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# **Strategic Prevention Framework State Incentive Grant Cohorts 3 & 4**

## **Community-Level Instrument, Parts I and II Frequently Asked Questions (FAQ)**

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Developed by:

Data Analysis Coordination and Consolidation Center (DACCC)

For:

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## FREQUENTLY ASKED QUESTIONS (FAQ) ABOUT THE COMMUNITY-LEVEL INSTRUMENT (CLI), PARTS 1 AND II

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Below are the FAQs for the CLI Parts I and II. Questions and answers about specific items appear in the same order as the items do on the instrument. Specific items can also be located by doing a text search (ctrl + F) of this document. This document will be updated and disseminated regularly as additional questions are submitted by grantees.

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## **CLI Part I**

### **Selecting the Reporting Period**

**Question:**

One of our subrecipients opened the CLI Part I to begin data entry and tried to select the correct reporting period, but the drop-down list only displayed the previous reporting period (and not the current period). What should they do?

**Answer:**

If a subrecipient's CLI for the previous period was not submitted to and accepted by the grantee, the previous reporting period will remain the only period accessible to the subrecipient. If the subrecipient did enter data for the previous reporting period, the grantee should determine whether the CLI was never submitted to the grantee, or whether the subrecipient submitted to the grantee but the grantee did not yet accept the submission. If a subrecipient was delinquent in entering their data for the previous reporting period, they will need to first enter their data for the previous period and submit the CLI before they will be able to access the CLI for the current period.

It is possible that a subrecipient was correct in not submitting data— for example, the subrecipient was just selected/funded during the current period and therefore would not have submitted a CLI Part I for the previous period. In these cases, the grantee should email DITIC Support (DiticSupport@kitsolutions.net) to let them know that the record for the previous reporting needs to be removed. Once DITIC has removed the previous reporting period, the subrecipient should be able to access the current period.

### **Time period (with reference to Item 16)**

**Question:**

Our subrecipients started working on assessment, data collection, and capacity development prior to receiving funding at the local level. The state provided technical assistance to help them begin implementing the SPF steps, but direct funding to subrecipients did not occur until later. In the CLI Part I, should subrecipients only report activities that began after they received funding?

**Answer:**

No. The subrecipients should report on SPF SIG work that they conducted since the time of the grantee award, rather than since the time of the subrecipient funding. We are aware that in some instances, subrecipient SPF implementation began prior to the date that subrecipient began receiving funds (reported in Item 16).

### **Items 23-36**

**Question:**

When a sub-recipient is partnering with 2 coalitions, how should they record responses about the 2 different coalitions in questions 23-26?

**Answer:**

If one of the 2 coalitions is more primary or more central to the efforts of the subrecipient, then the subrecipient should focus on this coalition.

If neither coalition is more central to the subrecipient's efforts, then the subrecipient should report across the 2 coalitions. First, in question 23 the subrecipient should indicate in the text field that they are reporting on 2 different coalition partners. In questions 24-32, the subrecipient should report coalition functioning on average across the 2 coalitions. For question 33 (the date the coalition was established), we would like the subrecipient to enter the date the oldest of the 2 coalitions was established. In questions 34-36, the subrecipient should report an average across the 2 coalitions.

**Item 36****Question:**

Can a single individual represent multiple agencies or sectors within a coalition? We are not referring to cases in which someone from an agency also happens to be a parent, but the case in which a single individual really does represent more than one sector. We weren't sure because in that case, there could be more sectors represented than there are members on the coalition.

**Answer:**

Yes, it is possible for this item that a single individual could represent more than one sector within the coalition, resulting in having more sectors represented than there are coalition members.

**Item 54****Question:**

On the CLI Part I, question 54, the example given in the QxQ guide for "pregnant Latina women" is a little confusing. It sounds as if a community targeting "pregnant Hispanic women" should select both "Pregnant Women" and "Hispanic" on this question instead of writing "pregnant Latina women" under "Other." Is that correct?

**Answer:**

You are understanding correctly that the intent is to use existing categories rather than "Other" even if the actual target population is a combination of 2 existing categories.

**Items 66-67****Question:**

For CLI Part I, question 66-67, we have several questions:

A) Question 66 asks if the sub-recipient has "identified" key stakeholders to participate. Is it enough that partners may have been identified, even if they have not yet been contacted or participated in the project?

B) The subheading for this section is Relationship Building. Does it count as relationship building if the subrecipient is partnering with a pre-existing coalition?

