

County of Sonoma, Smoke-Free Substance Abuse Treatment Facilities *Assessment Protocol*

OVERVIEW

Substance abuse treatment programs are in the business of helping people to get and stay sober. While smoking is not the primary reason why anyone enters a drug treatment program, tobacco is a drug that will negatively impact the health and life expectancy of clients, and is part of their overall addiction. The smoking rates for those with substance use disorders and/or mental health issues is significantly higher than for the general public.

Promoting healthy behaviors is part of an effective drug treatment program that helps clients reach and sustain their long term recovery. Research shows that when smoking cessation occurs at the same time as substance abuse treatment, it does not work against a successful outcome with the presenting substance abuse disorder. And, moreover, it may actually enhance success.¹ This research, coupled with empirical data, has provided the springboard for the shift in attitudes from a “let them have this one vice,” stance to one that treats the whole person, and takes the long view of health.

There are a number of ways to support cessation efforts. One way is to reduce, or eliminate, opportunities to smoke, so that there are fewer triggers for those trying to quit. In addition, treatment facilities can assist with prescriptions for cessation medications. Lastly, smoking cessation can be included into the overall treatment plan, and also be addressed within therapeutic counseling sessions. Such supports have been shown to promote recovery and reduce relapse for the primary addiction.

Laws on smoking

State of California Labor Code Section 6404.5

Scope: It is against the law to smoke in an enclosed space at a place of employment. No employer shall knowingly or intentionally permit smoking in an enclosed space at a place of employment. Enclosed space includes lobbies, lounges, waiting areas, elevators, stairwells, and restrooms that are a structural part of the building.

County of Sonoma Smoke-Free Ordinance

The County of Sonoma passed a smoke-free ordinance that extends to all county owned properties. Organizations that contract with the county to provide services and programs are working on behalf of the County and as such could act in the spirit of the ordinance. This includes any County funded treatment programs.

A note about E-cigarettes:

Electronic cigarettes (e-cigarettes or e-cigs), known formally as electronic nicotine delivery systems (ENDS) are problematic as they are currently unregulated by the Food and Drug Administration (FDA) and are marketed as cessation devices without scientific evidence that they are effective as such. E-cigs are being marketed to youth, and this introduces an addictive substance (nicotine) to the uninitiated. The growing popularity of e-cigs gives the impression that cigarette smoking is socially

¹ C.T. Baca, C.E. Yahne (2009). Smoking cessation during substance abuse treatment: what you need to know. *Journal of Substance Abuse Treatment* 36, 205-219.

approved and has the potential to undo decades of public health work to protect communities from the addiction of nicotine. The County of Sonoma is currently in the process of updating its smoking policies to address e-cigarettes.

ASSESSMENT PROCESS

A pre-assessment of behavioral health treatment sites and service providers will be done to collect baseline information on smoke-free policies, enforcement, and cessation support. Based on findings, members of the Behavioral Health/Alcohol and other Drugs Treatment Provider Committee of the Coalition for a Tobacco Free Sonoma County will be available to provide technical assistance and support toward becoming a smoke-free facility. The pre-assessment will be done in person or by telephone with representatives from treatment facilities. Meetings will occur late in 2013 and will serve to introduce staff to the assessment criteria, and extend invitations to participate on the planning committee

Phase two is when the full assessment will occur, which is slated for summer of 2014. Committee members will perform site visits with agency staff and use the criteria and scoring listed below. The assessment will be completed using a combination of observation and interview. The observation will be guided by the survey tool and will take place with the available onsite management and/or line staff. Once the assessments are complete, a profile of smoke-free treatment availability in Sonoma County will be compiled.

CRITERIA FOR ASSESSMENT

The *Assessment Protocol* is used to determine the strength of a treatment facility's efforts to support the smoke-free mandate. A facility designated as "smoke-free" provides an environment that is wholly free of smoke, both indoors and outside on the grounds surrounding the building.

The Assessment Protocol reviews three categories related to smoking and tobacco use in substance use disorder and mental health treatment facilities:

1. Comprehensiveness and formality of policies governing smoke free treatment facilities.
2. Consistency of enforcement protocols.
3. Availability of cessation support services.

After an assessment is made, each of the above categories is issued a grade.

Please note that the outcome of an Assessment does not impact the receipt of funds from the County of Sonoma in support of treatment programs.

