
Sustainability Session Handouts

Sustainability Domains

After a thorough review of the available scientific and business literature, the CTPR created a five domain sustainability framework. These domains are described in detail below.

State Political & Financial Environment

The environment within a state influences movement funding, initiatives and acceptance. Strong state environments include: favorable public opinion, support from the Governor and Legislature, influential champions, favorable state fiscal climate, and lack of organized opposition.

Community Awareness & Capacity

Involvement of the community influences the success of movement initiatives. A strong community environment includes having: participation of community stakeholders, a publicly visible movement and an understanding of the community.

Movement Structure & Administration

The way a movement is administered and structured influences the ability of it to function and expand. Strong movement structure and administration includes: internal fiscal management, flexible strategic planning, and an adequate number of experienced staff.

Funding Stability & Planning

For a movement to consider long-term provision of services, it must first have some financial stability. Funding stability and planning includes: level funding available on a long-term basis, strategies to deal with funding changes, identification of various funding streams, and funding to implement the movement.

Movement Surveillance and Evaluation

The dissemination of successful movement results influences continuation and support. Strong surveillance and evaluation includes: planning surveillance and evaluation activities, implementing these activities, and using the information obtained to educate others.

State Political & Financial Environment				
Indicators	Description	Limited Evidence	Some Evidence	Strong Evidence
Public Support	There is a positive attitude toward tobacco control within the state.	Overall, the public does not consider the issue or program a priority.	There is mixed public support for the issue or program.	There is clear public support for the issue or program.
Governor Support	There is positive support for tobacco control from the Governor.	At most, the governor shows neutral support for the issue or program (<i>i.e.</i> , they are neither for nor against the program/issue).	The governor gives verbal support to the issue or program.	The governor gives verbal support and is involved in activities that contribute to the success of the issue or program (<i>e.g.</i> , gains additional political support for the program, proposes favorable program funding).
Legislature Support	There is positive support for tobacco control received from the Legislature.	Overall, the legislature does not consider the issue or program a priority.	Some legislators consider the issue or program a priority, but legislative actions do not adequately support it (<i>e.g.</i> , laws are unclear, funding is minimal despite availability, program activities are restricted).	Many legislators consider the issue or program a priority and legislative actions clearly support it (<i>e.g.</i> , strong legislation, given availability funding is adequate, there is support for a comprehensive program).
Political Champions	There are individuals or groups who influence political decision-makers support the tobacco control program in the state.	At most, there are champions for the program who generally do not have influence over political decision-makers (<i>e.g.</i> , the guiding program agency, contractors).	There are champions for the program who influence political decision-making (<i>e.g.</i> , coalitions, voluntary groups) and at most include a minimal (1-4) amount of political decision-makers.	There are many (more than 4) champions for the program who are political decision-makers as well as others who influence political decision-making.
Organized Opposition	There is no organized opposition (industrial or other) to the tobacco control program.	The program faces organized opposition that can influence both the community and decision-makers.	The program faces organized opposition that can influence the <i>community</i> only OR <i>decision-makers</i> only.	The program does not face organized opposition that can influence the community OR decision-makers.
State Financial Climate	The state financial climate is favorable for stable or increased program funding.	The state's financial climate is not healthy (<i>i.e.</i> , the state is experiencing a budget deficit) and there have been cuts or threats of reductions in social and health program funding.	The state's financial climate is reasonably healthy (<i>i.e.</i> the state is experiencing economic recovery), but there have been recent cuts (previous 2 years) or threats of reductions in social and health program funding.	The state's financial climate is healthy (<i>i.e.</i> , the budget is balanced or in surplus) and there have been no recent cuts (previous 2 years) or threats of reductions in social or health program funding.

