



Preparing for the FY21 SAPBG Program Audit

FOR SUBSTANCE ABUSE PREVENTION BLOCK
GRANTEES

SUBSTANCE ABUSE PREVENTION BLOCK GRANTEE MEETINGS

MARCH 26, 2021	
LMEs	10:00 a.m. – 11:00 a.m.
Providers	2:00 p.m. – 3:00 p.m.

MARCH 31, 2021	
Providers	2:00 p.m. – 3:00 p.m.
LMEs	10:00 a.m. – 11:00 a.m.

Agenda



Introductions/Welcome



Overview



Preparation



Using the Provider Guide



Audit Tool



Important Considerations/Assistance



Questions



Closing

Overview

EXPECTATIONS

TIMELINES

PROCESS



This year's audit will not result in corrective action plans nor punitive measures.



The audit's findings are for training and technical assistance purposes to support the state providers in improving their implementation of approved Educational and Environmental strategies.



Suggestions will be provided for programmatic improvement. Resources and/or technical assistance may also be recommended.

PLEASE
NOTE

Reduced AUDIT FY21

In response to the modified work capabilities as a result of COVID-19, this year's audit will include a reduced review of only 2 programs during July 1, 2020-March 1, 2021:

- 1 Prevention Education and 1 Environmental Program from the list of approved strategies
- If Prevention Education was not conducted during FY21; then 2 environmental programs will be reviewed for the reduced audit.
- This review of 2 programs will occur per agency per LME.

Simplifying the NC SAPBG Program Audit Process

The design of the new SAPBG Audit Program Process is intended to:

- **alleviate the burden of submitting reams of paper** by utilizing the constantly improving ECCO online reporting system for a desk audit coupled with provider interviews and communication
- **provide clear requirements and examples of needed documentation** for each intervention, action plan, and process data

What is the value to you?

The annual audit is a quality assurance process

- for providers
- for LME/MCOs
- for the state

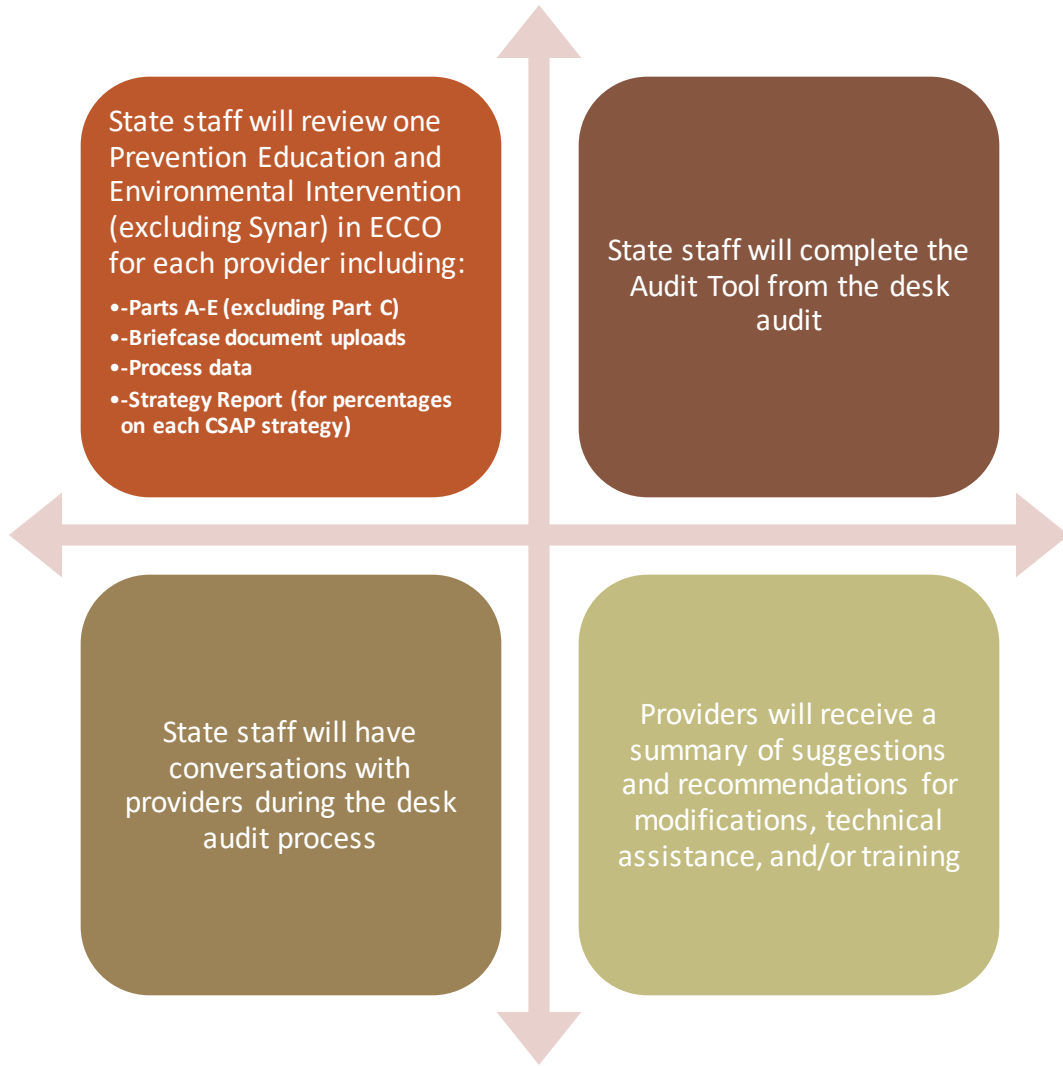
It is a useful tool for Providers to:

