
Strategic Prevention Framework
State Incentive Grant
An Overview of Requirements and
SPF Steps One and Two
States

Presented by
CSAP

SPF SIG Goals

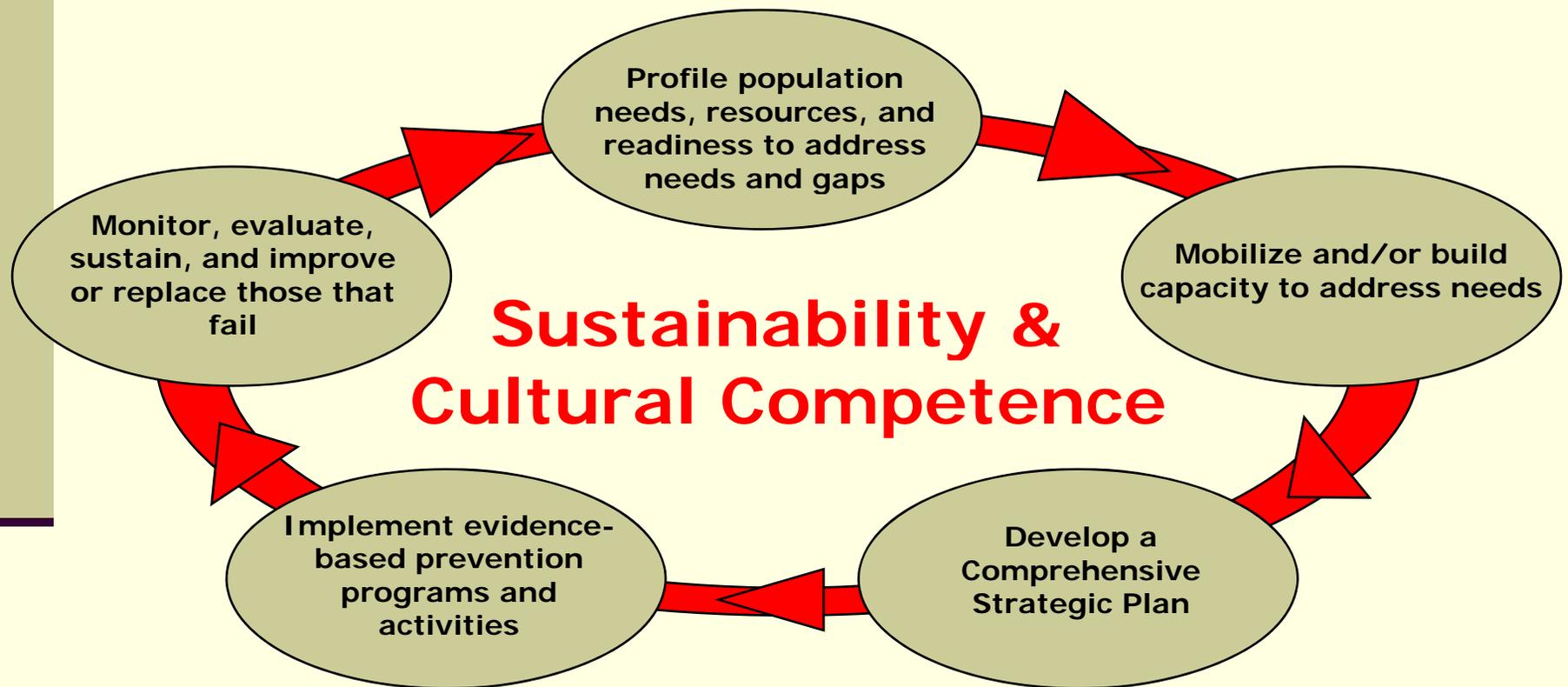
- Prevent the onset and reduce the progression of substance abuse, including childhood and underage drinking
- Reduce substance abuse-related problems in communities
- Build prevention capacity and infrastructure at the State- and community- levels

“SAMHSA envisions the SPF SIGs being implemented through working partnerships between States and communities”

Characteristics of the SPF SIG

- Use of the Strategic Prevention Framework
- Data-driven outcomes-based prevention
- Community level efforts funded by the SPF SIG must include all five steps of the SPF
- At least 85% of the total grant award must go toward community level efforts
- Grantees are required to implement evidence-based programs, practices and policies
- Community is the unit of interest and analysis
- Emphasis on a strong State and Community Partnership

SAMHSA's Strategic Prevention Framework Steps

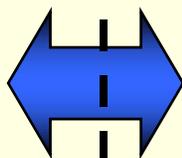


Outcomes-Based Prevention

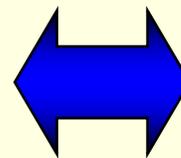
- Effective prevention is grounded in a solid understanding of the alcohol, tobacco, and other drug **consumption and consequence patterns** that need to be addressed.
- Understanding the nature and extent of consumption (e.g., underage drinking) and consequences (e.g., motor-vehicle crashes) is critical in order to align prevention strategies to address identified priorities.