Community Awareness & Capacity				
Indicators	Description	Limited Evidence	Some Evidence	Strong Evidence
Program Visibility & Acceptance	The tobacco control program is well recognized and considered a positive influence on the community.	The program is minimally or not recognized and is at most considered a neutral influence on the community.	The program is generally recognized and regarded as a positive influence on the community.	The program is widely recognized and is regarded as responsive to community needs as well as a positive influence.
Community Participation	The tobacco control program engages community members or organizations to effectively implement its goals and activities (e.g., community members are successful in gaining legislative support for a program-related policy).	Community members are not engaged in or are not effective at implementing program goals and activities.	Community members are engaged, but are at most moderately effective at implementing program goals and activities.	Community members are engaged and are effective at implementing program goals and activities.
Community Assessment	The needs of the community are: <ol style="list-style-type: none"> 1. Addressed prior to program implementation; 2. Addressed on a regular basis during program implementation; and 3. Used to modify program efforts. 	The program did/does not plan to assess the needs of the community prior to or during program implementation AND does not tailor its efforts to community needs.	Community needs are assessed prior to program implementation BUT there is no continued assessment of community needs.	The program assessed community needs prior to program implementation AND continued/s to assess community needs during implementation AND activities are tailored to community needs.
Public Relations & Marketing	The tobacco control program participates in PR/marketing efforts on an ongoing basis.	The program does not actively pursue PR/marketing opportunities.	The program pursues PR/marketing opportunities, but does not have specific media strategies in place (e.g., designated staff/contractors, marketing plan, comprehensive media campaign).	The program identifies specific strategies for PR/marketing activities (e.g., designated staff/contractors, marketing plan, comprehensive media campaign, specific funding allocations).
Grassroots Organization	Local communities are organized into formal networks. Formal networks are defined as groups of individuals/agencies who organize themselves to achieve specified goals (e.g., as defined in a mission statement or strategic plan) through advocacy, education and other activities.	At most, there is an informal network of individuals/agencies who have come together to further the issue or program and achieve common goals.	There is a formal network whose purpose is to further the issue or program and achieve common goals. However, the network relies on its members to provide direct resources such as staffing, office space, or to serve as a fiscal agent.	There is a formal network that is self-standing (e.g., has its own paid staff, 501c3, regulates its own funding.) and does not rely on sharing direct resources with network members. The purpose of the network is to further the issue or program and achieve common goals.

Program Structure & Administration				
Indicators	Description	Limited Evidence	Some Evidence	Strong Evidence
Fiscal Monitoring*	There is full-time or equivalent staff responsible for program finances and monitoring the organization policies and procedures.	There is less than a part-time staff member responsible for fiscal monitoring.	There is at least a part time staff member responsible for fiscal monitoring.	There is a full-time staff member responsible for fiscal monitoring.
Fiscal Policies*	There are adequate policies and procedures used to ensure that programs achieve their intended results, resources are used consistently with agency mission, there is limited waste, fraud and mismanagement and that timely information and documentation is obtained, maintained and used for decision making.*	There are no written policies with specific requirements for program grantees/contractors to avoid misuse of funds and to ensure quality performance in conjunction with funding.	There are written policies with specific requirements for program grantees/contractors to avoid misuse of funds and to ensure quality performance in conjunction with funding on an annual basis.	There are written policies that require annual reporting and documentation from contractors/grantees to avoid misuse of funds, to ensure quality performance in conjunction with funding and the information is used and maintained to aid in overall program decision making and reporting.
Partner Involvement	Partners are included in program planning and have a shared vision.	At most, partners are informally involved in program planning.	Partners are informally involved in program planning and have a shared vision.	Partners are formally involved in program planning and have a shared program vision.
Strategic Planning	There is a formal strategic plan that is flexible (recognizes changes in program needs) and reflects the program's short and long term goals.	At most, there is a plan in place, but it is not flexible and does not reflect the long-term program goals.	There is a formal strategic plan in place that is flexible to program needs, but does not indicate long-term goals.	There is a formal strategic plan in place that is flexible and clearly indicates both short and long-term goals.
Support and Expertise	There is an adequate amount of experienced staff and the program offers technical support and training for its partners.	There is an inadequate number of staff or staff are not well trained or experienced in the field.	The program has an adequate number of staff that are well trained or experienced in the field.	The program has an adequate number of experienced staff and offers ongoing technical support to its partners.

* Description is based on information from the OMB A-123 2004 and 1995 circular and from the SLU MOSAICA HIV Capacity building report 2003).