C) If a stakeholder organization is participating in the subrecipient community coalition (as indicated in the answer to question 36), is that enough of a relationship to say that the subrecipient has partnered with them (item 67)?

**Answer:**

A) Yes, if the subrecipient has identified stakeholders but has not yet partnered with them, they may answer “yes” to Item 66. However, in Item 67, the subrecipient should only include those organizations with which they have actually begun partnering during the reporting period.

B) Yes, this would count.

C) Yes, if an organization is participating in the subrecipient community coalition, the subrecipient can list them as a partnering organization in Item 67.

**Item 72**

**Question:**

In item 72, would subrecipients include any groups that may have provided some input? Or are you really looking for those groups who actually worked to develop this plan?

**Answer:**

We are looking for those people or groups that were actually involved in developing and writing the strategic plan.

**Section 5D: Items 77–163**

**Question:**

For Section 5D on the CLI Part I, we are assuming that interventions refers only to SPF funded interventions, not all prevention interventions in the community. Is that correct?

**Answer:**

Not quite. While it is true that all existing prevention interventions occurring in the community would not be included in the CLI Part I, it is not necessarily true that the interventions in the CLI Part I would be exclusively those funded by SPF. Rather, the interventions and strategies listed in CLI Part I (and in the CLI Part II subforms) should be those that were selected on the community’s SPF strategic plan as the result of the assessment steps identifying community needs and resource gaps. It is possible that a strategy could be selected through the SPF process, but the community has identified a way to supplant or supplement SPF funding for the strategy with external funds. This strategy would be included in the CLI.

**Items 79a-I**

**Question:**

For CLI question 79a-I, there is an option for "Not applicable. This type of policy was in place prior to receipt of SPF SIG funding." We wondered what to do in the situation where the policy was in place prior to receipt of SPF SIG funding, but would not have been selected for

SPF SIG because it wasn't applicable to the community's priorities and goals. Would the community select "No" or "Not applicable - policy already in place?"

**Answer:**

In this instance, the subrecipient should select "Not applicable. This type of policy was in place prior to receipt of SPF SIG funding."

**Item 163**

**Question:**

We are confused about when an activity should be listed as an intervention under the strategy type "Community-Based Processes" and when it should be just an activity described in the Capacity Building section (Section 5B, questions 59-69). Can you please help us better understand the distinction between what counts as a capacity building activity (and should be put under the capacity section) and what counts as a prevention strategy (and listed for question 163 and a CLI Part II subform)?

**Answer:**

The intended distinction is between activities that exclusively build capacity (such as awareness-raising, recruitment, providing information about services) and those that are intended to train individuals to influence substance abuse or to change the ways in which services and programs are provided, change the way the substance abuse prevention system/processes work, etc.

Let's use the example of a community making presentations to PTA meetings. If, for example, the community's strategic plan includes PTA presentations as a method of providing participants with substance abuse prevention skills, then that community may consider this an intervention. On the other hand, if the community group was invited to make the presentations in order to provide information about youth activities occurring through the project, then this would be more of a capacity building activity than an intervention. In other words, it may depend on the project's strategic plan and on the purpose of the activities.

**Item 163**

**Question:**

One of our subrecipients conducted a cultural competency training. I'm assuming that the training is not considered a strategy captured in question 163?

**Answer:**

A training on cultural competency itself would not be considered an intervention or strategy unless the focus was on preventing or lowering substance use or substance use-related problems. If the training was conducted to enhance your organization's capacity, the subrecipient would indicate this in the Capacity Building section of the CLI (questions 60 & 61).

### **Item 163**

**Question:**

If establishing pill drop-off boxes is the strategy, and they do a media campaign advertising the drop off boxes, is the media campaign considered part of the strategy, or its own strategy?

**Answer:**

Media efforts intended to promote or recruit participants for a strategy should be considered part of that strategy rather than a separate strategy.

### **Item 163**

**Question:**

What strategy type would you select for a strategy that aims to change the climate or environment within schools? For example, a strategy focused on staff trainings to enhance the interpersonal skills of school personnel (principals to janitors) in hopes of improving the school environment and facilitating student/family bonding to the institution.

**Answer:**

From what you have described, the closest match for the strategy would be Environmental Strategy. The strategy does not fit perfectly into any of the strategy types since the intent is to prevent problem behaviors through changing the school environment (standards, codes, and attitudes) and not the broader community environment, but Environmental Strategy is the closest fit. Similarly, efforts to change the school environment through changes in school policy would also fall under Environmental Strategy.

