Upstream Investments
It is easier to build strong children than to fix broken lives.

Portfolio Review Committee Agenda

January 16th, 2013 1:00 p.m. to 3:30 p.m.

1202 Apollo Way, Santa Rosa, Annadel Room

All supporting documents are available at www.SonomaUpstream.org and at the Board of Supervisors office at 575 Administration Drive, Room 100A, Santa Rosa, CA, during normal business hours. For accessibility assistance with this agenda or supporting documents, please e-mail Info@SonomaUpstream.org or call 707.565.5800.

1:00 Welcome, Introductions, Agenda ACTION ITEM
Approve Minutes
Oaths of Office

1:10 Reports
Update on portfolio activity since last meeting
Debrief approved applications

1:20 Criteria Revisions ACTION ITEM
Review updated forms
Approve new procedure for discussing applications in committee meetings

1:40 Applications to the Portfolio ACTION ITEM
Trauma-focused Cognitive Behavioral Therapy, The Center for Social and Environmental Stewardship
Criteria to discuss: Evidence of accreditation

1:40 Discussion Items
None

3:15 Public comment

3:30 Adjourn

Upcoming Meetings

February 20th, 2013 at 3600 Westwind Blvd., Santa Rosa, CA
March 20th, 2013 at 3600 Westwind Blvd., Santa Rosa, CA
April 17th, 2013 at 3600 Westwind Blvd., Santa Rosa, CA

Wednesday, December 19, 2012 - Portfolio Review Committee Meeting Minutes
1:00 – 3:30 p.m.
3600 Westwind Blvd – Orville Wright Conf Room

Attendees (listed alphabetically)

Carol Simmons, Child Care Planning Council (absent)
Christina Rivera, County Administrator's Office (absent)
Dan Blake, Sonoma County Office of Education
Dr. B.J. Bischoff, Bischoff Performance Improvement Consulting
Elizabeth Chicone, Department of Health Services
Jennifer O'Donnell, United Way of the Wine Country
Julie Sabbag-Maskey, Human Services Department
Katie Greaves, Human Services Department (absent)
Larissa Heeren, Human Services Department (staff)
Leo Tacata, District Attorney's Office
Monique Chapman, Sheriff' Office
Marla Stuart, Human Services Department (Project Manager)
Megan Sirna, Human Services Department (staff)
Robert Judd, Community Foundation
Serena Lienau, City of Santa Rosa (absent)
Stephen Jackson, Sonoma County Office of Education
Susan Castillo, Department of Health Services

Members of the Public (listed alphabetically)

None

Topic	Discussion	Decision	Next Steps
Welcome, Introductions, Agenda, Minutes	Larissa welcomed the group and thanked them for all of their hard work and offered them holiday treats. She mentioned there are no reviews, so we will just be doing a training session. **Motion** to approve October 17, 2012 minutes.	Motion: Robert Judd Second: Dan Blake Ayes: 6 Nos: 0 Abstain: 2 (Susan and Steven were not at the last meeting) Absent: 5	None

Topic	Discussion	Decision	Next Steps
Reports	Report on Portfolio submission activity. It is the intention of staff to provide regular updates to the Committee in this format. Group discussed the report, as well as mentioned organizations that are in the process of applying to the portfolio. No reviewers wished to debrief approved applications. . Larissa and Marla briefed the group about the appeal that happened on December 12, 2012. State Preschool by 4C's was not accepted for tier placement at Committee. Their appeal was denied. 4Cs stated that they plan to apply for Tier 2.	Leo and BJ arrived.	none
Applications to the Portfolio	None that required discussion at the Committee meeting.	none	none
Approvals	New procedure for discussing applications in committee meetings. Will discuss next time	none	none
Discussion Items	Portfolio Review Training: The did a practice review of Safe School Ambassadors . Members had 10-15 minutes to complete a review and discussed each of the following sections. Literature Review: • Discussion of where people found the summary of what is known/not known. Although what is known and not known might not be explicitly stated, from the description it could be implied that they understood the body of the literature. • Problems around reviewing literature reviews comes around lack of experience with literature reviews. • It can also be difficult to see if program design reflects literature review – if the design of the program is not presented well. Does program design reflect literature review? OR change to Does the literature review appear to inform the program design? • The age of the literature is important. The literature review should include at least some current literature. Logic Model: • Question about assumptions: What do we expect? • Assumptions are not always causal; they can be general thoughts that influence what we believe. Assumptions may not be explicitly stated, but implied through the sequence of the logic model, and the indicators they were measuring.	None – will vote on revisions next time	Change 2E to Does the literature review appear to inform the program design? 3E: Revise "Causal link" on score sheet

	Manual: • Steven said he didn't get a good sense about training, rights and responsibilities, client/staff ratio. These can be difficult to find with just table of contents. Monique agreed that there was not enough detail in table of contents to understand about staff. • Leo used table of contents with titles, and known page numbers (99) to trust that they covered each of the topics adequately. You can also use the number of pages for each section. Some would rather verify it was there. How do know how organizations use the manual without doing site visits? We can add: "Have you made any adaptations since this manual? What are they?" • What is a measurement we will use to determine if those adaptations are acceptable? Can either use or adapt adaptations for Tier 1 fidelity. Evaluation: • Elizabeth's concern was if the evaluation related to the implementation here. If don't see where results from evaluation are reflected in program design you can and should ask for it. • How do they interpret their results? Are program improvements being made based on the results? We have to presume they have some understanding of their own results. Not that evaluation says it was a failure, needs to show that there was adjustment in program design. • Maybe need to ask for program design last.		If have questions when doing review, ask for full manual prior to returning your score sheet. Add: Have you made any adaptations since this manual? What are they? Remove Audience Ask for program design last Take off most and all clarifications Take off Unclear for main sections
Public comment	No additional comments.	None	
Adjourn	Meeting adjourned at 3:07 p.m.		

Portfolio Review Committee Meeting Dates

Third Wednesday of Every Month from 1:00 p.m. to 3:30 p.m.

3600 Westwind Blvd – Orville Wright Room

Upstream Investments

It is easier to build strong children than to fix broken lives.