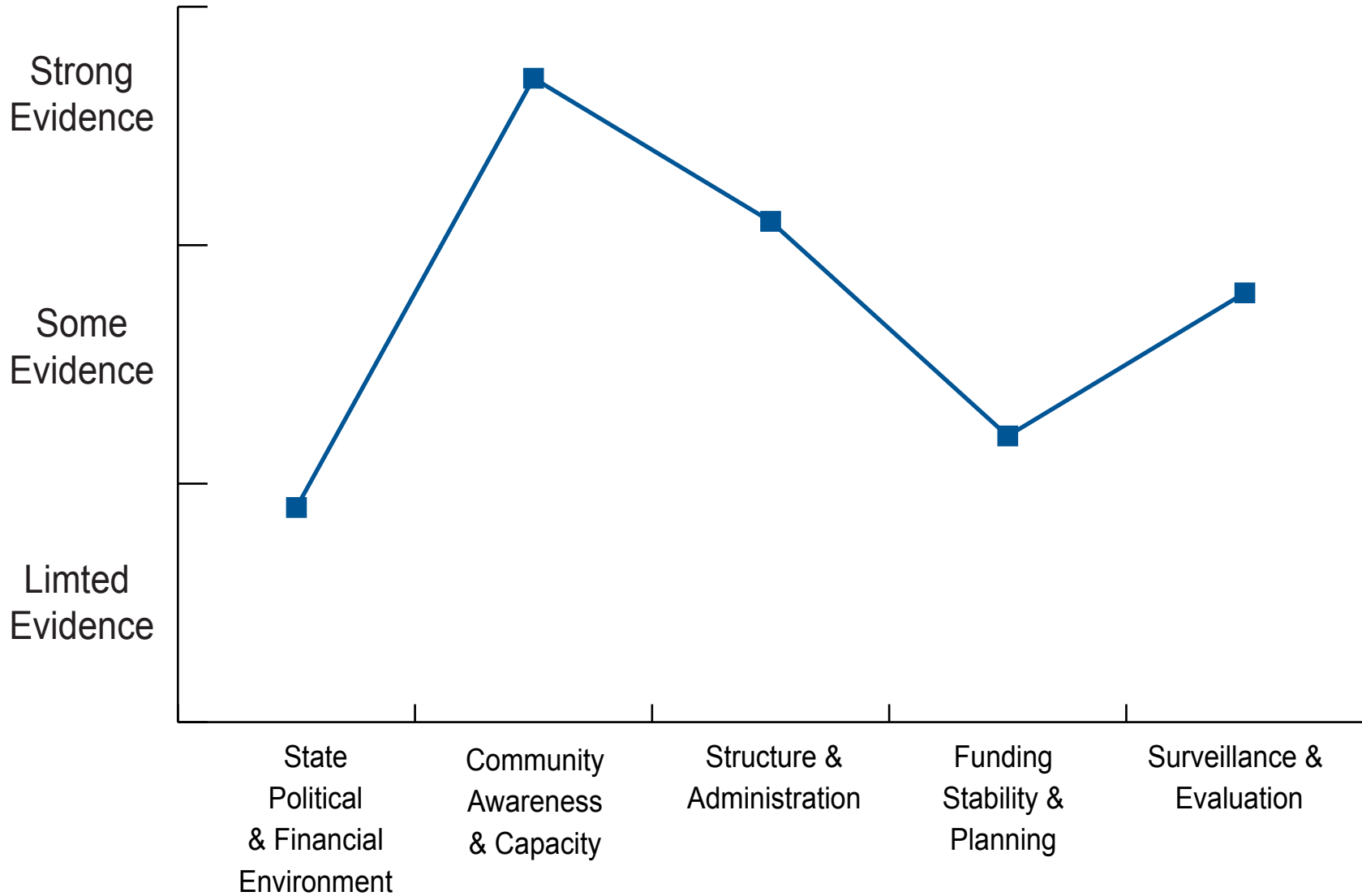
Funding Stability & Planning				
Indicators	Description	Limited Evidence	Some Evidence	Strong Evidence
Funding Stability	Level funding is maintained on a long-term basis (<i>i.e.</i> , several fiscal years).	Currently no funding is available or the program has not had a consistent level of funding.	Program has had level funding from at least one fiscal year to the next.	Funding is currently maintained at a consistent level for three or more recent fiscal years.
Planning	Strategies are in place to deal with changes (decreases and increases) in funding.	No strategies have been developed or put in place to deal with funding changes.	Informal strategies have been developed and put in place to deal with funding changes.	Formal strategies have been developed and put in place to deal with funding changes.
Fiscal Independence	Various funding streams have been identified and pursued.	At most, various funding streams have been identified, but there is no effort to pursue them.	Various funding streams are pursued though fundraising efforts are shared among a variety of available staff.	Various funding streams are pursued and there are specific personnel primarily responsible for fundraising efforts.
Capacity	There is sufficient funding to maintain adequate and experienced staff, implement program activities, and expand program efforts and reach.	At most funding is sufficient to implement program activities at a minimal level.	Funding is sufficient to implement program activities and to maintain adequate and experienced staff.	Funding is sufficient to implement program activities, maintain adequate and experienced staff, and expand program efforts and reach.

