

# HEALTH SYSTEM ASSESSMENT

LEADERSHIP	INDICATORS		Strongly Disagree	↕	Strongly Agree	Immediate Priority	Intermediate Priority	Long-Term Priority
	Vision and Mission	The system is guided by a written, future-oriented vision statement that has been developed and adopted by its members.	1 2 3 4 5 6 7 8 9 10	A	B	C		
		The system has a written mission statement, developed and adopted by its membership, that succinctly describes its purpose, general method of achieving its purpose, and values (if applicable).	1 2 3 4 5 6 7 8 9 10	A	B	C		
		System members believe they are collectively capable of achieving broad outcomes that will significantly enhance well-being.	1 2 3 4 5 6 7 8 9 10	A	B	C		
	Conceptual Clarity	System members share a common definition of health that guides all participating agencies, organizations and members.	1 2 3 4 5 6 7 8 9 10	A	B	C		
		System members have established common definitions for key concepts and terminology that are used in system work.	1 2 3 4 5 6 7 8 9 10	A	B	C		
		The system can articulate how its work fits within the larger State, community or other system and complements—yet is distinguishable from—other State, community or other infrastructures and initiatives.	1 2 3 4 5 6 7 8 9 10	A	B	C		
	Inclusion	System membership reflects the demographics of the persons and communities served, and includes stakeholders served or impacted by system actions and decisions.	1 2 3 4 5 6 7 8 9 10	A	B	C		
		System membership includes all agencies and organizations whose own missions are impacted by system priorities and initiatives.	1 2 3 4 5 6 7 8 9 10	A	B	C		
		The system has successful strategies for recruiting and retaining representation from all demographic groups—including hard-to-reach populations—for planning and decision making.	1 2 3 4 5 6 7 8 9 10	A	B	C		
Political Will	The system and its members, collectively and individually, have the political will to undertake the actions needed to create positive change.	1 2 3 4 5 6 7 8 9 10	A	B	C			
	The system has secured the support of key stakeholders, collaborators, opinion leaders and allies.	1 2 3 4 5 6 7 8 9 10	A	B	C			
	The system has analyzed readiness for change among decision-makers and stakeholders, and has developed a plan to advance readiness.	1 2 3 4 5 6 7 8 9 10	A	B	C			
Influence	The system is able to coordinate the responses of a wide network of members and stakeholders in order to achieve mutually agreed upon outcomes.	1 2 3 4 5 6 7 8 9 10	A	B	C			
	System members serve as ambassadors for the system within their own sectors, expanding the reach of the system and influencing and motivating others to help accomplish system goals.	1 2 3 4 5 6 7 8 9 10	A	B	C			
	The system is engaged in efforts to improve the larger policy environment (e.g., Federal/State/Tribal/community policies, practices and resource allocations).	1 2 3 4 5 6 7 8 9 10	A	B	C			
Strategic Planning	System members base decision making on careful analysis of assessment data (i.e., contextual conditions, needs, resources, readiness and capacity).	1 2 3 4 5 6 7 8 9 10	A	B	C			
	System members work collaboratively with each other and other stakeholders to develop a comprehensive, data-driven strategic plan that guides decisions and resource allocations.	1 2 3 4 5 6 7 8 9 10	A	B	C			
	The strategies implemented by the system are comprehensive and evidence-based, and include policies and practices as well as programmatic approaches.	1 2 3 4 5 6 7 8 9 10	A	B	C			
Accountability	System actions are results-oriented, and are guided by the collective needs of the persons served, rather than the individual needs of its members.	1 2 3 4 5 6 7 8 9 10	A	B	C			
	The system and its membership proactively develops, supports and models policies and practices that are essential to achieving goals and outcomes.	1 2 3 4 5 6 7 8 9 10	A	B	C			
	The system has an established identity and reputation, and reports its activities, use of resources, and outcomes in on a regular basis.	1 2 3 4 5 6 7 8 9 10	A	B	C			
Sustainability	The leaders of system member agencies and organizations are engaged and invested in the work of the system, and have authority to allocate agency resources toward the achievement of common system outcomes.	1 2 3 4 5 6 7 8 9 10	A	B	C			
	System leadership is shared across sectors, and new leadership (including that of youth) is cultivated and developed on an ongoing basis.	1 2 3 4 5 6 7 8 9 10	A	B	C			
	The system has established public-private partnerships to leverage private-sector funding, support leadership development, and acquire technical expertise to support its work.	1 2 3 4 5 6 7 8 9 10	A	B	C			

Note of Acknowledgement: The development of this system assessment drew upon early work conducted by James Neal (South Carolina Department of Alcohol and Other Drug Abuse Services) and Mike Lowther (former Director of the Southwest Prevention Center). The development of the original assessment also benefitted from input from state and community stakeholders involved in the implementation of the Nebraska State Incentive Cooperative Agreement, an initiative funded by the U.S. Health and Human Service's Substance Abuse and Mental Health Services Administration (SAMHSA). Since that time, the assessment tool has been significantly refined and successfully implemented in a variety of state, community and tribal settings.