1. Comprehensiveness and Formality of Policies Governing Smoking

Definition

A policy governing smoking in the facility and on surrounding property to include: written policy language (including signed agreements, leases, client handbooks, etc.), a definition of who the policy applies to, staff roles in implementing, and how the policy will be integrated into intake workflow and client files (including electronic medical records, if used). A policy may also provide instruction on signage placement, and other practical aspects of implementation. Facilities that provide services inside a building and have no leased, rented, or owned space outside of the building will be considered an "inside office" and that will be taken into consideration in determining their "smoke-free facility status".

Grade Criteria

- A** = A written smoking policy that prohibits smoking on the entire facility including surrounding property for staff, clients, and visitors at **all** times [i.e. no designated smoking areas (DSA)] and/or a written policy that includes time staff is working, whether offsite or traveling via car etc. Policy provisions are included in employee orientation
- B** = A written policy includes an approved DSA with appropriate signage and is enforced for staff, clients, and visitors at **all** times.
- C** = A written policy includes a restriction for smoking within 25 feet of the building(s) for staff, clients, and visitors.
- D** = Smoking policy is unwritten but includes some smoking restrictions.
- F** = No restrictions on smoking (except those required by California law, which prohibits smoking in indoor places of employment).

2. Consistency of Enforcement

The Enforcement grade considers the extent to which the smoking policy is imposed and followed through with consistently. There are five components of enforcement.

Grade Criteria

- A** = A written no smoking policy for the entire outside property includes detailed enforcement protocols and is enforced for staff, clients, and visitors, and all parties are in compliance.
- B** = Smoking policy is enforced for clients, by staff and can include a DSA. Enforcement policy is written into smoking policy.
- C** = Some aspects of the smoking policy are enforced, but others are not, can include a DSA. Enforcement policy may or may not be written into smoking policy.
- D** = Smoking policies are enforced occasionally, but exceptions are made in certain situations, can include a DSA. Enforcement policy is not written
- F** = Enforcement of smoking policies are not enforced for staff or clients.

Bonus Point – *There is no evidence of smoking found for both staff and clients (e.g. smell of smoke on hair or clothes, cigarette packs or lighters visible to public, etc.).*

3. Availability of Cessation and Support Services Implemented

The cessation and supportive services grade is determined by assessing the services available to clients to assist them in becoming smoke free.

Grade Criteria – In order for a facility to effectively reduce tobacco use by clients and staff, it should optimally include four components: (1) the majority of current staff who work directly with clients have received training to provide cessation services; (2) screening of clients for tobacco use; (3) cessation services (either in a group setting or using 1:1 cessation specific services provided onsite or actively referred/facilitated by staff offsite); and (4) nicotine replacement therapy (NRTs) provided or coordinated.

Bonus Point – *Clients are screened for tobacco use and screening is documented in treatment plan.*

The grade for facilities is based on the following scale:

- A** = Facility provides four of the provisions outlined above
- B** = Facility provides three of the provisions outlined above

- C** = Facility provides two of the provisions outlined above
- D** = Facility provides one of the provisions outlined above
- F** = Facility provides none of the provisions outlined above

4. How Information will be used

One of the key Health Action Goals is that Sonoma County Residents do not abuse alcohol or prescription drugs and do not use tobacco or illicit drugs. Our treatment providers are the front-line in making this 2020 goal a reality. This assessment will not only track the contributions that our providers are making toward this goal and help us to recognize our successes in reducing health disparities for this special population, but will also help us identify ways in which we can continue to support the good work that is already underway.

Site Name:	Average number of clients (unduplicated)	Date:
Persons Name:	_____ per year OR	Site Type:
Email:	_____ per month OR	Interest in training information?
Phone:	_____ Per week	Interest in joining BH/AOD Tx group?