### **Item 163: “Status” field**

**Question:**

In the on-line instrument, under Q163: Manage Implemented Intervention Strategies, a subrecipient was entering their Underage Drinking Education program, an activity that recurs every year. They were wondering about the “Status” options, which are Active, Complete and Discontinued. There’s no match in the CLI hard copy or QXQ, so I wanted to be sure I was giving the subrecipient the right info. I believe since it is recurring, even though completed for the year, it should be considered active. Is this correct?

**Answer:**

The strategy “status” options serve an important function within the on-line system: Designation of a strategy as “Active” lets the system know that the subrecipient needs to enter CLI Part II data for this strategy during that reporting period. So if the subrecipient has CLI Part II data to enter, they will need to report the status as “Active” in order for the system to allow them to enter CLI II data. If, however, in a future reporting period, the subrecipient has no CLI II data to report for that strategy because the strategy was not implemented during that period, then they will need to change the designation to “Complete” (or “Discontinued” if the strategy has been discarded). In this hypothetical

future period, if the status is not changed to “Complete” or “Discontinued” the system will not allow the subrecipient to submit the CLI Part II, as it will expect them to complete a subform for that strategy. If, in a subsequent reporting period, the subrecipient has new CLI II data to report, he/she will then need to change the status back to “Active” again.

### **Item 163: Deleting incorrect interventions/strategies**

**Question:**

When we began reviewing the CLI’s submitted to us by our subrecipients, we found that a subrecipient misunderstood what should be entered in Q163 for interventions and strategies. Instead of entering their overall interventions, they entered every single activity they conducted— every meeting, presentation, event, etc.--as a separate intervention. Because they added strategies for each “intervention” they now can’t delete these incorrect entries from the system in order to start over. What should they do?

**Answer:**

This misunderstanding does occasionally occur when subrecipients begin entering CLI data; for this reason we have found it advisable for grantee evaluators to work closely with subrecipients to identify their interventions/strategies and strategy types before they begin data entry. Interventions/strategies should, of course, be consistent with the subrecipient’s strategic plan and logic model.

If the subrecipient has entered only CLI Part I data, they must first delete any strategies connected to the intervention and then they will be able to delete the intervention. If the subrecipient has already entered CLI Part II data for the strategy, they must first go to the CLI Part II, delete any demographic records for the strategy, and then delete the subform for the strategy. Now they can return to CLI Part I, delete any strategies connected to the intervention, and then delete the intervention.

### **Item 177**

**Question:**

Would the response option “Participant Recruitment” include recruitment of coalition members or only recruitment for interventions?

**Answer:**

The intent of this response option is recruitment of participants for strategies/interventions. Technical assistance in recruitment of coalition members should be placed under “Other.”

## CLI Part II

### Selecting the Reporting Period

**Question:**

One of our subrecipients opened the CLI Part II to begin data entry and tried to select the correct reporting period, but the drop-down list only displayed the previous reporting period (and not the current period). What should they do?

**Answer:**

If a subrecipient's CLI for the previous period was not submitted to and accepted by the grantee, the previous reporting period will remain the only period accessible to the subrecipient. If the subrecipient did enter data for the previous reporting period, the grantee should determine whether the CLI was never submitted to the grantee, or whether the subrecipient submitted to the grantee but the grantee did not yet accept the submission. If a subrecipient was delinquent in entering their data for the previous reporting period, they will need to first enter their data for the previous period and submit the CLI before they will be able to access the CLI for the current period.

It is possible that a subrecipient was correct in not submitting data— for example, the subrecipient had not yet begun implementation of strategies and had therefore only submitted a CLI Part I. In these cases, the grantee should email DITIC Support (DiticSupport@kitsolutions.net) to let them know that the record for the previous reporting needs to be removed. Once DITIC has removed the previous reporting period, the subrecipient should be able to access the current period.

### Items 9-13

**Question:**

In questions 9-13, the table says “indicate the areas being served by this prevention strategy and the estimated population of this area.” One of our subrecipients is implementing a parent education program at locations throughout the county. They are targeting only parents of children ages 12-17 and want to educate 50 parents over the first year. My question then has two parts:

A) What should we enter for the zip code column (question 11)? Can we simply enter “countywide” or do we need to have them enter every zip code in the county on a separate row?

B) For the “estimated population for the area described” column (question 13), should the subrecipient enter the total number of people living in the county, the population for those parents who are eligible to participate in the intervention (i.e., parents of 12-17 year olds in the county), or the number of people that they anticipate serving for this strategy (i.e., 50 parents over a one year time period)?

