



# NC Department of Health and Human Services

## Preparing for the FY22 SAPBG Program Audit

Substance Use Prevention Block Grant  
and COVID 19 Grantees

February 22, 2022

# Agenda



Introductions/Welcome



Overview



COVID 19 Initiative



Expectations



Preparation



Audit Tools for Preparation



Audit Assistance



Questions



Closing



# Overview

Purpose

Process

Timeline

COVID 19 Initiative

# Purpose of the Audit

## Annual quality assurance process

- Compliance with funding requirements, state standards and progress recommendations.
- Identify areas across the state where T/TA is needed for education and/or environmental efforts
- Generate data showing effectiveness of programming and impact in the community
- Connect provider work to the “bigger picture” (*how local efforts impact state and federal work*)

# PLEASE NOTE



Desk review of Ecco



This year's audit **will not** result in corrective action plans or punitive measures.



The audit findings are for training and technical assistance purposes to support 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.

# Areas of Review

## Overall review of agency's work

- Hours - percentages of time
  - Process and Outcome data
  - Knowledge and implementation of best practices for both prevention education and environmental strategies.
  - Synar
  - Community-based Process
-

# Reduced AUDIT FY22

In response to the modified work capabilities as a result of COVID-19, this year's audit will include a reduced review.

## SAPBG Provider

### 2 Programs

- 1 Prevention Education and 1 Environmental Program from the list of approved strategies
- If Prevention Education was not conducted during FY22; then 2 environmental programs will be reviewed for the reduced audit (or vice versa).
- This review of 2 programs will occur **per agency per LME.**

# Reduced AUDIT FY22

In addition to two self-identified strategies, all SAPBG providers will be reviewed in the following areas:

- 1. Community-based Processes**
  - 2. Synar**
-





**Audit Review Period**

**SAPBG Providers**

**July 1, 2021-  
March 31, 2022**

# Audit Timeline

February 2022

Introduction to FY22 Audit Process/Tools



February – mid April 2022

Pre-audit Preparation Support and Technical Assistance



April - May 2022

ECCO Desk Audits by the State Team



May-June 2022

Virtual Provider Audit Meetings with State Team

# Audit Process: April-June 2022

State staff will review interventions in ECCO for each provider including:


- Parts A-D (excluding Part C)
- Briefcase document uploads
- Process data
- Strategy Report (for percentages on each CSAP strategy)

State staff will complete the Audit Tool from the desk audit

State staff will have conversations with providers during the desk audit process, as needed

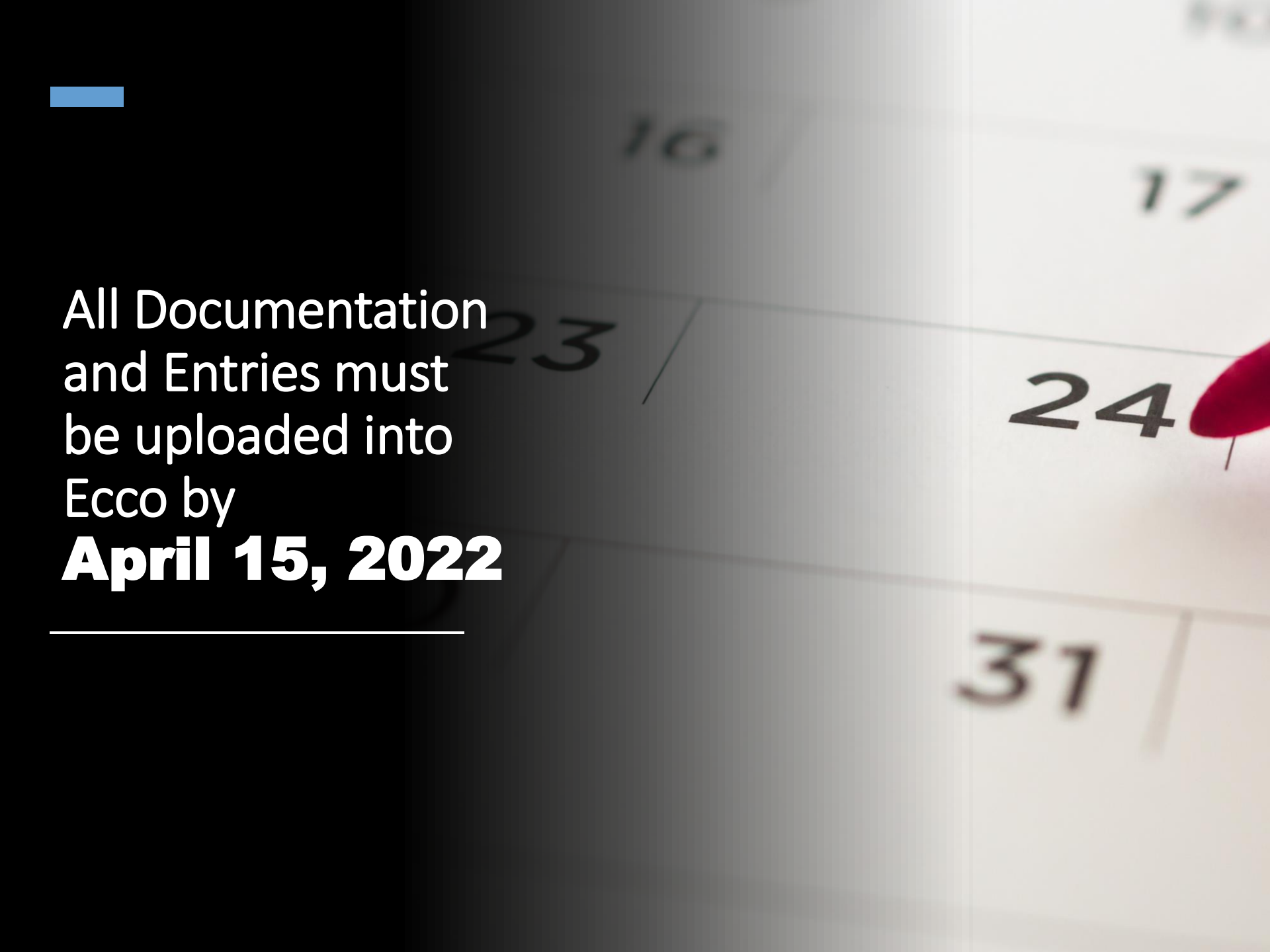
Providers will receive a summary of suggestions and recommendations for modifications, technical assistance, and/or training