Track progress on action plans

Identify areas across the state where T/TA is needed for environmental efforts

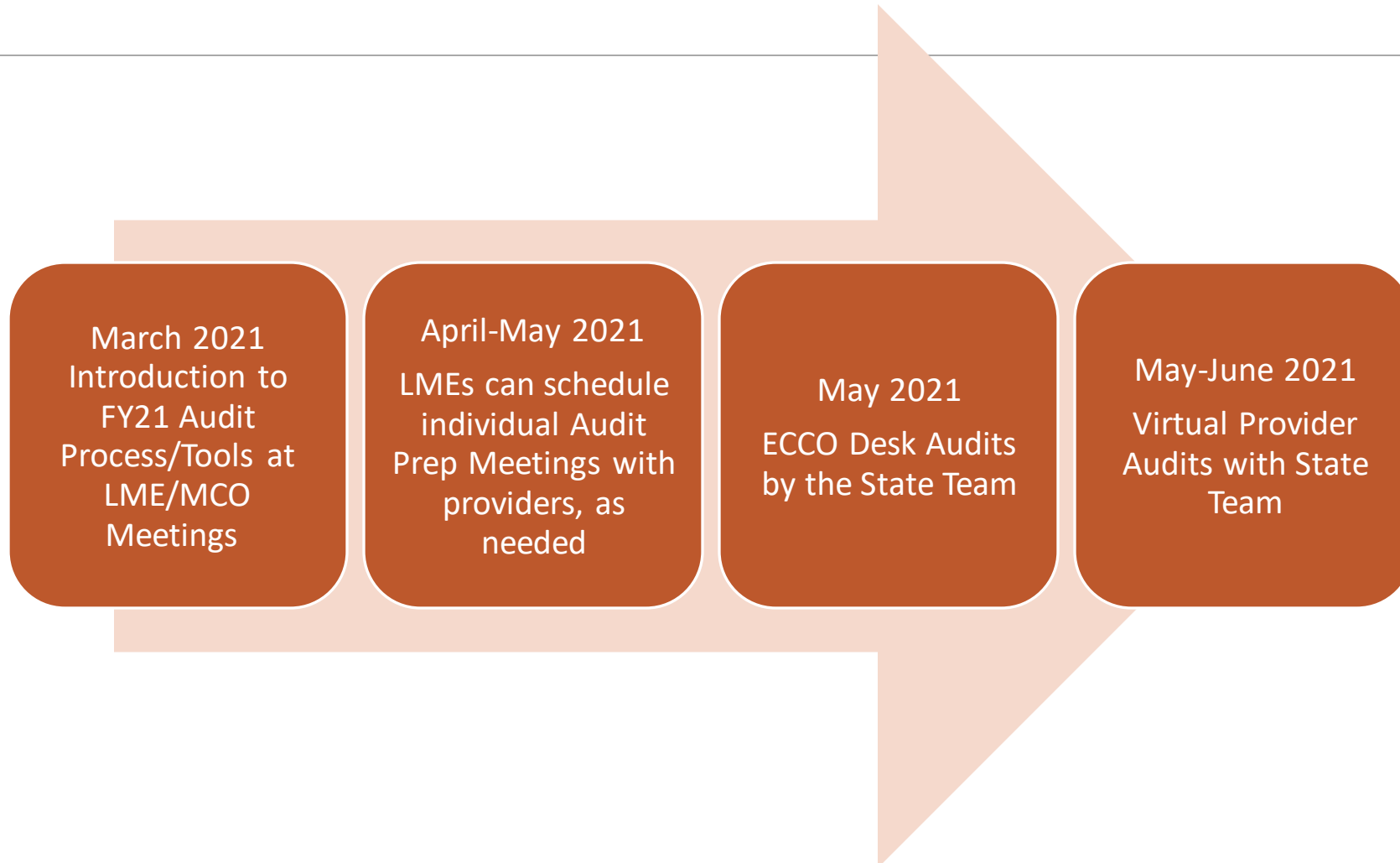
Generate data showing effectiveness of programming and impact in the community