**Answer:**

A) Subrecipients that are implementing strategies countywide can indeed enter the name of a specific county in item 10 and then write “countywide” in item 11.

B) For this particular item, the estimated population size should reflect the geographic area served, rather than the size of the targeted subpopulation. For a strategy implemented countywide, the subrecipient should record the population size of the county.

#### **Item 14**

**Question:**

When adding overhead and salary costs into the total cost of the strategy, should we include overhead and salary that are a standing part of the SPF effort, or just those that are brought on for that specific strategy (i.e., salary for someone hired for just that strategy v. someone who works on all SPF strategies and SPF process; overhead for space needed specifically for the strategy v. overhead of agency working on SPF generally).

**Answer:**

Communities should include only costs specific to that strategy, to the extent that it is possible to tease this out. For instance, the cost could include salary for someone who works on all SPF strategies, but should include only the portion of the salary that corresponds to the proportion of that person's work time that is dedicated to this particular strategy.

#### **Items 17 and 27**

**Question:**

A subrecipient is serving a Hispanic population through implementing an evidence-based strategy that was not designed for or tested with Hispanic populations. We understand that this would be considered a change in target population. Would changing the content to better fit a community's Hispanic population also be recorded as an adaptation for cultural appropriateness? If you change the setting to be more culturally appropriate, does that count as an adaptation in setting, cultural appropriateness, or both?

**Answer:**

The changes you describe do sound like what we would consider adaptations, and a "yes" response to item 17 would therefore be appropriate. In the case of the content and setting changes, you would list these under 19 and 26 as well as under item 27. The cultural appropriateness question (item 27) can easily overlap with the previous adaptation questions, as it addresses the question "Why were changes made?" while the previous questions look at "In what ways was the program changed?"

#### **Items 38 and 54**

**Question:**

Can you explain the difference between Universal Direct and Universal Indirect strategies? The CLI Part II QxQ guide does not distinguish between the two different types of Universal strategies.

**Answer:**

*Universal direct strategies* serve an identifiable group of participants (thus, the strategies

are direct) who have not been targeted on the basis of individual risk (thus, the strategies are universal). Universal direct strategies may involve interpersonal and ongoing/repeated contact. Examples include school curricula, afterschool programs, and law enforcement or server trainings.

*Universal indirect strategies* also serve persons who have not been targeted on the basis of individual risk, and thus are universal. However these strategies support population-based programs and environmental strategies, rather than serving an identifiable group of participants (thus, the strategies are indirect). Examples of strategies include establishing ATOD policies, conducting media campaigns, and modifying ATOD advertising practices.

### **Racial Demographics: Items 48, 64, 77, 99, 107, and 117**

#### **Question:**

We are a tribal grantee and primarily serve Native Americans. Many of the people we serve are of mixed heritage, such as Native American and White. Since it's clear from the instructions that we cannot put participants in more than one race category in filling out this section, we are not sure what to do. We are concerned that categorizing our service recipients as Multiracial makes them invisible as Native Americans.

#### **Answer:**

This item is intended to capture participants' primary self-identification, rather than a more detailed breakdown of their heritage. If participants self-identify as Multiracial, this would be an appropriate category for those individuals. Participants who self-identify as Native American should be included in the American Indian/Alaska Native category regardless of other factors (e.g., blood quantum, CDIB, or enrollment in a federally recognized tribe).

### **Community-Based Processes Subform: Items 96-99**

#### **Question:**

For the community-based processes subform, whom do the demographics apply to? Are you asking for the demographics for any people participating in the meetings conducted for this strategy?

#### **Answer:**

Yes. We are asking for the demographics of people participating in the meetings or in any other aspect of the community-based processes strategy.

### **Environmental Strategies Subform: Items 104-108**

#### **Question:**

One of our subrecipients is implementing Responsible Beverage Server Training. When recording in Item 104 the number receiving or affected by RBST, should they report the number of individuals trained or the broader population affected by the improvements in beverage server practices as the result of the trainings?

#### **Answer:**

In the case of RBST, the respondent should record the specific number of individuals

trained. For environmental strategies for which it is possible to identify a specific number of individuals receiving the strategy (e.g., law enforcement trainings, beverage server trainings), the respondent should do so. The numbers in the broader affected population should only be recorded for strategies in which no direct recipients can be identified.