Outcomes-Based Prevention

Substance-Related Consequences & Consumption

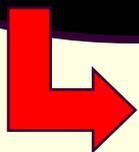


Risk and Protective Factors/
Causal Factors



Strategies
(Programs,
Policies,
Practices)

Determine
State Priorities



*Allocate
SPF SIG
dollars*



Communities: Implement SPF to determine/implement strategies to address priorities

Very Important!!!

- This is not a grant, it is a cooperative agreement, which requires significant government involvement.
- The funds are intended to expand an existing or build a new Substance Abuse Prevention infrastructure that can be sustained long after the cooperative agreement has ended.
- The SPF SIG is a Prevention Infrastructure and Services Cooperative Agreement and SAMHSA will not support Substance Abuse Treatment or Mental Health services with these funds. **(i.e. relapse prevention is part of a substance abuse treatment plan and cannot be supported with SPF SIG funds).**

State Milestones

- By the end of the first 4 months
 - SPF SIG Project Director and Staff hired
 - SPF SIG Advisory Council is up and running
 - Needs Assessment is complete
 - Evidence-based Practices (EBP) Workgroup has been identified
- By the end of the first 9 months
 - SPF SIG Strategic Plan has been submitted and approved by CSAP
 - Subrecipient funding mechanism has been approved by CSAP
 - Subrecipients are in the process of being funded

Advisory Council

- States must have an Advisory Council in place to oversee implementation of the SPF SIG
- State Advisory Councils must include at least one representative from the following:
 - The Office of the Governor or Chief Executive Officer
 - A core group of drug and alcohol-related agencies identified by the State (including but not limited to public health, education, criminal justice, behavioral/mental health)
 - A representative from SAMHSA/CSAP (the Government Project Officer)
 - The Advisory Council Chair must be appointed by the Governor or Chief Executive Officer.

Roles and Responsibilities of the Advisory Council

- The Advisory Council must be involved in every aspect of the implementation of the SPF SIG Cooperative Agreement and work in collaboration with the EPI workgroup.
- States must define the specific roles of the Advisory Council. For example:
 - Types of sub-committees
 - Duties of sub-committees
 - Structure of sub-committees
- In addition, the Advisory Council must develop timelines for completion of the Strategic Plan and share those timelines with the Government Project Officer.

SPF SIG Strategic Plan

- SPF SIG grantees are required to develop and submit a Strategic Plan AND receive written approval of the Plan by CSAP **before any SPF SIG funds are provided to community-based organizations**
- **The Strategic Plan should:**
 - Clearly describe the State's prevention priorities, the processes used to define these priorities and the State's proposed approaches for addressing them
 - Clearly show how data-driven decision-making yielded priorities
 - Clearly show how proposed activities and allocation mechanisms are positioned to address the identified priorities
- The Strategic Plan must be data-driven and focused on addressing the most critical substance abuse prevention needs **in the State.**

Components of SPF SIG Planning Process

- State Strategic Planning Using Strategic Prevention Framework which includes resource allocation and implementation of the SPF to support communities
- Comprehensive Strategic Community Plans for SPF SIG implementation

SPF Step One

Conducting a State-wide Needs
Assessment

Epidemiology Workgroup

- Step one begins with the work of the Epidemiology Workgroup
- States must have an Epidemiology Workgroup in place.
- Epidemiology is the study of the distribution and determinants of health-related events in populations.
 - How often health-related events occur in different groups of people and why

Functions of the Epidemiology Workgroup

- The EPI workgroups should be comprised of a network of agencies, organizations, and individuals with expertise about alcohol, tobacco, and other drugs (ATOD) data and prevention issues.
- They should conduct careful, systematic reviews and analysis of the data on the causes and consequences of substance use for the purpose of guiding prevention decision-making.
- Over time, they support the development of systems to monitor substance abuse and related consequences and use such data to drive effective and efficient use of prevention services.

Functions of the Epidemiology Workgroups (Cont.)

- Developing a key set of indicators to describe the magnitude and distribution of substance abuse related consequences and consumption patterns across the State/Territory/Tribe.
- Collecting, analyzing, interpreting, and communicating these data through the development of an epidemiological profile.
- Recommending prevention priorities for State resources based on data analyzed and interpreted through the profiling process.

Functions of the Epidemiology Workgroups (Cont.)

- Recommending the allocation of resources to populations in need for established priorities.
- Developing a systematic, ongoing monitoring system for substance-related consumption patterns and consequences to track progress on addressing prevention priorities, detect trends, and use such information to redirect resources as needed.

Epidemiology Requirements

- State Requirements
 - Maintain and build on current epidemiology workgroup
 - Build on existing Epidemiology Profile
 - Collect additional data as needed
 - States must select or develop a prioritization process that may include other criteria
 - Based on data and other criteria the State chooses their priority need(s)
 - EPI Workgroup and the Advisory Council must agree on priority need(s)

Needs Assessment

- States will develop a Needs and Resource Assessment that includes the following:
 - A summary of substance abuse consumption and related consequences identified in the EPI Profile.
 - Identification and description of SPF SIG Priorities.
 - Identification of significant gaps in the current prevention system.
 - Readiness to act at all levels.