Update Report for the Portfolio Review Committee

January 16, 2013

Total number of programs approved for tier placement on the Portfolio

Tier 1: 21 programs
Tier 2: 19 programs
Tier 3: 9 programs
Total: 49 programs

Number of agencies implementing programs on the Portfolio: 71 agencies

Number of local funders supporting programs on the Portfolio: 27 funders

Programs approved or denied on or since December 19th, 2012

Determination	Program	Submitting Agency
Tier 3	Southwest Family Resource Centers	Community Action Partnership of Sonoma County

New submissions since December 19th, 2012

	Submission date	Program	Submitting Agency	Status
1	December 19th	Trauma-Focused Cognitive Behavioral Therapy	The Center for Social and Environmental Stewardship	Committee on January 16th
2	December 27th	Southwest Family Resource Centers	Community Action Partnership of Sonoma County	Tier 3

Other active submissions to date

	Last Activity Date	Submission Date	Program	Submitting Agency	Status
	12-14-13	9-3-12	Health Kids Sonoma County	Redwood Community Health Coalition	Awaiting info from applicant
	9-25-12	6-29-12	Play Therapy	Petaluma People Services Center	Awaiting info from applicant

Portfolio of Model Upstream Programs: INSTRUCTIONS

INTRODUCTION: *The Sonoma County Upstream Investments Policy Committee has created a portfolio of current and planned County and partner programs that reflect upstream principles. The Board invites County Departments and community partners to submit current and planned upstream programs to be included in this Portfolio of Model Upstream Programs.* ***This document provides specific INSTRUCTIONS about how to nominate an upstream program to be included in the Upstream Portfolio. To submit a program, complete and submit the APPLICATION FORMS available at www.SonomaUpstream.org or contact Upstream at 565.5800 or Info@SonomaUpstream.org.***

TABLE OF CONTENTS

A. DEFINITIONS

UPSTREAM

Upstream is an emphasis on prevention-focused intervention and policies for children, families, individuals, and the community to increase equality and promote opportunities that reduce future monetary and societal costs.

PROGRAMS

Throughout the community, there are many categories of activities that may reflect upstream principles. In these documents, the term "programs" is broadly defined to include a variety of activities that may be also be called strategies, practices, approaches or interventions. It is the intent of the Upstream Investments Policy Committee to be inclusive and include a wide variety of "programs."

CLIENTS

Similarly, throughout the community, County Departments and community partners provide services to community members. In these documents, the term "client" is broadly defined to include residents, participants, students, consumers, target populations, and communities served. Again, it is the intent of the Upstream Investments Policy Committee to be inclusive and to include a wide variety of "clients."

B. PURPOSE and BENEFITS of PORTFOLIO

There is no existing, comprehensive and accurate portfolio of existing outcome-based upstream programs throughout Sonoma County. Having such a portfolio will help the County and community partners to individually and collaboratively do the following:

1. Increase capacity to apply for and receive funding for upstream programs.
2. Identify existing effective and cost beneficial upstream programs and target funding and resources to these programs.
3. Validate and acknowledge the effective work currently being done throughout the county.
4. Promote replication of successful and cost beneficial upstream programs.
5. Identify and understand the gaps in upstream investments throughout the community. (including geographic gaps).
6. Identify duplicate programs (if any) and make adjustments (if necessary).
7. Plan to expand funding for and referrals to effective and cost beneficial upstream programs.
8. Understand what upstream programs work best for which clients (one size does not fit all).
9. Strengthen County/community partner collaborations and partnerships related to upstream programs.
10. Explain to the community, to funders, and to clients why some upstream programs are selected over others.
11. Demonstrate to taxpayers that the County makes wise, responsible and forward-thinking fiscal decisions.
12. Expand County and public recognition of the value of investing in upstream programs and the value of children.
13. Increase community commitment to upstream programs through volunteerism.
14. Help to populate the 2-1-1 referral list.

C. PORTFOLIO APPLICATION and REVIEW

1. Programs are invited to submit a completed APPLICATION FORM and requested documents to info@sonomaupstream.org. Technical assistance is available and encouraged.
2. Two independent raters will review the submission and recommend placement. Raters will recuse themselves from rating a program if they have a conflict of interest.
3. For more information, see "Application Review and Decision Process."

D. PORTFOLIO CONTENTS

When published, the portfolio will include the following information about the included programs. It is hoped that the list will be useful to a wide audience (Funders, Board of Supervisors, Department Heads, Program Managers, Clients, Volunteers, Taxpayers) for decision-making.

1. Program name
2. Evidence-Based Tier
3. Implementing Organization name
4. Program website (if applicable)
5. Funding source(s)

E. DISCLAIMER

a. Inclusion in the Portfolio of Upstream Programs indicates that the program meets the criteria set forth for the particular Tier; it does not constitute an endorsement of the program by the County of Sonoma.
b. All applications to the Portfolio are public documents pursuant to the Freedom of Information Act.

F. PROGRAM DESCRIPTION

Contact information is requested so the Portfolio reviewers can communicate with the Submitting organization. The Program Description will be used by the Portfolio reviewers to gain a basic understanding of the program. The Application Form requests the following.

1. Program Name
2. Organization
3. Contact name
4. Contact phone number
5. Contact e-mail address
6. Program website (if one exists)
7. Program description
8. Program service location(s)
9. Implementer(s)
10. Clients
11. Funding source(s)/Budget

G. PRE--REQUISITES

All programs that are included in the Upstream Portfolio will meet the following four pre-requisites.

1. Prevention-Focused: Upstream is an emphasis on prevention-focused intervention and policies for children, families, individuals, and the community to increase equality and promote opportunities that reduce future monetary and societal costs. To meet this pre-requisite, a program will provide services in one or more of the following categories.

   a. Health promotion (for example: alcohol and drug prevention, mental health, pre-natal, family planning and teen pregnancy reduction)
   b. Education (for example: child care, pre school, K-12)
   c. Community development (for example: economic development, parks and recreation)
   d. Family support (for example: family interventions, parenting support, fatherhood)
   e. Financial literacy
   f. Health care and insurance
   g. Criminal justice diversion (including first-time juvenile and adult offenders)
   h. Life skills (for example: job skills, job readiness, civic involvement, volunteering)
   i. One stops centers (for example: Family Justice Center, Job Link)
   j. Geographically targeted (for example: Roseland)
   k. Programs and strategies that mitigate or improve negative peer influences and/or improve resiliency (for example: mentoring, gang prevention)
   l. Violence prevention (for example: domestic violence, child abuse and neglect)
   m. Basic needs (for example: shelter, food)
   n. Programs that target early system entrants (for example: program that are designed for individuals who use any County service for the first time)
   o. Other (please describe)