### **Environmental Strategies Subform: Items 104–108**

#### **Question:**

If a subrecipient is conducting party patrols and traffic stops, should we estimate the total number of individuals who received or were affected by the strategy as the total number stopped/inspected or the number who received citations/violations?

#### **Answer:**

Subrecipients can report the number stopped/inspected here, as even those who did not receive citations are affected by the strategy. Now suppose a subrecipient adds a media campaign to publicize the law enforcement efforts in order to affect the behavior of those who were not directly reached by law enforcement. In that instance, the number affected may be the broader population targeted by the media campaign.

### **Environmental Strategies Subform: Items 104–108**

#### **Question:**

A) Suppose a community is implementing a social marketing campaign aimed at all adults in the community's population. Let's say that during the reporting period they aired 2 radio ads and 2 print ads, and sent a mailing to all community households. We would like to know whether the total number of individuals affected should be unduplicated (i.e., the number of adults in the community) or whether they are to report the number of individuals affected by *each* marketing activity (i.e., number of adults in community x 5 marketing activities). Alternatively, if the 2 radio ads that aired during the period were each played 1x/wk for 4 weeks, you could count each exposure to the message and multiply by 11).

B) Furthermore, if subrecipients are entering data about people reached every month, should they report that same number (population of adults in the community) each month that they implement the campaign? It seems that for Environmental Strategies and other services not directed at individuals, if a community completes data entry monthly instead of just once at the end of the 6-month reporting period, their final numbers served for the period may be 6 times higher than someone who just completed this section once covering the whole 6 months.

#### **Answer:**

A) If we can define the two radio ads and two print ads as part of the same social marketing campaign, then there is a single target population (with a high dosage level). So in item 104 (the total number of individuals reached by the strategy) the subrecipient should report the estimated population size of the area targeted. So, rather than multiplying the population size by the number of exposures to an ad message (i.e., the number of times an ad ran), the subrecipient should simply report the population size (unduplicated).

B) If subrecipients enter data about people reached every month, they should only report “new” participants for the reporting period (in addition to the numbers reported at the beginning of the reporting period). Regular data entry updates should only occur when there are additional numbers to report. For example: if the grantee reported an ad campaign reaching one county at the beginning of the period, and then they continued the broadcasts and print material dissemination within that county throughout the period, no additional updates during the period would be necessary. If, however, the campaign was expanded to reach, say, a second county, the next time an update was made, the estimated population of the new county would be reported.

### **Indirect Strategies Numbers Reached: Items 96, 104, and 114**

#### **Question:**

Can you provide more information about whether to report duplicated or unduplicated numbers reached/affected in the indirect strategies subforms (Environmental Strategies, Information Dissemination, Community-Based Processes)?

#### **Answer:**

Let’s look at the relevant items in the Environmental Strategies subform by way of example. The first question is item 104:

**104.** Provide an estimate of the total number of individuals who received or were affected by the prevention intervention strategy since last October. *If you are unsure of the exact number of individuals affected respond with your best estimate. If an individual received or was affected by the strategy during both reporting periods of this fiscal year (October-April and May-September), count the individual only once.*

The intent of this item is to provide within each strategy a cumulative, unduplicated number of individuals who received or were affected by the prevention intervention strategy *during the fiscal year*. This is why the time anchor of October 1 (the beginning of the fiscal year) does not change regardless of which period the data are submitted. If a subrecipient is submitting for the May-September period, they will need to report a cumulative total across the October-April and May-September periods. If an individual received or was affected by the strategy during both reporting periods of the fiscal year (October-April and May-September), count the individual only once. For example: if a subrecipient reported an ad campaign reaching one town (3,000 people) during the October-April reporting period, and this strategy continued within that same town in the May-September period, the number reported at the end of both periods would be 3,000 (not 6,000). If, however, the campaign was expanded in May-September to reach an additional town (5,000 people), then the number reported for the May-September reporting period would be the sum of the town reached in October-April added to the town reached in May-September (8,000).

The second question is item 104a:

**104a.** Of those who received or were affected by the strategy, how many were new to this period and did not receive the strategy in any prior reporting period?

For this item, we are looking for the number of *new* individuals who received or were affected by this prevention strategy during the reporting period. New participants are those who had not received or been affected by the strategy in any previous reporting period and were therefore not previously counted. Note that the number reported in 104a will always be smaller than or equal to the number reported in 104. The numbers reported in item 104a will enable the cross-site team to calculate an unduplicated count across grant years for each indirect strategy.