Provide workforce development by connecting program staff to the “bigger picture” (how their local work impacts state and federal work)



What to Expect

Timelines: Provider Audit Timeline



Preparation

TOOLS/TERMINOLOGY

STATE EXPECTATIONS (MAKING PROGRESS IN STRATEGIES)

What tools to use?



1. NC Prevention Provider Audit Guide



2. Prevention Audit Toolkit



3. DMH/SAS Block grant EDUCATION AND ENVIRONMENTAL Strategy/ intervention GUIDANCE



4. ECCO

ECCO Terminology

IP: Intervention Profile

Intervention: Strategy

Process Data

Part A

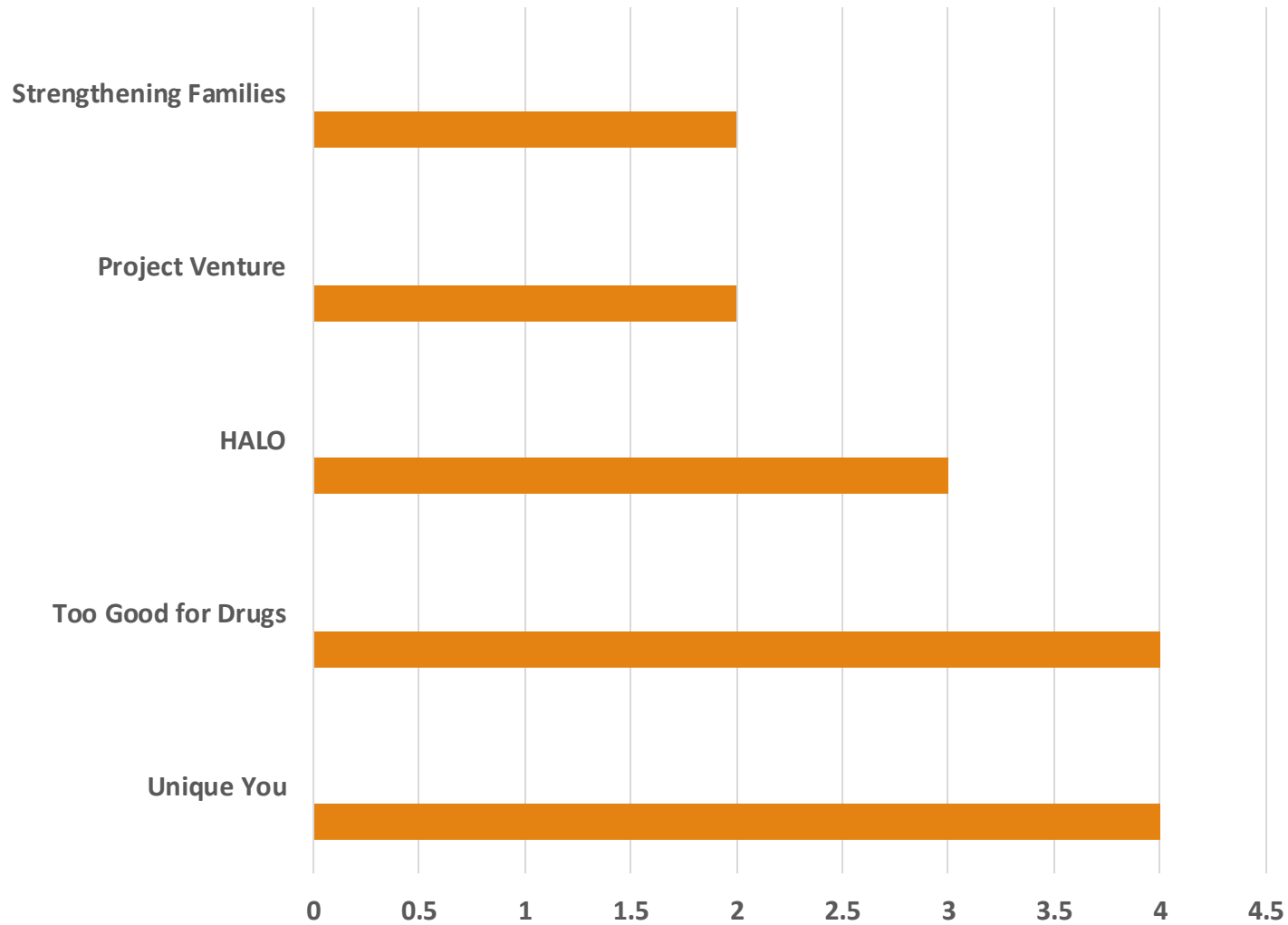
Part B

Part E

Briefcase

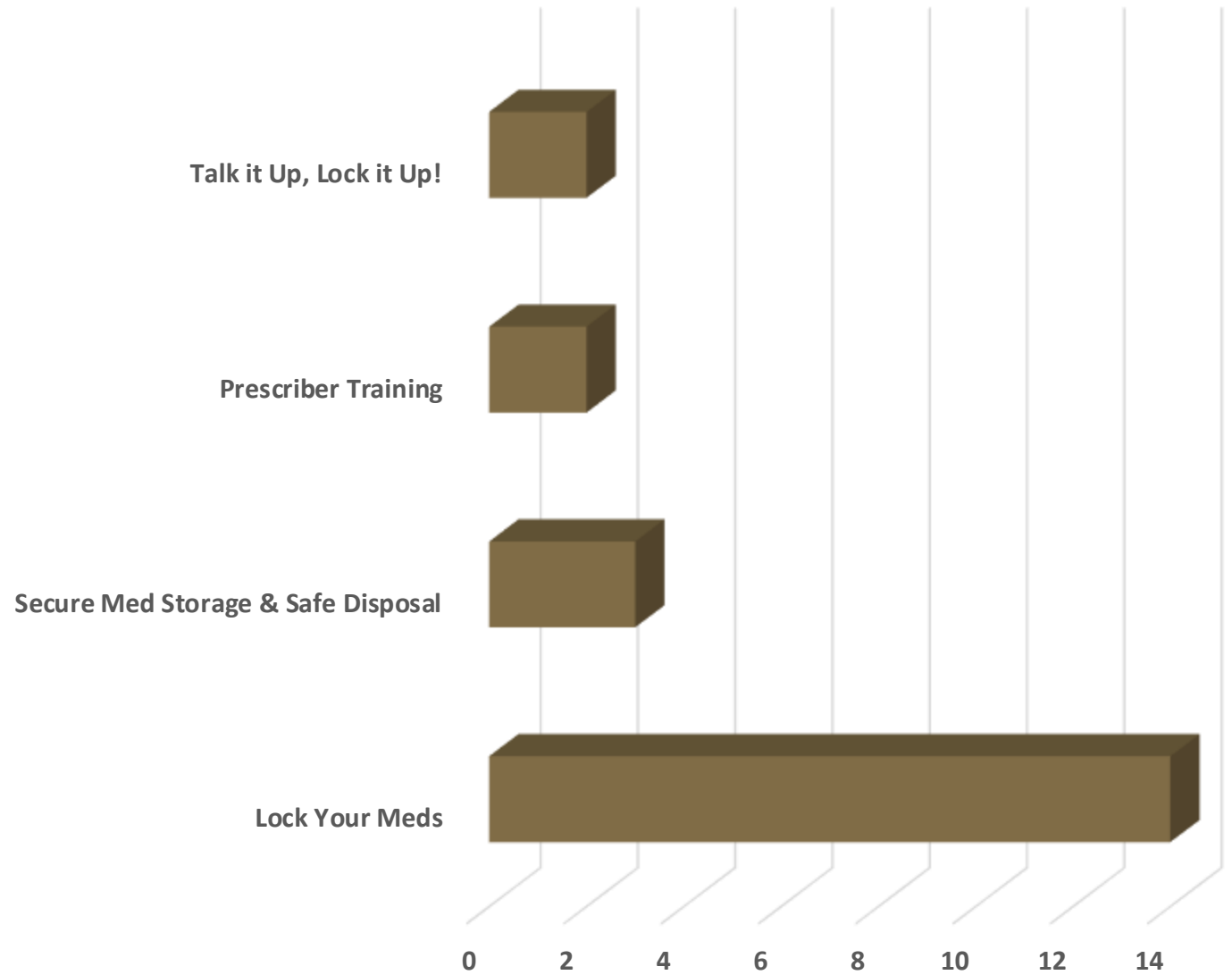
Allowable Strategies

- Youth Prevention Education/Parent Family Education
- Communication campaigns
- Safe stores
- Lock your Meds
- Secure medication storage and safe disposal
- Safer prescriber training
- Retailer alcohol compliance checks
- Alcohol safe storage initiatives



Education Programs-AUDIT

Environmental strategies- Audit



Provider Audit Survey Responses

LME	YPE	Environmental Strategy
Alliance	HALO	Lock Your Meds
Cardinal	HALO, Too Good for Drugs, Unique You	Lock Your Meds, Talk it Up, Lock it Up!, Chemical Medication Disposal
Eastpointe	Too Good for Drugs, Life Skills, Celebrating Families, Unique You	Prescriber training, Lock Your Meds
