and 5 percent, and grade six, 12.2 percent and 7 percent.

In the following results, Oneida County results are listed in parentheses. They put a lot of work into developing the presentation," said Dr. Jay Schaefer, S-D-A High School principal.  
Students at S-D-A, Palmyra, Nebraska City Public and Nebraska City-Lewisville schools were surveyed. Students in grades six, eight, 10 and 12 were surveyed.  
In the following results, Oneida County results are listed in parentheses. They put a lot of work into developing the presentation," said Dr. Jay Schaefer, S-D-A High School principal.

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### Prevention System Outcomes – Comprehensive Approaches

All subrecipient plans included a strong emphasis on comprehensive approaches that included environmental approaches

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### Prevention System Outcomes - Funding

- 2003: 3 Drug-Free Community (DFC) grantees (2 SICA grantees)
- 2005: 2 DFC grantees (both SICA grantees)
- 2006: 5 DFC grantees (all SICA grantees)
- 2007: 11 DFC grantees (10 SICA grantees)
- 2009: 12 DFC grantees (11 SICA grantees)

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### Sustainability Planning - Sustainability

All subrecipients completed comprehensive and multi-sector sustainability planning processes.

Example: Otoe County Sustainability Plan

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