2. Factors Addressed: The Upstream Investment Policy Committee has determined that nine upstream factors contribute to downstream need for services. These factors are well documented, consistent, and generally evident early in a child's life. These factors are fully described in *Upstream Investments* (January 11, 2010), pages 8-32. To meet this pre-requisite, programs will provide services that address one or more of the following factors.

   a. Poverty
   b. Racial and ethnic disparities
   c. Community conditions
   d. Public opinion, public policy, and laws
   e. Family dysfunction
   f. Negative peer influences
   g. Early antisocial behavior
   h. Substance abuse
   i. Academic concerns

3. Local Relevancy: In Sonoma County, several community-wide collaborations have identified widely held and promoted values and indicators of success that reflect upstream investments. Programs included in the Upstream Portfolio will target priorities and indicators of success promoted by one or more community-wide collaborations. Including local relevancy in evidence-based practice is sometimes referred to as "values-drive evidence-based practice."[1] To meet this pre-requisite, programs will provide services that fit with the values of one or more of the following community collaboratives.

    a. Upstream Investments
    b. Health Action
    c. Innovation Council
    d. First 5
    e. Measure O Mayor's Gang Prevention Task Force
    f. Child Care Planning Council
    g. Continuum of Care
    h. Cradle to Career
    i. Aiming High Consortium
    j. Community Health Needs Assessment
    k. County of Sonoma Strategic Plan
    l. Mental Health Services Act
    m. Partnership for Children
    n. Prevent Child Abuse Sonoma
    o. Sonoma County BEST
    p. Other

[1] California Institute for Mental Health (CIMH). www.cimh.org/Initiatives/Evidence-Based-Parctice.aspx.

4. Indicators Addressed: The Upstream Investments Policy promotes a shared commitment to achieving community outcomes. Part of participating in Upstream is committing to implement programs that positively effect these outcomes.

a. Child Maltreatment
b. Youth Binge Drinking
c. Youth Drug Use
d. Youth Depression
e. Youth Tobacco Use
f. Teen Births
g. Obesity
h. Pre-School Attendance
i. 3rd Grade Reading
j. 3rd Grade Math
k. High School Completion
l. Higher Education
m. Housing Affordability
n. Homelessness
o. Juvenile Arrests
p. Adult Arrests
q. Domestic Violence
r. Gang Membership
s. Youth Connectedness to School
t. Poverty
u. Unemployment
v. Health Insurance

H. TIER 1: EVIDENCE BASED PRACTICE

Evidence-Based Practices are "gold standard" programs – those programs that have been empirically proven to produce positive outcomes and that are implemented in Sonoma County with fidelity to the original model.

1. Evidence-based Clearinghouse: A variety of evidence-based clearinghouses evaluate whether or not programs meet the criteria for being evidence-based. Generally, these clearinghouses use the similar criteria: rigorous evaluation using experimental[2] design, publication in a peer-reviewed journal, sustained effect, replication and replicability. Often, these rigorous evaluations are completed by universities, government agencies, and privately funded research institutes. It is less common for a locality to have the necessary resources to complete this level of evaluation. In order to verify that Programs at Tier 1 have met the above criteria, the program submitted must be included in one or more of the evidence-based clearinghouses. Some programs listed on clearinghouses do not meet the criteria for Tier 1 placement, and may be placed on Tier 2 or Tier 3. See the "Upstream Clearinghouse Crosswalk" for a list of clearinghouses and the rating on each that meets the criteria for Tier 1. Evidence-based practices are popular with funders because there is a high likelihood that the initiative will work as intended.

   The following link provides a good discussion of evidence-based initiatives.

   http://www.uwex.edu/ces/flp/families/whatworks_06.pdf

2. Fidelity: Fidelity is the extent to which a program is implemented in a way that adheres to the protocol or model of the originally developed and evaluated program. Programs that are implemented with fidelity can demonstrate that they match the original program in the following dimensions.[3]
   a. **Adherence –** The extent to which the model's critical elements (core activities and methods necessary to achieve the outcomes desired) are implemented.
   b. **Dose/exposure** - The amount of program content received by participants.
   c. **Quality of program delivery –** The manner in which providers implement the program, relative to specifications in the original design.
   d. **Participant responsiveness –** The extent to which participants are engaged by and involved in the activities and content of the program.

[2] "The defining characteristic of experimental research designs is control (i.e., purposeful manipulation) of the independent variable(s). The strongest experimental designs also have random assignment of participants to treatment and control groups. In experiments, researchers do something to the research participants (they intervene, administer a treatment, or modify an environment), and they examine the results of this activity. They do not simply observe or ask questions. In a simple design, participants are randomly assigned to an experimental group or control group. Random assignment is crucial because it makes the groups equivalent (within the limits of probability) at the beginning of the experiment. It is also important that experimenters control the treatment so that they know its nature, size, and timing. The experimental group receives the treatment, and the control group does not; the researcher then determines if the groups differ on the dependent (outcome) variable." (2009) "The SAGE Glossary of the Social and Behavioral Sciences." SAGE Publications. Thousand Oaks, CA.

[3] LFA Group: Learning for Action. (March, 2012 DRAFT). First 5 Sonoma County: Evaluation Plan for the Commission's 2011-15 Strategic Plan.

To demonstrate fidelity, submitters will use one of the following options.

a. If the original (model) program requires monitoring of fidelity – for instance by requiring an accreditation, licensing, review or audit process, then the submitting program will provide evidence of this.
b. If the original (model) program does not monitor fidelity or monitoring is optional, then the submitting program will describe the activities to meet the above-listed dimensions of fidelity (a-d.).

3. Adaptations: Although discouraged, programs may sometimes make adaptations to the model program. Examples of acceptable and risky or unacceptable adaptations are as follows.

Acceptable Adaptations

a. Changing language – Translating and/or modifying vocabulary
b. Replacing images to show youth and families that look like the target audience
c. Replacing cultural references
d. Modifying some aspects of activities such as physical contact
e. Adding relevant, evidence-based content to make the program more appealing to participants

Risky or Unacceptable Adaptations

a. Reducing the number or length of sessions or how long participants are involved
b. Lowering the level of participant engagement
c. Eliminating key messages or skills learned
d. Removing topics
e. Changing the theoretical approach
f. Using staff or volunteers who are not adequately trained or qualified
g. Using fewer staff members than recommended

Any adaptation made to the model program will be explained.

The following link provides a good discussion of evidence-based initiatives.

http://whatworks.uwex.edu/attachment/whatworks_04.pdf

I. TIER 2: PROMISING PRACTICE

Promising Practices do not meet the rigorous Tier 1 criteria for evidence-based practice but they are designed based on sound theory and with clear expected outcomes. Tier 2 programs meet the criteria listed below.