Partners	Second Step, Safe Dates, Unique You, Strengthening Families, Project TND	Lock Your Meds, Secure Medication Storage and Safe Disposal

Provider Audit survey responses (cont.)

LME	YPE	Environmental Strategy
Sandhills	Project Alert, Unique You, Project Success	Secure Medication Storage and Safe Disposal, Establishing policy in schools, Lock Your Meds
Trillium	Reconnecting Youth, Project Venture, Strengthening Families	Prescriber Training, Lock Your Meds, Secure Medication and Safe Disposal
Vaya	Triple P, Project Venture	Talk it Up, Lock it Up!, Lock Your Meds

COVID Successes and Challenges

- **SUCCESSSES:**

- Online implementation of YPE and PFE
- Contactless Rx events (drive up and drive thru events)
- Social media promotion
- New partnerships (meal serving orgs, food banks, coalitions, law enforcement programs, and local health service providers)
- Online planning meetings
- Holding YPE/PFE in non-traditional places

- **CHALLENGES:**

- Schools not in session and not allowing programs to be run
- Student absences/attendance concerns
- Communities cancelling events due to COVID
- Meetings not being run and/or work becomes stalled
- Obtaining permission to duplicate or use materials

What the State is looking for?

****PROGRESS within strategies (may be limited due to COVID)**

****Solid explanations in Action Plan (Actions Taken section) to show comprehension of work and progress towards successful implementation and work during COVID**

Areas of need for statewide training and technical assistance

Strategies in which:

- best practices are not being conducted and reasons why (COVID etc.)
- best practices are not understood (and could denote a need for statewide training on a specific environmental strategy)

Strategy Progress Standards Chart - PROVIDER GUIDE

STRATEGY PROGRESS CHART

It is expected that prevention providers will make adequate progress within and across interventions each year. *We recognize that outside factors may impede intervention progress, but it is expected that overall, prevention providers will meet progress standards for at least two thirds of the total interventions they are implementing per agency (including Environmental AND Prevention Education).*

For example, if an agency is conducting Youth Prevention Education, Safer Prescriber Training, Synar Merchant Education and Lock Your Meds, and documents/reports having completed all merchant education and Lock Your Meds planning and implementation steps, BUT HAS NOT completed 1 safer prescriber training and HAS COMPLETED at least one 15-week class of Life Skills in FY20, the provider will have met the two thirds criteria.