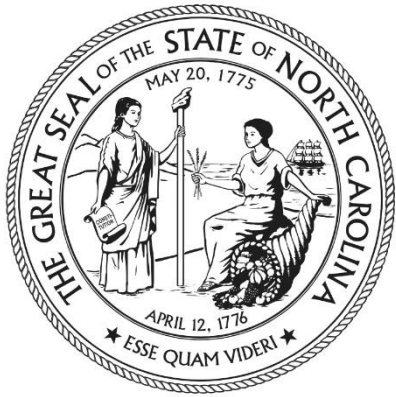
All Documentation  
and Entries must  
be uploaded into  
Ecco by  
**April 15, 2022**

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16 17  
23 24  
31

A close-up, slightly blurred photograph of a calendar page. The numbers 16, 17, 23, 24, and 31 are visible in a grid layout. A red pushpin is pinned to the right edge of the calendar, partially overlapping the number 24. The background is dark and out of focus.



# COVID 19 GRANTEES



The background features a light-colored calendar grid on the left and a bar chart on the right. The calendar grid shows dates from 9 to 31. The bar chart has several vertical bars of varying heights, with numerical values 14, 21, and 28 visible on the bars. The overall background is a soft, light blue gradient.

# **COVID-19 Supplemental Funded Providers**

## **Mid-Point Audit Review**

### **Timeframe**

**August 2, 2021-June 30, 2022**

# COVID-19 Mid-Point Audit Timeline

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## **February 24, 2022**

Introduction to FY22 COVID-19 Audit Process/Tools

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## **March 14-24, 2022**

Monthly TA Meetings to discuss Logic Model and Work Plans

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## **April 25-29, 2022**

Monthly TA Meetings Focused on Audit Prep with Providers

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## **May 2-July 15, 2022**

Pre-Audit Preparation & Technical Assistance

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## **July 18-August 12, 2022**