1. Literature Review: A literature review is a summary and synthesis of current and credible literature on a specific topic, issue, or practice method. It is a survey of scholarly articles, books and other sources that are relevant to the subject. A credible literature review includes the following components.[4] [5]

   a. Clear statement of the subject of interest.
   b. Review of a credible number of studies about the topic. It should be clear that the most influential, most current, and most cited sources have been included.
   c. Summary of what is known or not known about the topic.
   d. Literature review was written within the past 15 years.
   ~~e. Program design reflects the findings of the literature review.~~

   The following two articles provide good discussions of how to conduct and write a literature review:

   http://www.york.cuny.edu/~washton/student/Org-Behavior/lit_rev_eg.pdf
   http://gsteinbe.intrasun.tcnj.edu/tcnj/rhetoric2/litreviews.htm

2. Logic Model: A logic model is a map or simple illustration of what a program does, what the program hopes to achieve, and how the program will measure achievement. A credible logic model will include most, if not all, of the following elements.[6] A template is available at www.SonomaUpstream.org

   a. Problem Statement (a.k.a. problems to be solved)
   b. Inputs (a.k.a. Resources)
   c. Outputs (a.k.a. Activities, Participation)
   d. Outcomes (a.k.a. Impacts, Results)
   e. Assumptions/Theories
   f. Environmental Factors

   The following sites offer clear and easy to use assistance in developing a logic model.

   http://www.childwelfare.gov/management/effectiveness/models.cfm
   http://www.uwex.edu/ces/pdande/evaluation/evallogicbiblio.html
   http://www.acf.hhs.gov/programs/cse/grants/resources/logic_model/

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[4] The Writing Center, University of North Carolina.
[5] Rubin & Perrish (2008).
[6] U.S. Department of Health and Human Services, Administration for Children &Families, as cited on www.childwelfare.gov/management/effectiveness/logic_model.cfm#whatis.

3. Manual: The program has a book, or other available writings that specify the components of the program and describe how to administer it. A program that has been standardized in this way can be reliably replicated elsewhere. A credible manual includes most, if not all, of the following components.

a. Description of the program
   i. History of the program
   ii. Rationale
   iii. Core components of the program
   iv. Definitions
   v. Assumptions
b. Staff
   i. Background and Education
   ii. Licensure
   iii. Background checks
   iv. Job description
   v. Responsibilities
   vi. Training
   vii. Supervision
   viii. Performance evaluation
c. Clients
   i. Outreach methods
   ii. Eligibility criteria (~~ie~~i.e.; age, income, location)
   iii. Enrollment process
   iv. Client : Staff ratio
   v. Rights and Responsibilities
   vi. Complaints and Appeals
   vii. Crisis management
   viii. Termination process
d. Curricula / Activities
   i. Components / Content
   ii. Number of sessions
   iii. Sequence
   iv. Quality management
   v. Fidelity requirements
e. Records
   i. Information to document
   ii. Confidentiality
   iii. Records retention
f. Evaluation
   i. Research question to be answered
   ii. Data to be collected
   iii. Analysis and reporting procedures
   iv. Audiences

The following links provide examples of a manual for an evidence-based practice.

http://www.schoolcounselor.org/files/Texas.pdf
http://www.ocfs.state.ny.us/main/b2h/manual/B2H%20Program%20Manual%2001-2012.pdf
http://www.ybhandbooks.org/files/tools/DOL-YB-ProgramManual.pdf

4. Adaptations: Although discouraged, programs may sometimes make adaptations from the official program manual. Examples of acceptable and risky or unacceptable adaptations are as follows.

Acceptable Adaptations

f. Changing language – Translating and/or modifying vocabulary
g. Replacing images to show youth and families that look like the target audience
h. Replacing cultural references
i. Modifying some aspects of activities such as physical contact
j. Adding relevant, evidence-based content to make the program more appealing to participants

Risky or Unacceptable Adaptations

h. Reducing the number or length of sessions or how long participants are involved
i. Lowering the level of participant engagement
j. Eliminating key messages or skills learned
k. Removing topics
l. Changing the theoretical approach
m. Using staff or volunteers who are not adequately trained or qualified
n. Using fewer staff members than recommended

Any adaptation made will be explained.

4. Evaluation: Good evaluations assess performance, measure impacts on families and communities, and document successes. With evaluation information, programs are able to direct limited resources to where they are most needed and most effective for their clients and communities. The evaluation should suggest positive outcomes and reflect the design of the program being submitted. A credible evaluation will result in a report that includes all of the following components.

a. PURPOSE: Reason(s) that the evaluation was conducted.
~~b. AUDIENCE: Intended audience and their information or decision-making needs.~~
~~c.~~b. QUESTIONS: Research questions that the evaluation answered.
~~d.~~c. LITERATURE REVIEW: A review of the literature that informed the development of the program and the evaluation.
~~e.~~d. METHODS: Data collection methods (for example, surveys, interviews, document review, observation, focus groups) with an explanation of confidentiality, anonymity, consent, objectivity, sampling, pilot testing, and reliability/validity.
~~f.~~e. ANALYSIS: Appropriate descriptive and inferential analysis.
~~g.~~f. RECOMMENDATIONS: Discussion of the analysis, conclusions, and recommendations.

The following site is a program evaluation workbook focused on family centered services.

http://cfrc.illinois.edu/pubs/rp_20000614_ElementsOfBestPracticeInFamilyCenteredServices.pdf

Frequently cited authors who write about evaluation are Joseph Wholey, Michael Scriven, Emil Posovac, Raymond G. Carey, Carol H. Weiss, Egon Guba, and Michael Quinn Patton. Publications by any of these authors are useful.

5. Cohorts: To be considered a promising practice, a program will have been delivered to more than one cohort. In other words the program is no longer considered a pilot test. A cohort is a group of clients that has received the same program services within a given period—usually the time frame selected for one evaluation. (Clients within a cohort may have received services over time and not all at exactly the same time.) Clients within a cohort may have different demographics.

~~5.~~6. Program Design: The intent of the Portfolio is that program implementers integrate the information gathered in the above sections (literature review, logic model, manual and evaluation), into the program design. To be considered a promising practice, it will be apparent that any attachments cited in the application directly or indirectly inform the program implementation.