The below chart shows the state progress standards to be met per intervention by June 30, 2021. This progress will serve as the standard for audit reviews and will assist auditors in identifying those agencies not in meeting state standards or those in need of assistance of TA to meet standards. Providers should show a good faith effort to meet state standards for chosen strategies.

STRATEGY	PROGRESS COMPLETION BY JUNE 30, 2021
Youth Prevention Education/Parent Family Education	Planning/Implementation for one class (3 lesson minimum-online, in person)
Synar (Merchant Education, Law Enforcement, Media, Community Mobilization [tobacco surveys])	Planning/Implementation for one Community Mobilization, 20 Merchant Education visits Planning Completed for Law Enforcement/Media Consider online options for media. Social distancing and safety <u>is</u> paramount.
Lock Your Meds	Planning and Implementation Consider Online Options
Communication Campaigns-ONGOING	Implementation Steps 1-4 (planning steps must be completed before implementation steps). Consider online material/dissemination options
Communication Campaign-NEW	Planning steps 1-5. Consider online options.

Strategy Progress: toward best practice steps/guidelines/standards

Progress on two strategies per agency (1 environmental and 1 prevention education or 2 environmental strategies)

Each intervention/strategy has *different* progress expectations

- **YPE** - complete planning/implementation for one class per fiscal year
- **School Policy** - complete planning steps in fiscal year
- **Take Back Events** - complete planning/implementation for 1 event per fiscal year

Talk about modification, successes and concerns due to COVID, documentation in action steps is crucial!

USING THE
PREVENTION PROVIDER
AUDIT GUIDE

**WHAT DO I
NEED TO DO?**

What to Complete

Use the instructions and examples in NC Prevention Providers Audit Guide to:

1. Enter all required data for Parts A, B and E (Actions Taken for those steps completed) in the IP for ECCO
2. Upload associated documentation into the Briefcase
3. Complete all required and collected/available process data (without duplication)
4. Enter all hours into ECCO per intervention
5. Submit all work into ECCO from **July 1, 2020 - March 1, 2021**

All this should be done for EACH Prevention Education and Environmental Strategy chosen by the provider in each LME region by **April 30, 2021**

How to use the NC Prevention Provider Audit Guide

- MULTI SUBSTANCE STRATEGIES
 - Youth Prevention Education or Parent Family Education
 - COMMUNICATION CAMPAIGNS (Social Norms/Support for Prevention).....
 - YOUTH ENVIRONMENTAL MANAGEMENT STRATEGIES.....
 - ESTABLISH, REVIEW OR CHANGE SCHOOL ATOD POLICIES
 - ESTABLISHING, REVIEWING OR CHANGING COMMUNITY AND/OR WORKPLACE ATOD POLICIES
 - FESTIVAL/EVENT RESTRICTION.....
 - SAFE STORES
- TOBACCO STRATEGIES.....
 - SYNAR
- PRESCRIPTION DRUG STRATEGIES.....
 - LOCK YOUR MEDS
 - SECURE MEDICATION STORAGE AND SAFE DISPOSAL
 - SAFER PRESCRIBER TRAINING
- ALCOHOL EDUCATION/ENFORCEMENT STRATEGIES

- SOCIAL HOST
- PUBLICIZED SOBRIETY CHECKPOINTS.....
- RETAILER ALCOHOL COMPLIANCE CHECKS
- RESPONSIBLE BEVERAGE SERVICE TRAINING
- TALK IT UP, LOCK IT UP
- ALCOHOL SAFE STORAGE INITIATIVES

What does the chart mean?