Written Policy	Check Yes	Enforcement	Check Yes	Cessation/Support	Check Yes
Written No-Smoking Policy		Written protocols, enforcement, compliance		Staff training available, up to date	
Written Policy, DSA OK		Enforcement written in policy, DSA OK		Cessation available/ active referrals	
Written 25' rule		May be written or oral, DSA OK, some parts enforced		NRTs provided, Rx	
Unwritten w/Restrictions		Not written, DSA OK, exceptions to enforcement times		Cessation Documented in Tx Plan	
Entire Facility Smoke Free - ALL GROUNDS		Oral policy not enforced			
Bonus points given for:		No evidence on site		Screening at intake	

Written, No smoking anywhere	A	Written Protocols, enforcement, compliance	A	Up-to-date staff training	A = 4
Written, DSA ok	B	May/may not be written, DSA OK	B	client screening	B = 3
Written, 25'	C	Parts of policy enforced, DSA OK, written or not	C	cessation/active referral	C = 2
Unwritten, some restrictions	D	At times enforced, exceptions	D	NRTs provided, Rx	D = 1
	F		F		F = 0

Policy Grade _____	Enforcement Grade _____	Cessation Grade _____
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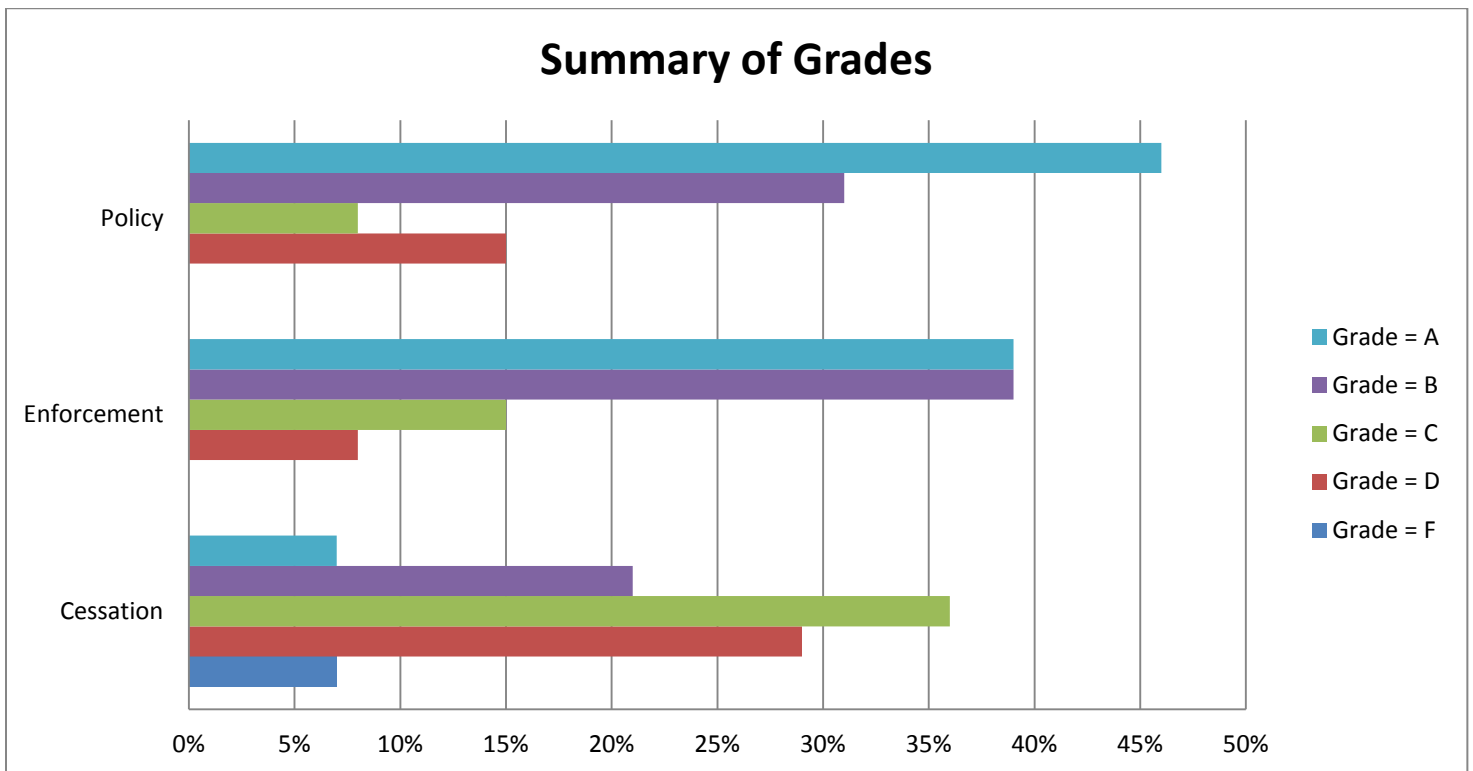


Smoke Free Treatment Assessment 2013: *Outpatient Facilities*

Background: The Smoke Free Treatment Assessment was conducted by phone or in-person interviews by members of the Coalition for a Smoke Free Sonoma County's Alcohol and Other Drug/Behavioral Health Nicotine Treatment Workgroup in 2013. The purpose of the assessment was to establish a baseline, and to offer technical assistance and education to facilities that were determined to need support and could improve the grade. All facilities will be re-assessed in 2014.