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J. TIER 3: EMERGING PRACTICE

Emerging practices have the intent of being outcomes-based and meet the pre-requisites for evidence-based practice. However, these programs have not yet conducted or completed an evaluation. Tier 3 programs must meet the criteria listed below.

1. Literature Review: A literature review is a summary and synthesis of current and credible literature on a specific topic, issue, or practice method. It is a survey of scholarly articles, books and other sources that are relevant to the subject. A credible literature review includes the following components.[7] [8]

   a. Clear statement of the subject of interest.
   b. Review of a credible number of studies about the topic. It should be clear that the most influential, most current, and most cited sources have been included.
   c. Summary of what is known or not known about the topic.
   d. Literature review was written within the past 15 years.
   ~~e. Program design reflects the findings in the literature review.~~

   The following two articles provide good discussions of how to conduct and write a literature review:

   http://www.york.cuny.edu/~washton/student/Org-Behavior/lit_rev_eg.pdf
   http://gsteinbe.intrasun.tcnj.edu/tcnj/rhetoric2/litreviews.htm

2. Logic Model: A logic model is a map or simple illustration of what a program does, what the program hopes to achieve, and how the program will measure achievement. A credible logic model will include most, if not all, of the following elements. A template is available at www.SonomaUpstream.org

   a. Problem Statement (a.k.a. problems to be solved)
   b. Inputs (a.k.a. Resources)
   c. Outputs (a.k.a. Activities, Participation)
   d. Outcomes (a.k.a. Impacts, Results)
   e. Assumptions/Theories
   f. Environmental Factors

   The following sites offer clear and easy to use assistance in developing a logic model.

   http://www.childwelfare.gov/management/effectiveness/models.cfm
   http://www.uwex.edu/ces/pdande/evaluation/evallogicbiblio.html
   http://www.acf.hhs.gov/programs/cse/grants/resources/logic_model/

[7] The Writing Center, University of North Carolina.
[8] Rubin & Perrish (2008).

3. Policies and Procedures: The program may not have a fully developed manual but has made progress towards standardization through the development of policies and procedures. A policy states the expectations. A procedure describes the steps to meet the expectations. Policies and procedures also describe what not to do.

Comment [A1]: Ideas here?

4. Evaluation Plan: Good program evaluations assess performance, measure impacts on families and communities, and document successes. With evaluation information, programs are able to direct limited resources to where they are most needed and most effective for their clients and communities. Tier 3 programs may not have a completed evaluation but are conducting or have a plan to conduct, an evaluation. Programs can remain on Tier 3 for up to three years after the development of an evaluation plan. After three years, if the evaluation has not been completed, the program will no longer qualify for Tier 3. A credible evaluation plan will include all of the following components.

   a. PURPOSE: Reason(s) that the evaluation is being conducted.
   ~~b. AUDIENCE: Intended audience and their information or decision-making needs.~~
   ~~c.~~b. QUESTIONS: Research questions that the evaluation will answer.
   ~~d.~~c. RESOURCES: Resources needed and available for the evaluation.
   ~~e.~~d. CHALLENGES: Anticipated challenges to completing the evaluation and how they will be managed.
   ~~f.~~e. LITERATURE REVIEW: A review of the literature that will inform the evaluation decision.
   ~~g.~~f. METHODS: Planned data collection methods (for example, surveys, interviews, document review, observation, focus groups) with attention to confidentiality, anonymity, consent, objectivity, sampling, pilot testing, reliability/validity, and timelines.
   ~~h.~~g. ANALYSIS: Plan for appropriate descriptive and inferential analysis.
   ~~i.~~h. RECOMMENDATIONS: Plan for the creation of conclusions and recommendations.
   ~~j.~~i. DISSEMINATION: Plan that identifies when and how to disseminate the report and to what audiences.
   ~~k.~~j. DATE: Evaluation plan was developed within the past three years.

   The following site is a program evaluation workbook focused on family centered services.

   http://www.cfrc.illinois.edu/publications/rp_20000614_ElementsOfBestPracticeInFamilyCenteredServices.pdf

   Frequently cited authors who write about evaluation are Joseph Wholey, Michael Scriven, Emil Posovac, Raymond G. Carey, Carol H. Weiss, Egon Guba, and Michael Quinn Patton. Publications by any of these authors are useful.

5. Program Design: The intent of the Portfolio is that program implementers integrate the information gathered in the above sections (literature review, logic model, manual and evaluation), into the program design. To be considered a promising practice, it will be apparent that any attachments cited in the application directly or indirectly inform the program implementation.

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Portfolio of Model Upstream Programs
Application Form: TIER 1

Program Name ____

Organization____

1. **Evidence-based Clearinghouse: Which of the following clearinghouses includes this program as evidence-based?** (***Please insert the specific web address to the program on the clearinghouse***.) If the reviewers cannot find the program on the clearinghouse this application will be returned to you.

   ____________________________ California Evidence-Based Clearinghouse
   ____________________________ Center for the Study and Prevention of Violence
   ____________________________ Child Trends LINKS
   ____________________________ Coalition for Evidence-Based Policy
   ____________________________ Cochrane Collaboration Library of Systematic Reviews
   ____________________________ Diffusion of Effective Behavioral Interventions - DEBI
   ____________________________ Guide to Community Preventive Services
   ____________________________ Office of Juvenile Justice and Delinquency Prevention
   ____________________________ SAMHSA's National Registry of Evidence-Based Programs and Practices
   ____________________________ What Works Clearinghouse
   ____________________________ Other (please list)

2. **Accreditation**
   a. Does the model program require a recurring accreditation, license, or review or audit process?

   ______ No (go to 2b)　　　　______Yes (please attach evidence and go to question 4)

   b. Does the model program offer a voluntary recurring accreditation, license, or review or audit process?

   ______ No (go to question 3)　　　　______Yes (go to question 2c)

   c. Do you participate?

   ______ No (go to question 3)　　　　______Yes (please attach evidence and go to question 4)

3. **<u>Fidelity</u>: How is the program implemented in Sonoma County with fidelity to the evaluated model?**

	Required by model program	How you meet model program requirements
Adherence		
Dose/exposure		
Quality of program delivery		
Participant responsiveness		

4. Adaptations

a. Have you adapted the program from the model program?

_______ No _______Yes (go to question 4b)

b. In what ways have you adapted the program from the model program?

Comments:

Portfolio of Model Upstream Programs
Application Form: TIER 2

Program Name____

Organization ____

Program Description and Pre-Requisites are acceptable. Please review and rate the following.