YOUTH PREVENTION EDUCATION OR PARENT FAMILY EDUCATION		
Best Practice Step	Briefcase	Process Data
<input type="checkbox"/> The prevention provider must receive approval for each curriculum	<input type="checkbox"/> Email/ letter of Approval uploaded (if program is not listed on master grid)	<input type="checkbox"/> Enter session #s in Process Evaluation for each YPE or PFE completed
<input type="checkbox"/> Each prevention provider delivering the program has completed Youth Prevention Education (YPE) training	<input type="checkbox"/> Certificates uploaded	<input type="checkbox"/> Number of groups <u>completed</u>
<input type="checkbox"/> Each prevention provider delivering the program has meet required developer training requirements, as necessary. ****Supplemental tool for required # sessions for curricula	<input type="checkbox"/> Certificate or proof of completion of any mandatory developer training	<input type="checkbox"/> Number of new groups
<input type="checkbox"/> The prevention provider must deliver an education program with: <ol style="list-style-type: none"> The prescribed number of required core curriculum sessions The core curriculum implemented in the appropriate setting as recommended by the program developer All sessions at least 30 minutes long All sessions delivered no more than two times per week for all programs 	<input type="checkbox"/> Prevention Education Schedule/ plan: include number of sessions, setting, length, and dates for delivery (an example per curricula)	<input type="checkbox"/> Number of attendees completing 80%
	<input type="checkbox"/> Attendance logs per curriculum	

WHAT WILL BE
USED TO
CONDUCT THE
AUDIT?

Let's look at the Audit Toolkit



The Prevention Audit Toolkit will be used in conjunction with a desk audit of ECCO data AND interviews with both the program director and staff members.



The toolkit is designed to allow for notes to be added to justify completion of the all steps. It is intended to show progress within the chosen strategies.



LME pre-audit and monitoring does not need to include interviews, but can be conducted via a desk review and communication with providers

About the Prevention Audit Toolkit

THE AUDIT TOOL SUMMARY

PREVENTION AUDIT TOOL

The tool is used to collect the progress and recommendations and concerns found during the desk audit and interviews. This tool alongside the Audit Summary will be provided to Agencies after the audit.

State/LME/MCO Auditor: Click or tap here to enter text.		Date Completed: Click or tap here to enter text.	
LME/MCO: Click or tap here to enter text.		Program Audit Year: Click or tap here to enter text.	
Agency Name: Click or tap here to enter text.		Program Director: Click or tap here to enter text.	
Strategies Chosen (add rows as needed)	Current Progress in Strategy (List Steps: i.e., Planning 1)	Progress Met according to state guidelines	Sections completed in ECCO
Click or tap here to enter text.	Click or tap here to enter text.	<input checked="" type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Part A <input type="checkbox"/> Part B <input type="checkbox"/> Clear Actions Taken <input type="checkbox"/> Process Data provided NOTES: Click or tap here to enter text.
Click or tap here to enter text.	Click or tap here to enter text.	<input type="checkbox"/> Y <input type="checkbox"/> N	<input type="checkbox"/> Part A <input type="checkbox"/> Part B <input type="checkbox"/> Clear Actions Taken <input type="checkbox"/> Process Data provided NOTES: Click or tap here to enter text.
Click or tap here to enter text.	Click or tap here to enter text.	<input type="checkbox"/> Y <input checked="" type="checkbox"/> N	<input type="checkbox"/> Part A <input type="checkbox"/> Part B <input type="checkbox"/> Clear Actions Taken <input type="checkbox"/> Process Data provided NOTES: Click or tap here to enter text.

For this section, utilize the Strategies Report in ECCO. Locate Plan & Report, and choose Reports, then add the agency, and the dates for the review time frame. After opening the report, find the percentage of time and hours associated per CSAP strategy.

CSAP Strategies	Current Percentage of Time	Current Hours	State Standards	In Compliance with State Percentages
Environmental Strategies	Click or tap here to enter text.	Click or tap here to enter text.	Alongside of Community-based process a minimum of 50%	<input type="checkbox"/> Y <input type="checkbox"/> N
Community-Based Process	Click or tap here to enter text.	Click or tap here to enter text.	Alongside of Environmental a minimum of 50%	<input type="checkbox"/> Y <input type="checkbox"/> N
Prevention Education	Click or tap here to enter text.	Click or tap here to enter text.	Maximum of 30%	<input type="checkbox"/> Y <input type="checkbox"/> N
Information Dissemination	Click or tap here to enter text.	Click or tap here to enter text.	Maximum of 12%	<input type="checkbox"/> Y <input type="checkbox"/> N
Alternatives	Click or tap here to enter text.	Click or tap here to enter text.	Maximum 3%	<input type="checkbox"/> Y <input type="checkbox"/> N
Problem ID & Referral	Click or tap here to enter text.	Click or tap here to enter text.	Maximum of 4%	<input type="checkbox"/> Y <input type="checkbox"/> N
Administrative	Click or tap here to enter text.	Click or tap here to enter text.	Maximum of 20%	<input type="checkbox"/> Y <input type="checkbox"/> N

Overall Notes: Click or tap here to enter text.

