

# Maine OSA SPF-SIG

## Reviewers Manual

### Evidence Based Approval Process

*(For Panel of Informed Experts)*  
As of 9/1/07



*SPF SIG*

*Working together for health promotion  
and substance abuse prevention.*

Maine Department of Health and Human Services  
Maine Office of Substance Abuse

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## Purpose

The purpose of this *Manual* is to provide information and a consistent process to help the OSA SPF-SIG panel of *Evidence-based Informed Experts* to review and judge if grantee submitted strategies meet the “evidence-based” definition as per SAMHSA guidelines.

Panel members should contact Anne Rogers (287-4706) or Cheryl Cichowski (287-4391) with questions about this manual.

## Overview of Why a Panel was Created:

The US DHHS, Substance Abuse and Mental Health Services Administration, Center for Substance Abuse Prevention developed a guidance document to help the SPF SIG states and communities identify and select evidence-based interventions following a common definition and process. The SPF-SIG Program specifically requires implementation of evidence-based interventions. Along with being evidence-based, effective strategies should match the needs of the community, include multiple activities, and involve multiple people. To be able to implement strategies that fall outside of options 1 or 2 below a process needed to be developed to operationalize option 3 below.

Evidence-based strategy definitions:

1. Included on Federal Lists or Registries of evidence-based interventions; **OR**
2. Reported (with positive effects) in peer-reviewed journals; **OR**
3. Documented effectiveness based on the three new guidelines for evidence:

Guideline 1: The intervention is based on a solid theory or theoretical perspective that has been validated by research; **AND**

Guideline 2: The intervention is supported by a documented body of knowledge—a converging accumulation of empirical evidence of effectiveness—generated from similar or related interventions that indicate effectiveness;

**AND**

Guideline 3: The intervention is judged by a consensus among informed experts to be effective based on a combination of theory, research, and practice experience. Informed experts may include key community prevention leaders, and elders or other respected leaders within indigenous cultures.

## Panel Members

There are seven members of the panel. Five will be considered a quorum for a review and judgment of a strategy to occur. The 2007-2008 list of panel members with voting privilege:

Becky Ireland (Higher Education Alcohol Prevention Programs)  
Erica Schmitz (Maine Environmental Substance Abuse Prevention Center)  
Michelle Brown (CSAP Prevention Fellow)  
Jessie Gogan (Adcare Educational Institute)  
Chelsey Goddard (Northeast Centers for the Application of Prevention Technologies)  
Plus two members from the Maine Office of Substance Abuse, Prevention Team staff

## Voting Regulations

Each member of the panel will have 1 vote. Voting will be done by modified consensus, majority rules. There are three levels of voting:

1. thumb up means full approval of the strategy proposed
2. thumb horizontal means not fully confident but can live with the strategy proposed being implemented
3. thumb down means you do not accept the strategy that was proposed either due to no evidence or lack of sufficient evidence provided by submitter.

If any panel member votes thumb down in the final vote then the strategy will not be approved.

If more members vote thumbs up than those who vote thumbs horizontal, and no member votes thumb down then the strategy will be approved.

Once the submitter is contacted by their OSA Project Officer (PO) to let them know whether the strategy they submitted was approved, if so the grantee may begin work on that strategy, if not they may resubmit for re-review as soon as viable with additional/new support documentation; or they may choose a different strategy that falls within the first two SAMHSA definitions (see page 3), and is a pre-approved strategy; or may submit a new strategy for approval through this process.

Panel members will review supporting materials that the submitter provides to judge if there is a sound theoretical basis, that there is evidence the strategy has shown positive outcomes (some level of quantitative evidence), and that it has been implemented with success before.

\*\* If a strategy is submitted that a panel member has helped to develop, write, or in some way has a stake in, the panel member will not participate in the vote on that submission.

## OSA's Approval Process

[Panel members will receive copies of the items submitted at least a week and a half prior to the panel meeting date. Applicants will need to submit any hard copies of evidence at least 2 weeks prior to a panel meeting date.]  
Once local grantee work-plans are submitted to OSA:

**Step 1:** Content Specialists review proposed strategies, and their practical fit to the intervening variable and population targeted by the proposed strategies. Content Specialists need only approve items falling within scenario A below, all others should be flagged and their OSA PO will provide the applicant with a *strategy approval guide* to gather more information for further approval. [See the evidence based approval process flow chart for various strategy scenarios-Diagram A]

Scenarios:

- A. If strategy is on NREPP and is a fit to the I.V., then the PO will approve.
- B. If the strategy is not on a federal list but has been published in peer-reviewed journals with positive results and has practical fit, then the PO will approve.
- C. If a strategy is on a federal list or in a peer review journal, but does not fit the I.V. for what needs to be changed, then the strategy will be flagged by the PO for disapproval unless the applicant can give an appropriate reason why it should be accepted based upon sound theory.
- D. **If the strategy is not on a federal list nor in a peer reviewed journal, then the strategy will be flagged by the OSA PO. The PO will ask the applicant to follow the process identified in the “OSA SPF-SIG Strategy Approval Guide: For OSA grantees (July 2007)”.**

Expert  
Panel Steps  
in Here

**Step 2:** Once the required forms and back up documentation are emailed to Cheryl Cichowski, she will forward on to the appropriate OSA PO, who will review and provide feedback to the applicant. If more information is needed the PO will collect and forward on to the “Informed Expert Panel”. This Manual should be used in conjunction with the OSA SPF-SIG Strategy Approval Guide (available at <http://www.maine.gov/dhhs/osa/prevention/community/spfsig/>)