1~~a~~.Literature Review: Attach the literature review

~~1b. How does the program design reflect the findings of the literature review?~~

2. **Logic Model:** Attach logic model

3. **Manual**: Label and attach the required components of the manual
   a. **Have you made any adaptations from the manual? What are they? (See list of risky and acceptable adaptations in the instructions packet.)**

4. ~~4b.~~ **Evaluation:** Attach your evaluation report.

5. **Cohorts: Identify at least 2 cohorts. (Include dates, services provided, locations, # of clients)**

~~What are the positive outcomes suggested by the evaluation and how does the program design reflect these outcomes?~~

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~~5~~6. **Program Design:** Describe how the evidence provided in the literature review, logic model, manual and evaluation informs the design of your program.

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UPSTREAM INVESTMENTS

It is easier to build strong children than to fix broken lives.

Portfolio of Model Upstream Programs
Application Form: TIER 3

Program Name____

Organization ____

~~**Program Description and Pre-Requisites are acceptable. Please review and rate the following.**~~

1~~a~~. Literature Review: Attach the literature review

~~**1b. How does the program design reflect the findings of the literature review?**~~

2. Logic Model: Attach the logic model

3. Policy & Procedures: Attach the policy and procedures

4. ~~4a.~~ Evaluation Plan: Attach the evaluation plan. Date of plan:______________________________

~~**4b. What is the date of the evaluation plan?**~~

5. Program Design: Describe how the evidence provided in the literature review, logic model, manual and evaluation informs the design of your program.

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UPSTREAM INVESTMENTS

It is easier to build strong children than to fix broken lives.

Application to Portfolio of Model Upstream Programs
SCORING SHEET: TIER 1

Reviewer's Name: ______________________________

Program Name and Organization: ______________________________

Date Reviewed: ______________________________

Program Description and Pre-Requisites are acceptable. Please review and rate the following.

1. Do you have a conflict of interest? .... ☐No ☐Yes

2. Is the entry on the **evidence-based** Clearinghouse acceptable? .... ☐No ☐Yes ☐Not Clear

3. Accreditation
   a. Does the model program have a <u>mandatory</u> **accreditation,** license, review or audit process? .... ☐No ☐Yes ☐Not Clear
   a. Does the model program have a <u>voluntary</u> **accreditation,** license, review or audit process? .... ☐No ☐Yes ☐Not Clear
   b. Is **evidence** of accreditation **acceptable**? .... ☐No ☐Yes ~~☐Not Clear~~
   (If yes, skip to question 5. If no, go to question 4.)

4. Is there evidence of implementing in Sonoma County with **fidelity**? .... ☐No ☐Yes ~~☐Not Clear~~
   a. Adherence .... ☐No ☐Yes ☐Not Clear
   b. Dose/exposure .... ☐No ☐Yes ☐Not Clear
   c. Quality of program delivery .... ☐No ☐Yes ☐Not Clear
   d. Participant responsiveness .... ☐No ☐Yes ☐Not Clear

5. Are there **adaptations** to the model program? .... ☐No ☐Yes ☐Not Clear
   a. Are the **adaptations** to the model **acceptable**? .... ☐No ☐Yes ~~☐Not Clear~~

Tier Recommendation: Do you recommend Tier 1? .... ☐No ☐Yes

Comments:

UPSTREAM INVESTMENTS

It is easier to build strong children than to fix broken lives.

Application to Portfolio of Model Upstream Programs
SCORING SHEET: TIER 2

Reviewer's Name: ____

Program Name and Organization: ______________________________________

Date Reviewed: ____

1. Do you have a conflict of interest? .... ☐No ☐Yes

   Please state the conflict: ______________________________________

2. Is the **Literature Review** acceptable? ~~(all elements must be included)~~ .... ☐No ☐Yes ~~☐Not Clear~~

   a. Clear statement of the subject of interest. .... ☐No ☐Yes ☐Not Clear
   b. Credible number of studies about the topic. .... ☐No ☐Yes ☐Not Clear
   c. Summary of what is known or not known about the topic. .... ☐No ☐Yes ☐Not Clear
   d. Written within the past 15 years .... ☐No ☐Yes ☐Not Clear
   ~~e. Program design reflects the literature review. .... ☐No ☐Yes ☐Not Clear~~

3. Is the **Logic Model** acceptable? ~~(most elements must be included)~~ .... ☐No ☐Yes ~~☐Not Clear~~

   a. Problem Statement (a.k.a. problems to be solved) .... ☐No ☐Yes ☐Not Clear
   b. Inputs (a.k.a. Resources) .... ☐No ☐Yes ☐Not Clear
   c. Outputs (a.k.a. Activities, Participation) .... ☐No ☐Yes ☐Not Clear
   d. Outcomes (a.k.a. Impacts, Results) .... ☐No ☐Yes ☐Not Clear
   e. Assumptions (a.k.a. Theories, ~~Causal Link~~) .... ☐No ☐Yes ☐Not Clear
   f. Environmental Factors .... ☐No ☐Yes ☐Not Clear

4. Is the **Manual** acceptable? ~~(most elements are included)~~ .... ☐No ☐Yes ~~☐Not Clear~~

   a. Description of the program .... ☐No ☐Yes ☐Not Clear
   b. Staff .... ☐No ☐Yes ☐Not Clear
   c. Clients .... ☐No ☐Yes ☐Not Clear
   d. Curricula / Activities .... ☐No ☐Yes ☐Not Clear
   e. Records .... ☐No ☐Yes ☐Not Clear
   f. Evaluation .... ☐No ☐Yes ☐Not Clear
   g. If adaptations have been made, are they acceptable .... ☐No ☐Yes ☐NA

~~f.~~

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5. Is the **Evaluation** acceptable? ~~(all elements must be included)~~ .... ☐No ☐Yes ~~☐Not Clear~~
   a. Purpose .... ☐No ☐Yes ☐Not Clear
   ~~b. Audience.. ☐No ☐Yes ☐Not Clear~~
   c. Questions... ☐No ☐Yes ☐Not Clear
   d. Literature Review .... ☐No ☐Yes ☐Not Clear
   e. Methods.. ☐No ☐Yes ☐Not Clear
   f. Analysis... ☐No ☐Yes ☐Not Clear
   g. Recommendations .... ☐No ☐Yes ☐Not Clear
   h. Are the outcomes suggested by the evaluation acceptable?......................... ☐No ☐Yes ☐Not Clear
   ~~h. Does the program design reflect the evaluation? .... ☐No ☐Yes ☐Not Clear~~

6. Is the evidence of more than one **Cohort** acceptable? .... ☐No ☐Yes ~~☐Not Clear~~

7. Does the information provided appear to inform the **program design?** .... ☐No ☐Yes

Tier Recommendation: Do you recommend Tier 2? .... ☐No ☐Yes

Comments:

UPSTREAM INVESTMENTS

It is easier to build strong children than to fix broken lives.