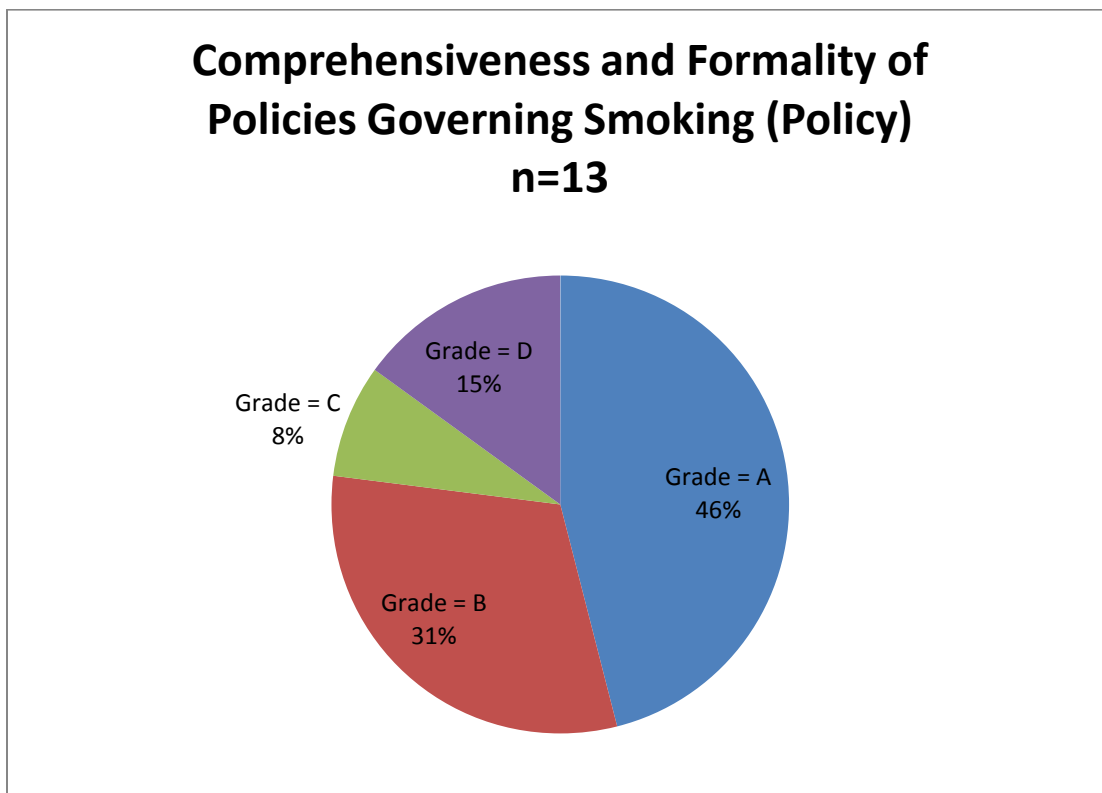
The assessment focused on three areas: 1) **Policies**, assessing any written smoke-free treatment policy, 2) **Enforcement**, looking at consistency and compliance, and 3) **Cessation**, looking at the availability of services in support of cessation.

Overall response rate: 14 out of 24 (or 58.3%) of outpatient facilities were interviewed.