## Copies of Templates that Applicants will Submit

### REQUEST FOR STRATEGY APPROVAL EVIDENCE-BASED

(Applicant must submit)

Objective Number	Objective	Intervening Variables/ Contributing Factors	Strategy	Theoretical Basis (the theory explains why/how the strategy can be expected to achieve the objective)	Documented positive results through evaluation or other materials

### SAMPLE OSA SPF-SIG LOGIC MODEL TO TEST STRATEGY “FIT”

(Applicant must submit)

GOALS	INTERVENING VARIABLES/ OBJECTIVE	FOCUS POPULATION	STRATEGIES	“IF-THEN” STATEMENTS	SHORT-TERM OUTCOMES	INTERMEDIATE OUTCOMES
What is the consumption/ consequence (problem) to be changed?	What intervening variables or risk factors are driving or contributing to the problem?	Who are the people you are directly targeting with the intervention?	What strategies or programs do you want to implement? (i.e. social marketing campaign, etc)	Use the If-then approach to test the logic of your strategy.	What should you see to know these strategies were implemented well? (i.e. process measures)	What are the indicators of progress on targeted objective?

APPLICATION FORM

Name of CCHC submitting the application \_\_\_\_\_

Contact Information

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_

E-mail: \_\_\_\_\_

HMP Objective(s): \_\_\_\_\_

Describe the consumption/consequence (problem) the strategy will impact.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Intervening Variables/Contributing Factors:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Describe the focus population; include cultural characteristics and environmental characteristics:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Strategy:

\_\_\_\_\_  
\_\_\_\_\_

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What type of prevention approach is the proposed strategy? (Check all that apply)

Collaboration  Communication  Education  Enforcement  Policy

Describe the philosophical framework of why this strategy can be expected to achieve the objective(s).

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Describe the theory of how the strategy can be expected to achieve the objective(s).

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Expected materials: (put an x next to the items included in your application packet)

- Documentation that shows positive results through evaluation.  
*Document results must show evidence of effectiveness and be generated from similar or related interventions that indicate effectiveness.*
- If strategy has curriculum and/or syllabus include a full copy.
- If strategy does not have curriculum or syllabus, please include a copy of the strategy's implementation plan or procedure.
- Logic model to test fit. (Page 25 in OSA strategy approval guide)
- Evidence based logic model (Page 26 in OSA strategy approval guide)
- Copy of Syllabus or outline (if applicable)
- Evaluation and tracking tools

Method



Describe the reach, dosage/intensity, duration of activities, practices, and products used by the strategy.

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Will the lead person responsible for the strategy receive training on how to implement the strategy effectively? If yes, please describe in detail.

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Measuring Outcomes

What short-term outcomes do you expect to see if the strategy is effective?

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Do you intend to measure the success of the strategy?

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**Panel Member Names:** \_\_\_\_\_

**CCHC Name** \_\_\_\_\_

**Final Panel Vote** \_\_\_\_\_

**Date** \_\_\_\_\_

**Expert Panel Review Form**

<b>Strategy Voting on</b>	<b>Notes from Panel Member of Why they feel the Strategy Will or Will Not Change the I.V. (Evidence Supplied, Lacking, Other Comments) See page 8 for questions that panel members should think about when determining if the strategy shows good enough evidence.</b>	<b>Informed Expert Panel Vote</b>

## Questions for Panel Members to Consider

To help determine if the strategy proposed has enough supporting documentation to be able to approve:

### **Evidence-based Effectiveness**

- A. Is the strategy based on a well-defined theory or model?
- B. Is there documented evidence of effectiveness? Beyond qualitative letter of support or statement.
- C. Have the results been replicated successfully by different researchers/providers?
- D. Has the strategy been shown to be effective for risk factors similar to those you will address? If not, do they provide a theory of why it should work or how it will be adapted?
- E. Has the strategy been shown to be effective for the population they plan to target? If not, do they provide a theory of why it should work or how it will be adapted?

Panel members will not receive the following detailed information in the documents provided by the applicants, they will only know the target audience. If the panel chooses they may ask the applicant to provide more information on the questions below. To help determine if the strategy they propose is a good fit:

### **Cultural Relevance**

- A. Is the strategy appropriate for the communities existing practices?
- B. Is the strategy appropriate for the culture and characteristics of the community being served?
- C. Does the strategy take into account the community's values and traditions that affect how its citizens and the targeted group regard health promotion issues?
- D. Has the strategy shown positive results in communities with similar cultural attributes?

## Resources

### Guides

Identifying and Selecting Evidence Based Interventions – A guide developed by CSAP that provides criteria on selecting appropriate strategies that are based on identified intervening variables (risk and protective factors). It also, provides definitions of evidence based and practical fit.

<http://www.maine.gov/dhhs/osa/prevention/community/spfsig/documents/national/idenselectinterventions.pdf>

OSA SPF-SIG Strategy Approval Guide - A document that provides guidelines and tools to help OSA SPF-SIG grantees select and successfully implement the most appropriate strategies to attain population level change of state and community identified objectives and goals, and to request approval of strategies as “evidence-based” per SAMHSA guidelines.

<http://www.maine.gov/dhhs/osa/prevention/community/spfsig/documents/StrategyApprovalGuide.doc>