Application to Portfolio of Model Upstream Programs
SCORING SHEET: TIER 3

Reviewer's Name: ____

Program Name and Organization: ______________________________________

Date Reviewed: ____

Program Description and Pre-Requisites are acceptable. Please review and rate the following.

1. Do you have a conflict of interest? .... ☐No ☐Yes

   Please state the conflict: ______________________________________

2. Is the **Literature Review** acceptable?~~(all elements must be included)~~ .... ☐No ☐Yes ~~☐Not Clear~~

   a. Clear statement of the subject of interest. .... ☐No ☐Yes ☐Not Clear
   b. Credible number of studies about the topic. .... ☐No ☐Yes ☐Not Clear
   c. Summary of what is known or not known about the topic. .... ☐No ☐Yes ☐Not Clear
   d. Written within the past 15 years. .... ☐No ☐Yes ☐Not Clear
   ~~e. Program design reflects the literature review .... ☐No ☐Yes ☐Not Clear~~

3. Is the **Logic Model** acceptable?~~(most elements must be included)~~ .... ☐No ☐Yes ~~☐Not Clear~~

   a. Problem Statement (a.k.a. problems to be solved) .... ☐No ☐Yes ☐Not Clear
   b. Inputs (a.k.a. Resources) .... ☐No ☐Yes ☐Not Clear
   c. Outputs (a.k.a. Activities, Participation) .... ☐No ☐Yes ☐Not Clear
   d. Outcomes (a.k.a. Impacts, Results) .... ☐No ☐Yes ☐Not Clear
   e. Assumptions (a.k.a. Theories~~, Causal Link~~) .... ☐No ☐Yes ☐Not Clear
   f. Environmental Factors .... ☐No ☐Yes ☐Not Clear

4. Are the **policies and procedures** acceptable? .... ☐No ☐Yes ~~☐Not Clear~~

5. Is the **Evaluation Plan** acceptable? ~~(all elements must be included)~~ .... ☐No ☐Yes ~~☐Not Clear~~

a. Purpose .... ☐No ☐Yes ☐Not Clear
~~b. Audience .... ☐No ☐Yes ☐Not Clear~~
~~c.~~b. Questions .... ☐No ☐Yes ☐Not Clear
~~d.~~c. Resources .... ☐No ☐Yes ☐Not Clear
~~e.~~d. Challenges .... ☐No ☐Yes ☐Not Clear
~~f.~~e. Literature Review .... ☐No ☐Yes ☐Not Clear
~~g.~~f. Methods .... ☐No ☐Yes ☐Not Clear
~~h.~~g. Analysis .... ☐No ☐Yes ☐Not Clear
~~i.~~h. Recommendations .... ☐No ☐Yes ☐Not Clear
~~j.~~i. Dissemination .... ☐No ☐Yes ☐Not Clear
~~k.~~j. Was the Evaluation Plan developed within the past three years? .... ☐No ☐Yes ☐Not Clear

6. Does the information provided appear to inform the **program design**? ☐No ☐Yes

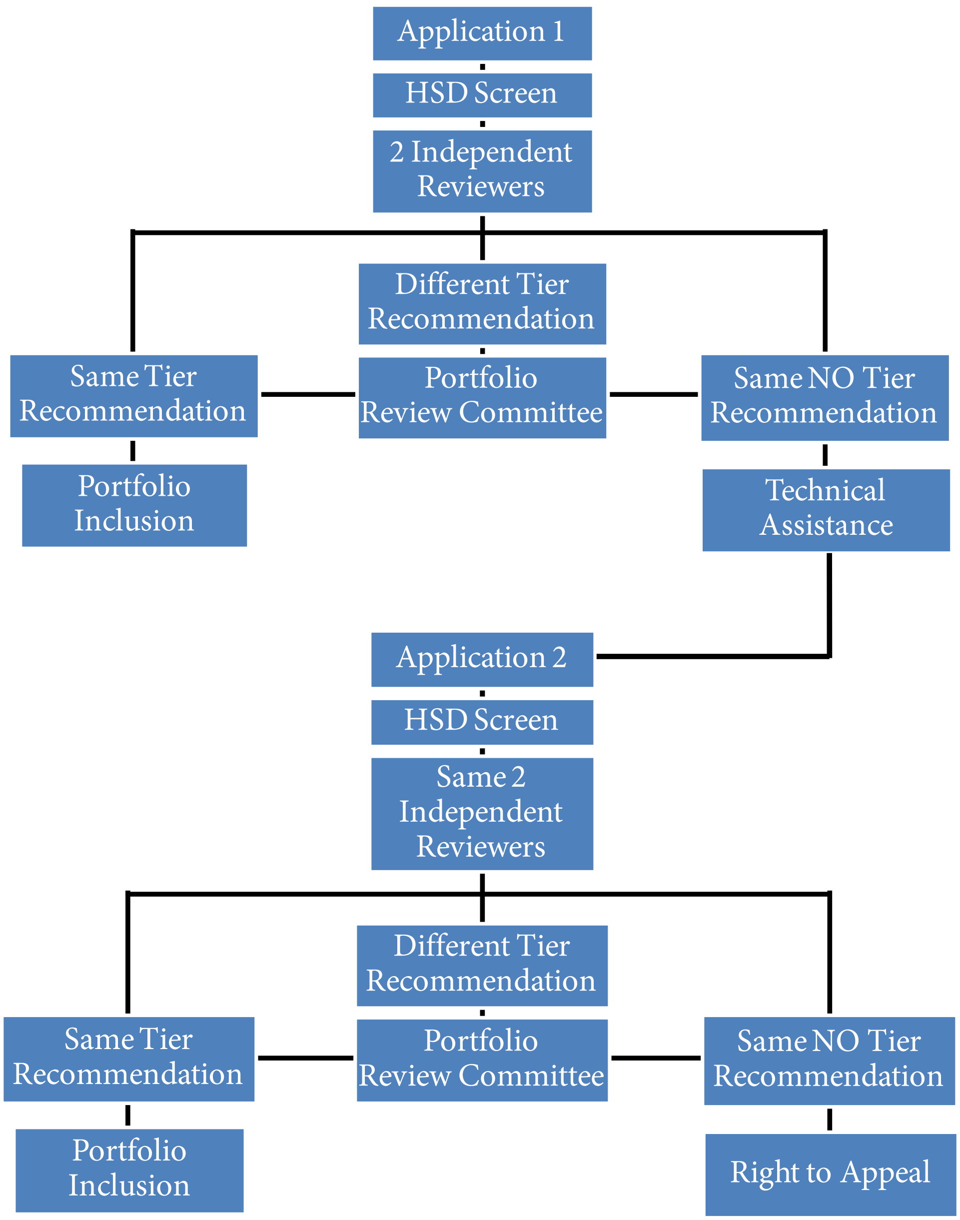
Tier Recommendation: Do you recommend Tier 3? .... ☐No ☐Yes