Program Surveillance & Evaluation				
Indicators	Description	Limited Evidence	Some Evidence	Strong Evidence
Planning	Plans for conducting surveillance and evaluation activities to assess measurable program objectives are developed prior to program implementation and are modified as needed.	At most, surveillance and evaluation activities were developed to assess measurable program objectives following program implementation.	Prior to program implementation, surveillance and evaluation activities were developed to assess measurable program objectives.	Prior to program implementation, surveillance and evaluation activities were developed to assess measurable program objectives. In addition, a timeline for monitoring the success of the program on an ongoing basis was developed.
Implementation	Surveillance and evaluation of all activities is conducted on a regular basis by the program and/or its contractors/grantees.	Surveillance and evaluation <u>is not</u> conducted on a regular basis by the program and/or its contractors/grantees.	Surveillance and evaluation of <u>some</u> activities is conducted on a regular basis by the program and/or its contractors/grantees.	Surveillance and evaluation of <u>all</u> activities is conducted on a regular basis by the program and/or its contractors/grantees.
Use	Data collected from surveillance and evaluation activities is used and disseminated to important stakeholder groups.	At most surveillance and evaluation data is available, but not actively used.	Program surveillance and evaluation data are disseminated to a narrow group of stakeholders (e.g., only the funding agency, political decision makers) to demonstrate program effectiveness.	Program surveillance and evaluation data are disseminated to a broad group of stakeholders (e.g., funding agencies, political decision makers, community groups, partners) to demonstrate program effectiveness.

Framework for Assessing Sustainability of State TC Movements



Sustainability in Indiana



State Political & Financial Environment in Indiana

Indicator	Description of Evidence	Amount of Evidence
Public Support	<ul style="list-style-type: none"> No data available. 	N/A
Governor Support	<ul style="list-style-type: none"> During the evaluation, partners thought Governor Kernan showed either no (40%) or some (33%) support of the tobacco control movement. The majority of partners (73%) thought Governor Kernan ranked tobacco control lower than other social issues (<i>i.e.</i>, obesity and physical activity). 	
Legislature Support	<ul style="list-style-type: none"> The majority of partners (80%) thought the movement received little or some support from the Legislature. Though partners reported some key champions and advocates of the movement in the Legislature, they thought there were many more who were unsupportive or "on the fence". 	
Political Champions	<ul style="list-style-type: none"> Champions for the program included several groups who influenced political decision-making (<i>i.e.</i>, voluntaries, other advocacy groups). Partners listed five political decision-makers as strong champions for the program: Reps. Bill Crawford, Charlie Brown and Brian Hasler, and Strs. Larry Borst and Pat Miller. 	
Organized Opposition	<ul style="list-style-type: none"> The tobacco industry had a strong presence in Indiana. Partners indicated the tobacco industry had many influential lobbyists and was actively working through front groups. 	
State Financial Climate	<ul style="list-style-type: none"> The state experienced financial shortfall in the previous and current fiscal year. Most partners (82%) considered the state economy to be poor. 	