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	INDICATORS	Strongly Disagree	↔	Strongly Agree	Immediate Priority	Intermediate Priority	Long-Term Priority								
		1	2	3	4	5	6	7	8	9	10				
<b>EFFECTIVE PROCESSES</b>	<b>Information, Communication and Marketing</b>	There are strong processes and channels of communication to keep all partners informed and routinely share new information across sectors and disciplines.	1	2	3	4	5	6	7	8	9	10	A	B	C
		System members share their data and databases.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system has processes for improving information acquisition and minimizing response times when new threats or problems emerge.	1	2	3	4	5	6	7	8	9	10	A	B	C
		System members have processes for consistently recognizing and sharing successes with one another, stakeholders, and key decisionmakers at all levels.	1	2	3	4	5	6	7	8	9	10	A	B	C
	<b>Operating Procedures and Protocols</b>	System members have a mutually agreed upon process for decision-making.	1	2	3	4	5	6	7	8	9	10	A	B	C
		System members have a mutually agreed upon process for conflict resolution.	1	2	3	4	5	6	7	8	9	10	A	B	C
		System initiatives are guided by implementation plans that clearly outline activities, roles, responsibilities, expectations, timelines and outputs.	1	2	3	4	5	6	7	8	9	10	A	B	C
	<b>Evidence Based Planning and Practices</b>	The system engages in planning processes that are driven by data and based upon identified actual needs rather than by available funds.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system has processes for using research and causal theory to ensure that all strategies have evidence of effectiveness for achieving desired outcomes, and are locally, culturally and developmentally appropriate for the State unique contextual conditions of the target populations.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system uses policies and practices to positively change social norms and other environmental conditions, as well as programmatic approaches to change individual attributes and behaviors.	1	2	3	4	5	6	7	8	9	10	A	B	C
	<b>Training and Technical Assistance</b>	The system has processes for determining the training and technical assistance (T/TA) needs of its members and stakeholders on an ongoing basis.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system has processes for securing and/or delivering T/TA to its members and stakeholders, including accessing local, regional, State, Federal or national training resources.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system has processes for supporting peer-mentoring internally among its members, as well as externally with other systems at the local, regional, State, tribal or national level.	1	2	3	4	5	6	7	8	9	10	A	B	C
	<b>Monitoring and Evaluation</b>	System members have identified benchmarks, indicators and other performance measures (both qualitative and quantitative) that can accurately track progress toward desired outcomes.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system collects and uses evaluation data on an ongoing basis to make timely improvements or modifications in strategies, activities and processes as needed to achieve desired outcomes.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system has developed a formal evaluation plan for using both internal and external resources to monitor the processes and outcomes of all initiatives.	1	2	3	4	5	6	7	8	9	10	A	B	C
	<b>Accountability</b>	The system has processes for identifying gaps and duplications in strategies, activities and services.	1	2	3	4	5	6	7	8	9	10	A	B	C
		System expenditures and resource allocations are strategically aligned to achieve priority goals and desired outcomes, and are modified in accordance with evaluation findings.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system has strong fiscal processes that allow members to stay informed on its current financial status and to be alerted to emerging financial concerns.	1	2	3	4	5	6	7	8	9	10	A	B	C
		System staff and board members develop and review projections for short- and long-term revenues and expenses.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system has strong internal systems (e.g., accounting, auditing, management information, procurement, personnel) to maintain quality control over its work	1	2	3	4	5	6	7	8	9	10	A	B	C
		Records of the outcomes of system meetings, strategies, activities and initiatives are maintained and disseminated to all invested groups.	1	2	3	4	5	6	7	8	9	10	A	B	C
	<b>Sustainability</b>	The system has established successful processes for recruiting and retaining members	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system has developed a mutually agreed upon process, driven by the needs of stakeholders, for determining what is to be sustained, and by whom.	1	2	3	4	5	6	7	8	9	10	A	B	C
		System staff and board members develop financing strategies to meet needs for short- and long-term revenues and expenses, and review and change financing strategies as needed	1	2	3	4	5	6	7	8	9	10	A	B	C
		System resource allocations are analyzed regularly and modified as needed to achieve targeted outcomes, rather than just continue current strategies and activities.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system has identified the types of financial resources necessary to sustain its work, such as 1) discrete sources of public and private funds (one-time or ongoing); and/or 2) institutionalization within an ongoing system or process.	1	2	3	4	5	6	7	8	9	10	A	B	C
		The system has processes for generating new revenue that it can control (e.g., grants from public- and private-sector sources).	1	2	3	4	5	6	7	8	9	10	A	B	C
The system has identified and is pursuing ways to support the creation of new sources of public funds (e.g., general revenue, earmarked fees).		1	2	3	4	5	6	7	8	9	10	A	B	C	
System members have identified challenges or challenges to sustaining the system and its work, including potential conflicts with alternative initiatives or agendas.		1	2	3	4	5	6	7	8	9	10	A	B	C	

	System members have identified—and are monitoring—measures for maintaining sustainability.	1 2 3 4 5 6 7 8 9 10	A	B	C
	The system has created a written sustainability plan.	1 2 3 4 5 6 7 8 9 10	A	B	C