Comments:

Portfolio of Model Upstream Programs

Application Review, Decision and Appeal Process

REVISED ~~May 21~~January 16th, 201~~2~~3



I. Program Submission Process

A. Organizations are invited to submit their program to the Portfolio of Model Upstream Programs via an e-mail to *info@SonomaUpstream.org*.

B. Assistance with the submission process is available by calling 707.565.5800 or by e-mailing to *info@SonomaUpstream.org*.

II. Program Application Review and Tier Placement Recommendation

A. When a program is submitted to the Portfolio, the Human Services Department will review for all required documents and the Pre-Requisites and will communicate with the submitting program if anything is missing.

B. When all required documents and the Pre-Requisites are complete, the Human Services Department will send all submitted materials to two independent reviewers (two members of the Portfolio Review Committee. The Human Services Department will rotate applications evenly through all reviewers.

C. If either of the reviewers has a conflict of interest or are otherwise unable to complete the review in three business days, they will immediately notify the Human Services department who will send the application to a different reviewer.

D. The two reviewers will independently conduct a review to determine if the program meets the requirements for the requested (or another) tier placement.

E. The two reviewers will report their decision to the Human Services Department.

1. Unanimous Review Recommendation

a. If both reviewers independently determine the program fits the criteria for the requested (or another) tier placement, the review is complete, the submitting organization will be notified, and the program will be listed on www.SonomaUpstream.org.

b. If both reviewers independently determine the program does not fit the criteria for the requested (or another) tier placement, the submitting organization will be notified that they did not meet the criteria and why. The Human Services Department will offer technical assistance to the organization and invite a revised submission.

i. The original two independent reviewers will review the re-submitted information.

ii. If, with the additional information, both reviewers independently determine the program fits the criteria for tier placement, the review is complete, the submitting organization will be notified, and the program will be listed on www.SonomaUpstream.org.

iii. If, with the additional information, both reviewers independently determine the program still does not fit the criteria for tier placement, the submitter will be notified that they did not meet the criteria and why. The submitter will be invited to appeal (described in III. below).

2. Non-Unanimous Review Recommendation

If the two independent reviewers do not agree on tier placement, the submission will be brought to the Portfolio Review Committee at the next regularly scheduled meeting for discussion and recommendation decision. A quorum will be required. Following discussion, a vote will be taken. A majority vote is required to carry the decision. In cases when no majority exists,

a. ~~Consensus d~~Decision for tier placement: After discussion, if the ~~two original reviewers agree~~committee votes that the program fits the criteria for the requested ~~(or another)~~ Tier placement, the review is complete, the submitting organization will be notified, and the program will be listed on www.SonomaUpstream.org.

~~b. Non-consensus decision for tier placement: After discussion, if the two original reviewers do not agree that the program fits the criteria for requested (or another) tier placement, the Review Committee will vote for tier placement using Robert's Rules of Order (motion, second, discussion, vote). The majority vote will be the decision, the submitting organization will be notified, and the program will be listed on www.SonomaUpstream.org.~~

~~c~~b. Decision for non-tier placement: If, ~~through consensus or vote,~~ the Review Committee ~~decides~~ votes that the submission does not the meet the criteria for the requested ~~(or another)~~ tier, the submitting organization will be notified that they did not meet the criteria and why. The Human Services Department will offer technical assistance to the organization and invite a revised submission.

i. The original two independent reviewers will review the re-submitted information see 'Application 2'in the flow chart on page 1).

ii. If, with the additional information, both reviewers independently determine the program fits the criteria for tier placement, the review is complete, the submitting organization will be notified, and the program will be listed on www.SonomaUpstream.org.

iii. If, with the additional information, both reviewers independently determine the program still does <u>not</u> fit the criteria for tier placement, the submitter will be notified that they did not meet the criteria and why. The submitter will be invited to appeal (described in III. below).

III. Appeal Process

A. If, after technical assistance, an organization is not satisfied with their tier placement or non-placement, the organization has a right to appeal of the decision. The organization may appeal the accuracy of the decision but may not appeal the tier criteria. (In other words, they may appeal on the basis that they do in fact meet the criteria, but they may not appeal based on the idea that the criteria should be changed.)

B. The Portfolio Appeal Committee will receive the appeal.

1. The Human Services Department will appoint a Chair for each Appeal Committee hearing. The Chair will rotate through each of the three members. The Chair shall be announced in the agenda.

2. The organization making the appeal may have two speakers during the appeal hearing.

3. The Human Services Department will deliver an opening statement on behalf of the Portfolio Review Committee not to exceed 15 minutes.

4. The opening statement will be followed by a prepared statement delivered by the organization making the appeal not to exceed 15 minutes.

5. After the two statements, the members of the Portfolio Appeal Committee may ask questions.

6. The Portfolio Appeal Committee will deliberate their decision in the public meeting. There is no closed session.

7. The organization making the appeal may make the closing statement not to exceed 5 minutes.

8. The organization making the appeal will bring three (4) copies of any materials they wish to submit to the Appeal Committee.

C. The Portfolio Appeal Committee will discuss and make a decision about tier placement. The Portfolio Appeal Committee decision is final.

D. The Human Services Department will notify the submitting organization of the Appeal Committee decision in writing.

E. The Portfolio Appeal Committee is a Brown Act Committee.

IV. Communication with Submitter

Throughout the process, the submitter will receive written communication about their application from the Human Services department which will include, but is not limited to, the following:

A. Receipt of portfolio application.
B. Notification of tier placement decision (but not identification of reviewers).
C. Invitation to receive technical assistance (if applicable).
D. Notification of right to appeal (if applicable).
E. Notification of Portfolio Review Committee decision.