Comprehensiveness and Formality of Policies Governing Smoking

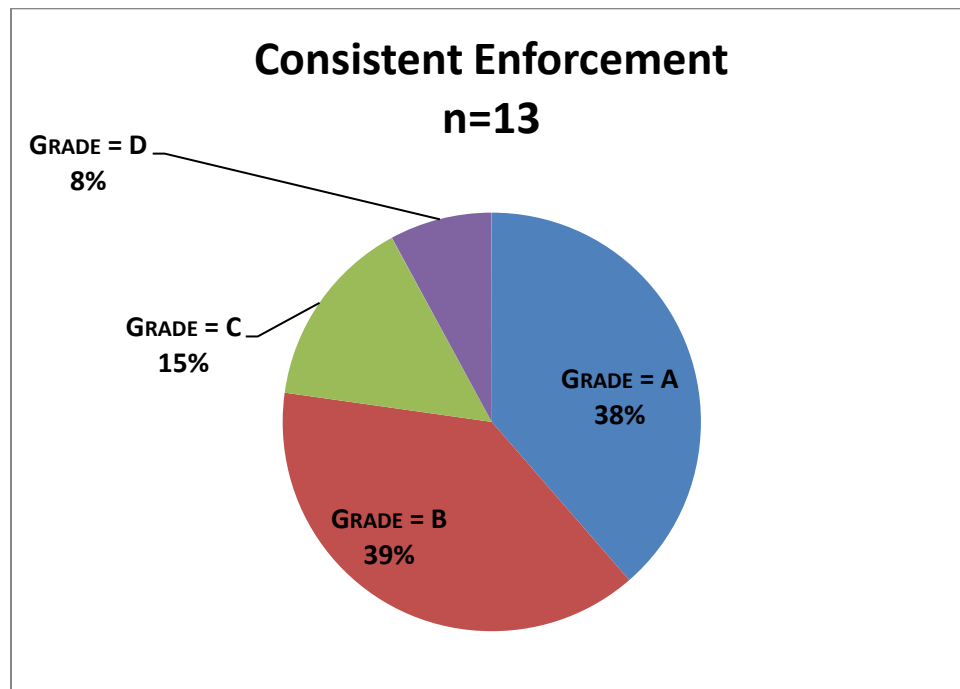
Definition	Grade	n*	%
A written smoking policy that prohibits smoking on the entire facility including surrounding property for staff, clients, and visitors at all times [i.e. no designated smoking areas (DSA)] and/or a written policy that includes time staff is working, whether offsite or traveling via car etc. Policy provisions are included in employee orientation	A	6	46.2
No smoking anywhere on grounds except in an approved DSA (which is noted in the policy) with appropriate signage, and is enforced for staff, clients, and visitors at all times.	B	4	30.8
A written policy includes a restriction for smoking within 25 feet of the building(s) for staff, clients, and visitors.	C	1	7.7
Smoking policy is unwritten, but includes some smoking restrictions not codified in policy.	D	2	15.4
No restrictions on smoking (except those required by California law, which prohibits smoking in indoor places of employment).	F	0	---



The Department of Health Services, Health Policy, Planning, and Evaluation Division is grateful for staff who participated in this survey and the AOD/BHNTx Work Group, a subcommittee of the Tobacco Coalition. For more information, please contact Ellen Swedberg (Ellen.swedberg@sonoma-county.org). <http://www.sonoma-county.org/health/topics/smokefreeinfo.asp>