# HEALTH SYSTEM ASSESSMENT

		INDICATORS				Strongly Disagree	← Strongly Agree	Immediate Priority	Intermediate Priority	Long-Term Priority
		CAPACITY								
Organizational Structure		The system has a governance structure with clearly defined roles, responsibilities and expectations of its leadership.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		The roles and responsibilities of system members are clearly defined, understood and accepted by all.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		The system has an organizational structure (e.g. work groups, committees, subcommittees) that supports achievement of outcomes and maximizes the participation and diverse interests and talents of all system members across sectors and disciplines.	1 2 3 4 5 6 7 8 9 10	A	B	C				
Knowledge, Skills and Abilities (KSAs)	Assessment and Information	The system has the knowledge, skills, ability and access to resources to collect and analyze assessment data (i.e., needs, resources, readiness, capacity and contextual conditions) and transform it into actionable information for planning and decision-making.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		System members have developed processes for actively sharing data and information related to system outcomes and priorities across sectors and disciplines.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		The system has the ability to quickly respond to emerging or new information to prevent problems and enhance outcomes.	1 2 3 4 5 6 7 8 9 10	A	B	C				
	Mobilization	System members are knowledgeable of effective mobilization and readiness techniques.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		The system has the ability to conduct broad-based outreach and mobilize the support of decision-makers, community members and other stakeholders.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		The system has developed a broad base of State, tribal, community and/or other support.	1 2 3 4 5 6 7 8 9 10	A	B	C				
	Strategic Planning	Members of the system have the necessary knowledge, skills, abilities (KSAs) and access to resources to engage in comprehensive, data-driven strategic planning to identify and achieve priority outcomes.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		System members have the KSAs to select a comprehensive array of locally and culturally-appropriate strategies—based on data and sound causal theory—that can create positive changes in the physical, social, legal and/or economic environment, as well as within individuals.	1 2 3 4 5 6 7 8 9 10	A	B	C				
	Implementation and Evaluation	The system has adequate human, financial, and other resources (e.g., staff, members, volunteers) to accomplish its goals, objectives and desired outcomes.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		System members have the capacity (i.e., specialized KSAs) to carry out their roles in implementing selected strategies, activities and courses of action.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		System members have the necessary KSAs and/or access to resources to formally monitor and evaluate system progress toward achieving outcomes, and make midcourse adjustments as needed.	1 2 3 4 5 6 7 8 9 10	A	B	C				
	Workforce Development	The system has identified core competencies and skill sets needed across the workforce to achieve system outcomes.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		The system is able to coordinate, leverage and maximize internal T/TA resources across sectors and disciplines among its membership.	1 2 3 4 5 6 7 8 9 10	A	B	C				
		System members have access to high quality T/TA from internal and external sources to support knowledge acquisition and skill-building.	1 2 3 4 5 6 7 8 9 10	A	B	C				
	Funding and Other Resources	The system receives tangible support (e.g., funding, resources, staffing, in-kind) from its members.	1 2 3 4 5 6 7 8 9 10	A	B	C				
The system is able to leverage and maximize a diverse portfolio of funds and other resources (e.g., in-kind, volunteers) from multiple local, State, private and Federal sources in order to support priority initiatives.		1 2 3 4 5 6 7 8 9 10	A	B	C					
The system has identified and is pursuing ways to support the redirection or reallocation of funds (e.g., using funds freed up through improved outcomes to finance more strategies).		1 2 3 4 5 6 7 8 9 10	A	B	C					
Cultural Competency	The system operates from a deep understanding of State, tribal and/or community contextual conditions, and ensures that all policies, practices, programs and activities are locally, culturally and developmentally appropriate.	1 2 3 4 5 6 7 8 9 10	A	B	C					
	System resources are allocated equitably to meet the needs of all stakeholder groups.	1 2 3 4 5 6 7 8 9 10	A	B	C					
	The system and its members are able to meet national standards for culturally and linguistically appropriate services (CLAS).	1 2 3 4 5 6 7 8 9 10	A	B	C					
Accountability	The system and its members have strong internal systems for allocating and managing financial and other (e.g. in-kind, volunteer, etc) resources.	1 2 3 4 5 6 7 8 9 10	A	B	C					
	The system has identified and is pursuing ways to ensure the most efficient use of existing funds, such as “braiding” or coordinating funding streams across member agencies and organizations in order to maximize coordination and impact of strategies on desired outcomes.	1 2 3 4 5 6 7 8 9 10	A	B	C					
	The system and its members have strong internal systems for strategically investing resources and reporting the outcomes of those investments.	1 2 3 4 5 6 7 8 9 10	A	B	C					
Sustainability	The system knows how much funding and other resources are needed to sustain its work, and is able to acquire and allocate needed resources to sustain its outcomes into the future.	1 2 3 4 5 6 7 8 9 10	A	B	C					

		The system monitors changes in the policy and program environment to see how its desired outcomes and priority initiatives fit with new directives and agendas.	1 2 3 4 5 6 7 8 9 10	A	B	C
		The system is able to adapt to changing conditions and frameworks, and develop new infrastructure, processes, procedures and skill sets as needed.	1 2 3 4 5 6 7 8 9 10	A	B	C