- The Needs and Resource Assessment feeds into the SPF SIG Strategic Plan

Needs Assessment

Assessing the Problem

- States must provide:
 - Explanation of data indicators used to assess consumption and consequences
 - Discussion of policies, procedures, and processes that were considered or were utilized to identify and collect these indicators.
 - Describe in appropriate detail relevant consumption patterns and consequences, populations, geographic areas.

Needs Assessment

Assessing the Problem

- States must:
 - Describe the substance abuse prevention systems that are in place to include:
 - Prevention infrastructure, in terms of personnel, resources and systems.
 - Significant gaps in the current infrastructure
 - The capacity to implement the strategic prevention framework (SPF).
 - The capacity to collect, analyze, and report data to support data-driven decision-making in each step of the SPF.

Needs Assessment

Assessing the System

- States must:
 - Describe the substance prevention systems that are in place at the sub recipient level.
 - The local prevention infrastructure in place (i.e. coalitions, resource centers, State funded prevention providers, etc.)
 - The effectiveness of the local prevention infrastructure in place.
 - The capacity to implement the strategic prevention framework.
 - The capacity of local providers to collect, analyze and report on data.

Needs Assessment

SPF SIG Priorities

- States must provide the criteria and rationale for SPF SIG Priorities to include the following:
 - Explain the rationale you used to define critical need based on substance related consequence and consumption data presented in the epidemiological profile.
 - Areas of “critical need” will take into consideration specific consumption patterns, consequences, populations, geographic areas, etc.
 - Describe any additional criteria (e.g., program resources, readiness, capacity, political will, etc.) that were used to determine priority targets.

Needs Assessment

SPF SIG Priorities (Cont.)

- Explain the rationale for use of each criterion.
- A description of procedures and/or processes that were utilized in the application of these criteria.

Needs Assessment

SPF SIG Priorities

- States must provide a description of the SPF SIG priorities that includes the following:
 - A detailed description of the SPF SIG priorities that has been identified as a result of the EPI assessment and prioritization process.
 - The procedures and processes that were utilized in order to determine the final SPF SIG priorities.
 - The individual(s) or group who made the final decisions regarding these SPF SIG priorities.

- End of Step One
- **Note: All of the information required of the needs assessment must be included in the needs assessment narrative of the SPF SIG Strategic plan submitted to CSAP for approval.**

SPF Step 2

Building State and Community Prevention
System Capacity

Step 2. Capacity Building

Capacity Building involves:

- Mobilizing resources within a geographic area (state/community).
- Engaging key stakeholders, coalitions, and service providers to plan and implement sustainable prevention efforts in Steps 3-4 of the SPF.
- Developing cultural competence and building on the existing prevention infrastructure.
- Mobilizing both financial and organizational resources

Step 2. Capacity Building (cont'd)

Capacity Building involves:

- The ongoing development of State and Community level capacity as part of each of the five steps of the SPF
- Creating partnerships.
- Developing readiness and leadership.
- Strengthening capacity through education and training.
- Focusing on sustainability and evaluation capacity.

SPF Step #2 Requirements

Mobilize and/or build capacity to address needs

State Requirements

- Engage key stakeholders across the State
- Engage key stakeholders within the target communities that are selected for capacity building planning and implementation activities

Key milestones of Step 2 include:

- Creation of sustainable partnerships
- Introduction of training and education to promote readiness, cultural competence, leadership, and data collection, monitoring, and evaluation capacity
- Meetings and workshops with key stakeholders, community coalitions, and service providers

Key outcomes for Step 2 :

- A State prevention system with the capacity to plan and address the needs identified in Step 1.
- The infrastructure to implement and sustain the SPF.

SPF Step #2 Requirements

Mobilize and/or build capacity to address needs

Community Requirements

- Engage key stakeholders at the Community level to plan and implement successful prevention activities that will be sustained over time
- Key tasks may include:
 - Convening community leaders and stakeholders
 - Building coalitions
 - Training stakeholders, coalitions, and service providers
 - Organizing agency networks
 - Leveraging resources

Capacity Building

- Additional capacity activities may include:
 - Develop and implement a surveillance and monitoring system by the grantee (State/Territory);
 - Develop criteria for evidence-based programs, practices and policies;
 - Developing and implementing a training and TA system;
 - Develop an evidence-based workgroup;
 - Develop and implement a workforce development plan; and
 - Develop, enhance and/or implement a needed data infrastructure.

Data Capacity Building

- Data Capacity Building includes:
 - Clarifying the role of the Epidemiological Workgroup throughout the remaining 5 years of the grant, which may include the following:
 - Discover and determine ways to fill gaps in data
 - Identify additional priorities
 - Consistently update and revise the EPI Profile
 - Work with subrecipient/communities to determine/identify intervening variables.
 - Develop a data depository.
 - Monitor consequence and consumption patterns over time.
- End of Step Two

FREQUENTLY ASKED QUESTIONS LISTSERVE

Webinarquestions@samhsa.hhs.gov

Please include your name in the subject line and body of the text when submitting your questions.