Consistent Enforcement

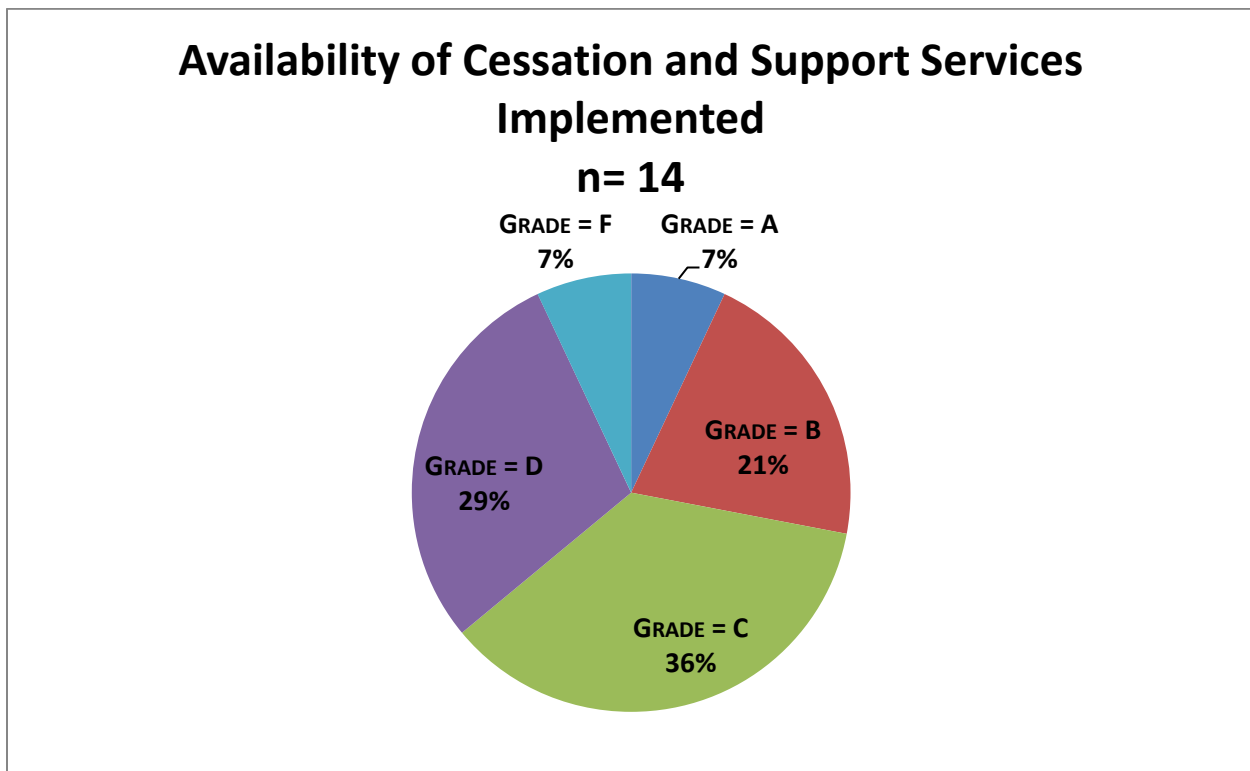
Definition	Grade	n*	%
A written no smoking policy for the entire outside property includes detailed enforcement protocols, is enforced for staff, clients, and visitors, and, all parties are in compliance. There is no evidence of smoking onsite.	A+	1	7.7
A written no smoking policy for the entire outside property includes detailed enforcement protocols, is enforced for staff, clients, and visitors, and, all parties are in compliance.	A	4	30.8
13Smoking policy is enforced for clients, by staff, and can include a DSA. Enforcement policy is written into smoking policy.	B	5	38.5
Some aspects of the smoking policy are enforced, but others are not. A DSA can be included. Enforcement policy may or may not be written into smoking policy.	C	2	15.4
Smoking policies are enforced occasionally, but exceptions are made in certain situations. Can include a DSA. Enforcement policy is not written.	D	1	7.7
Smoking policies are not enforced for staff or clients.	F	0	---



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Availability of Cessation and Support Services Implemented

Definition	Grade	n	%
Facility provides the following: 1. Up-to-date staff training, 2. client screening, 3. cessation/active referral, 4. NRTs provided or coordinated	A	1	7.1
Facility provides 3 of the provisions above	B	3	21.4
Facility provides 2 of the provisions above	C	5	35.8
Facility provides 1 of the provisions above	D	4	28.8
Facility provides none of the provisions above	F	1	7.1



Note: Totals may not sum to 14 because of incomplete or missing data.