TA needs/Areas for improvement: Click or tap here to enter text.

AUDIT SUMMARY

This Audit Summary is to be completed with comments AFTER utilizing the worksheet and tool to complete the audit. This Summary form will be submitted to the Agency alongside the Audit Tool.

The project status is based on the following:	<ul style="list-style-type: none"> Explanation and Summary of what was found in the Worksheet and throughout the Desk Review and any interviews. Click or tap here to enter text.
Strengths:	<ul style="list-style-type: none"> Strengths listed here: Click or tap here to enter text.
Areas of Improvement (with recommendations):	<ul style="list-style-type: none"> Areas of Improvement listed here: Click or tap here to enter text.
Overall Recommendations:	<ul style="list-style-type: none"> Place Recommendations here: Click or tap here to enter text.
MEETING AGENDA: Areas/questions for discussion	<p>What successes did you have with (any) strategies/interventions? Click or tap here to enter text.</p> <p>What struggles did you have with (any) strategies/interventions? Click or tap here to enter text.</p> <p>What portions of ECCO/the audit were successful/challenging? Click or tap here to enter text.</p> <p>What questions do you have about the audit? Click or tap here to enter text.</p> <p>Are there any items that need to be added in ECCO to show your progress/work more clearly? Click or tap here to enter text.</p> <p>What other documentation do you have to show progress in interventions? Click or tap here to enter text.</p> <p>How can we help you be more successful in future audit years? Click or tap here to enter text.</p>

Important Considerations/ Assistance

PROCESS EVALUATION

ACTION PLAN STEPS

LMES, TTA CENTER, STATE AUDIT STAFF

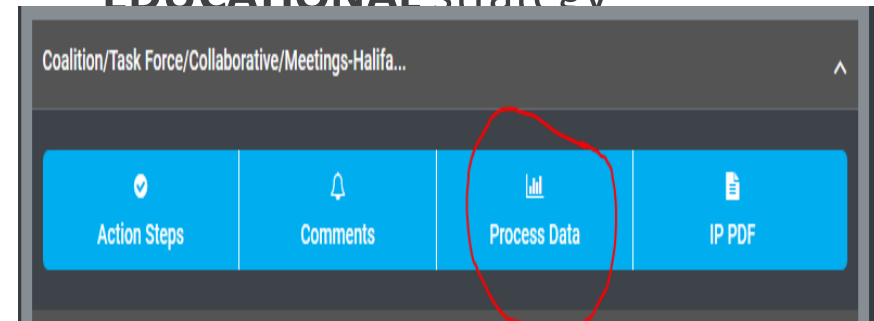
Audit Tool

MULTI SUBSTANCE STRATEGIES

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Complete in ECCO:

- Part A (General Info)
- Part B (Intervention Info)
- Briefcase document uploads
- Part E (Action Plan)
- Process Evaluation
- For each ENVIRONMENTAL and EDUCATIONAL strategy



Action Plan: Actions Taken

Read

Read the best practice step

- Do you understand what it means?
- What is it asking you to describe?

Think about

Think about WHO, WHAT, HOW and WHEN the step was in progress/was completed

Describe

Describe what you changed, how you overcame, how successful you were or what is still left to do due to COVID

Audit Assistance from LMEs



APRIL - MAY SCHEDULE
PRE-AUDIT MEETINGS



APRIL - MAY REVIEW
ENTRIES IN ECCO

Audit Assistance from TTA Center

Before: Collecting all Current Active Interventions (July 1, 2020 - March 1, 2021) to compile for state team

During: Assistance with Understanding the tool and Audit process and will be a part of provider audit meetings

After: Support after the audit meeting (training, TA and other resources)

Assistance from State Audit Staff

Jessica Dicken and several other team members will review chosen Educational and Environmental strategies during desk audit

All staff will reach out via email and phone to ask questions about ECCO entries, as necessary

Questions?

Thank you!