Community Awareness & Capacity in Indiana

Indicator	Description of Evidence	Amount of Evidence
Movement Visibility & Acceptance	<ul style="list-style-type: none"> It was not clear if the movement was widely recognized, but partners reported that the grassroots network was at least somewhat effective at building community support. The majority of partners felt they received some support from the media, which may have influenced public recognition and perception of the movement. 	
Community Participation	<ul style="list-style-type: none"> The majority of partners (78%) felt the grassroots network was somewhat effective in its overall activities (e.g., building community support). The relationship between the state and grassroots partners was considered effective overall, however partners noted that the level of effectiveness varied across counties. 	
Community Assessment	<ul style="list-style-type: none"> Indiana was involved in many surveillance activities: BRFSS, YRBS, YTS, CPS and ATS. Information to identify populations with tobacco-related disparities came from many sources (i.e., interviews and meetings with key stakeholders in the communities). 	
Public Relations & Marketing	<ul style="list-style-type: none"> ITPC reported marketing the tobacco control movement to both political decision-makers and the public over the past two years. There was evidence that the movement used several venues to market itself (i.e., newspapers/magazines, the internet and television). Indiana's strategic plan included specific methods to increase media coverage for the movement. 	
Grassroots Organization	<ul style="list-style-type: none"> There was evidence of formal local coalitions whose purpose was to further the issue of tobacco control. The local coalitions appeared to be self-standing, and did not share direct staff with network members. 	



Structure & Administration in Indiana




Indicator	Description of Evidence	Amount of Evidence
Fiscal Monitoring*	<ul style="list-style-type: none"> There was a chief financial officer responsible for fiscal monitoring through ITPC. 	
Fiscal Policies*	<ul style="list-style-type: none"> There were written policies with specific requirements for movement grantees/contractors to avoid misuse of funding and to ensure quality performance. ITPC used guidelines put forward by the state of Indiana, as well as policies specifically developed for ITPC. 	
Partner Involvement	<ul style="list-style-type: none"> Partners agreed with the top movement goals that ITPC identified. ITPC met with its executive board and other national partners regarding planning for the movement in relation to the funding cut. Movement partners considered communication and flow of information as excellent in regard to planning. 	
Strategic Planning	<ul style="list-style-type: none"> No plans for implementing the program at different funding levels had been developed. The state strategic plan was long term (2001-2005) and flexible regarding movement goals, staffing, policy efforts and external partnerships. 	
Support & Expertise	<ul style="list-style-type: none"> The amount of staff was somewhat inadequate, but their knowledge and expertise was considered at least moderately adequate for movement needs. ITPC offered technical support and training to its contractors and local organizations. 	



Funding Stability & Planning in Indiana

Indicator	Description of Evidence	Amount of Evidence
Funding Stability	<ul style="list-style-type: none"> • Funding had changed over the previous three fiscal years. • Funding was anticipated to decrease in the coming fiscal year. 	
Planning	<ul style="list-style-type: none"> • Many partners had not yet made plans because they had not expected the funding cut to be so large. • Some partners reported developing strategies to deal with the changes in funding. Specifically partners implemented efforts to: <ul style="list-style-type: none"> <input type="checkbox"/> • Shift the movement's focus toward policy change; <input type="checkbox"/> • Shorten contract periods; and <input type="checkbox"/> • Reprioritize activities to a few areas, rather than use a comprehensive approach. 	
Fiscal Independence	<ul style="list-style-type: none"> • There was limited evidence indicating that there were concentrated efforts to pursue various funding streams. • There had been no technical assistance for partners on how to acquire additional funding sources. 	
Capacity	<ul style="list-style-type: none"> • The evidence available indicated that funding was sufficient to implement activities but not to expand the movement's efforts and reach. This evidence included: <ul style="list-style-type: none"> • Reduction of movement activities by at least 30%; • Reduction of training opportunities; and • The inability to develop and implement a statewide Quitline. 	

Surveillance & Evaluation in Indiana

Indicator	Description of Evidence	Amount of Evidence
Planning	<ul style="list-style-type: none"> Plans for evaluation of specific tobacco control activities were outlined in the strategic plan. ITPC planned to conduct a comprehensive evaluation in the following 12-24 months. 	
Implementation	<ul style="list-style-type: none"> Six surveillance activities were being implemented (<i>i.e.</i>, BRFSS, YRBS, YTS, CIA, and media surveillance). The movement evaluated activities in six of the funded BP categories. In the previous FY an outcome evaluation of the overall tobacco control movement was conducted. Partners felt surveillance and evaluation efforts were somewhat adequate for movement needs overall. 	
Use	<ul style="list-style-type: none"> Movement outcome and evaluation data were disseminated to political decision-makers. It was evident that data were disseminated to a broad group of stakeholders, such as the public. 	



Overall Sustainability Profile for Indiana and Average Across All Project LEaP States