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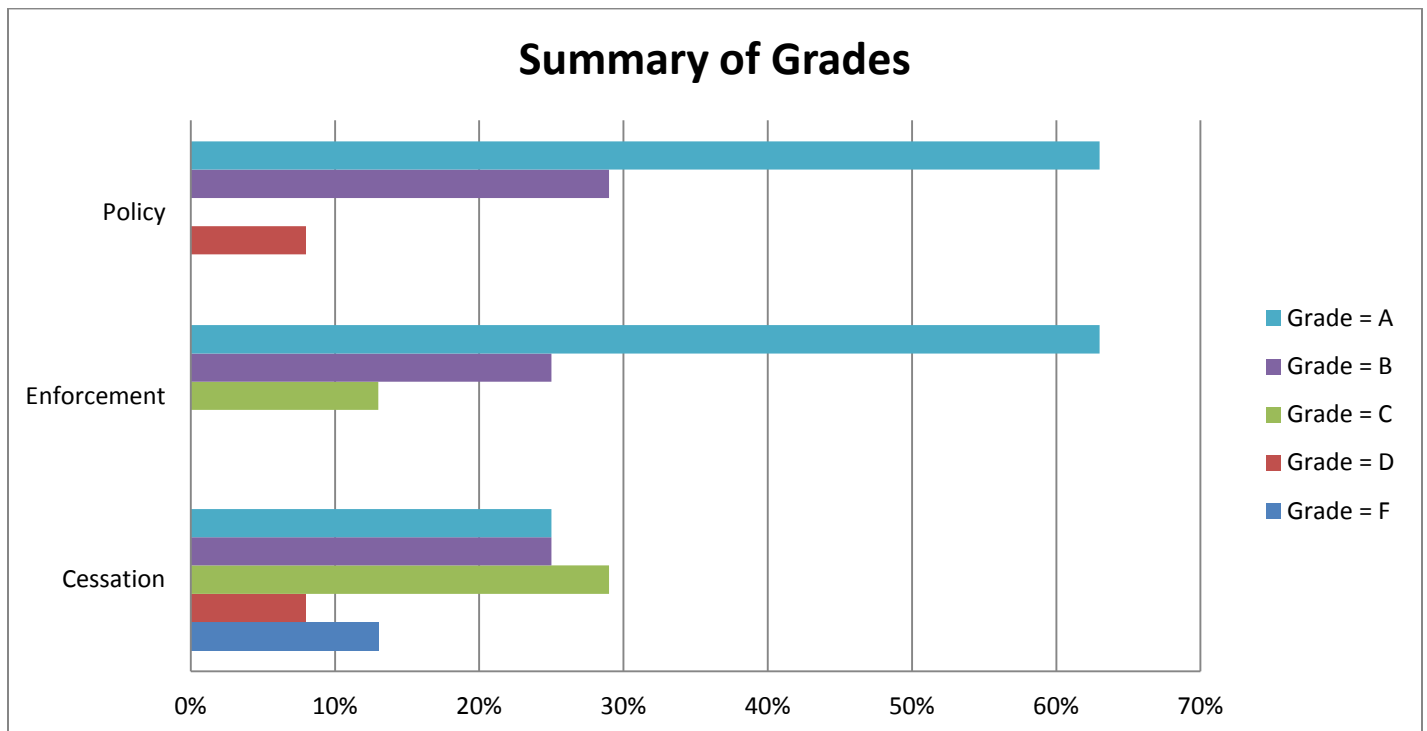
Smoke Free Treatment Assessment 2013: *Residential Facilities*

Background: The Smoke Free Treatment Assessment was conducted by phone or in-person interviews by members of the Coalition for a Smoke Free Sonoma County's Alcohol and Other Drug/Behavioral Health Nicotine Treatment Workgroup in 2013. The purpose of the assessment was to establish a baseline, and to offer technical assistance and education to facilities that were determined to need support and could improve the grade. All facilities will be re-assessed in 2014.

The assessment focused on three areas: 1) **Policies**, assessing any written smoke-free treatment policy, 2) **Enforcement**, looking at consistency and compliance, and 3) **Cessation**, looking at the availability of services in support of cessation.

Total Count: 28 facilities

Overall response rate: 24 out of 28 (or 85.7% of) residential facilities responded to the assessment

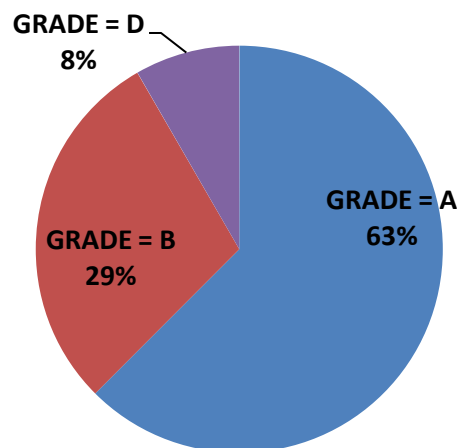


Comprehensiveness and Formality of Policies Governing Smoking

Definition	Grade	n	%
A written smoking policy that prohibits smoking on the entire facility including surrounding property for staff, clients, and visitors at all times [i.e. no designated smoking areas (DSA)] and/or a written policy that includes time staff is working, whether offsite or traveling via car etc. Policy provisions are included in employee orientation	A	15	62.5
No smoking anywhere on grounds except in an approved DSA (which is noted in the policy) with appropriate signage, and is enforced for staff, clients, and visitors at all times.	B	7	29.2
Written policy notes there are no DSAs, but smoking is allowed beyond 25 feet perimeter of the building(s) for staff, clients, and visitors.	C	0	---
Smoking policy is unwritten, but includes some smoking restrictions not codified in policy.	D	2	8.3
No restrictions on smoking (except those required by California law, which prohibits smoking in indoor places of employment).	F	0	---

Comprehensiveness and Formality of Policies Governing Smoking (Policy)

n=24



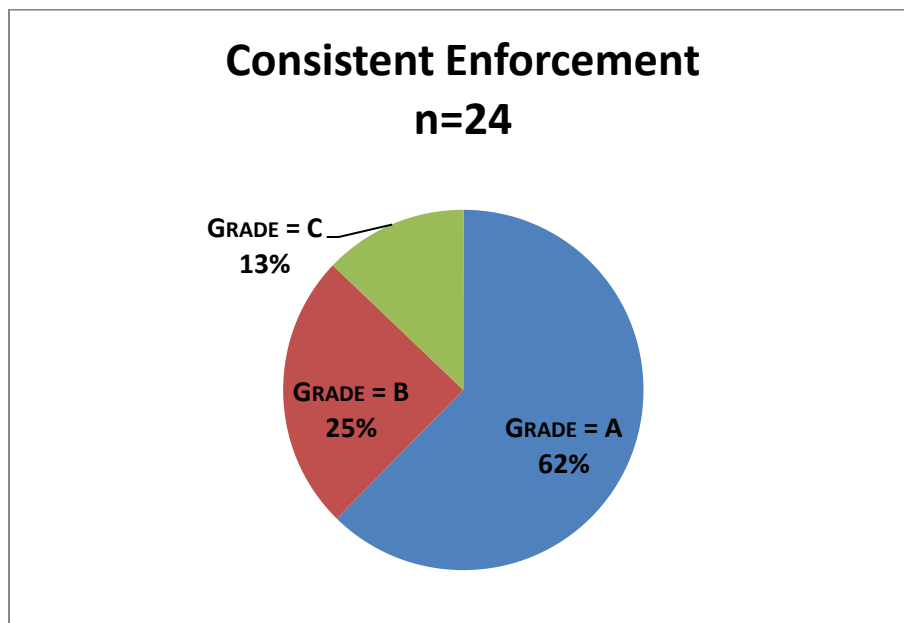
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<http://www.sonoma-county.org/health/topics/smokefreeinfo.asp>

Consistent Enforcement

Definition	Grade	n	%
A written no smoking policy for the entire outside property includes detailed enforcement protocols, is enforced for staff, clients, and visitors, and, all parties are in compliance. There is no evidence of smoking onsite.	A+	3	12.5
A written no smoking policy for the entire outside property includes detailed enforcement protocols, is enforced for staff, clients, and visitors, and, all parties are in compliance.	A	12	50.0
Smoking policy is enforced for clients, by staff, and can include a DSA. Enforcement policy is written into smoking policy.	B	6	25.0
Some aspects of the smoking policy are enforced, but others are not. A DSA can be included. Enforcement policy may or may not be written into smoking policy.	C	3	12.5
Smoking policies are enforced occasionally, but exceptions are made in certain situations. Can include a DSA. Enforcement policy is not written.	D	0	---
Smoking policies are not enforced for staff or clients.	F	0	---

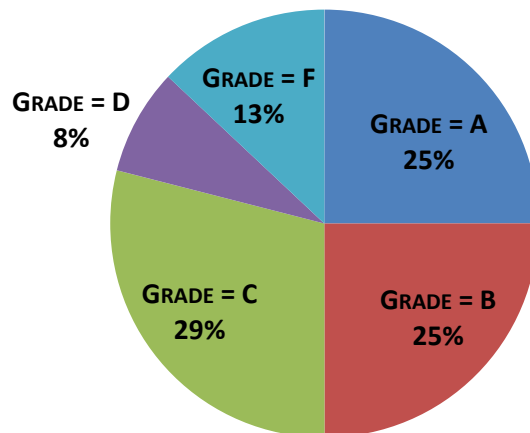


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Availability of Cessation and Support Services Implemented

Definition	Grade	n	%
Facility provides the following: 1. Up-to-date staff training, 2. client screening, 3. cessation/active referral, 4. NRTs provided or coordinated	A	6	25.0
Facility provides 3 of the provisions above	B	6	25.0
Facility provides 2 of the provisions above	C	7	29.2
Facility provides 1 of the provisions above	D	2	8.3
Facility provides none of the provisions above	F	3	12.5

Availability of Cessation and Support Services Implemented n= 21



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