ECCO Desk Audits by the State Team

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## **August 15-31, 2022**

Virtual Provider Audits with State Team

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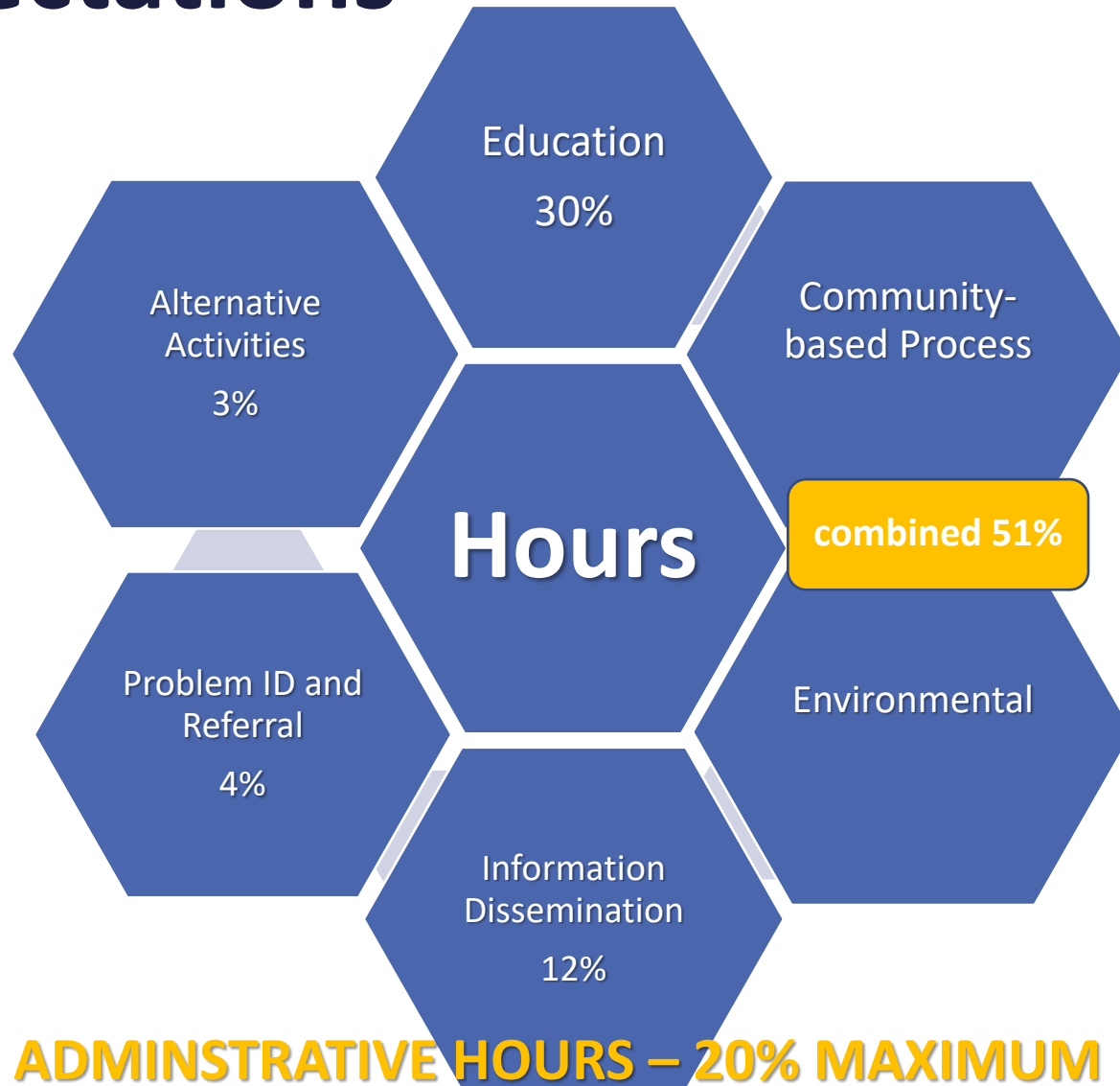
# PREPARATION

Expectations

Synar

Strategy Progress

# Expectations



# Expectations

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

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

## Community-Based Process

- Baseline understanding of efforts
- Support of Education and Environmental Strategies

## Administrative Hours

- Staff Training
- Agency work



**SYNAR**

# Synar: What are we checking??

- **Reports**

- Synar Hours O.V.
  - Synar merchants
  - Media Submission documentation, if applicable
  - Synar activities plan and completion of special projects
  - Synar Process
-

# Synar Hours O.V

## Merchant Education and Tobacco Purchase survey

**DIRECT HOURS**

**MERCHANT EDUCATION ⓘ**

3.1 Identification of Tobacco Retail Outlets

3.2 Merchant Education

3.3 Community Youth Groups Partnership

3.4 Direct Hours Totals

## Environmental Scans

**Hours**

Name  Interventions

**DIRECT HOURS**

**COMMUNITY EDUCATION & MOBILIZATION ⓘ**

1.1 Identification of community Partners

1.2 Community Leadership

1.3 Community Education to increase support for retailer compliance with youth access laws

1.4 Direct Hours Totals

## Coverage Study

**DIRECT HOURS**

**MERCHANT EDUCATION ⓘ**

3.1 Identification of Tobacco Retail Outlets

3.2 Merchant Education

3.3 Community Youth Groups Partnership

3.4 Direct Hours Totals

# Synar Hours O.V.

Summary

Agency : Demo Agency

Strategy Type : Environmental

IOM Category : All IOM Categories

Region : All Region

Funding Source : All Funding Sources

Reporting Period : 01 Jul 2021 To 31 Mar 2022

-

| Totals  |      | Hours by CSAP Strategy and IOM Category |                    |                  |           |           |         |       |
|---|------|---|--------------------|------------------|-----------|-----------|---------|-------|
| Totals Breakdown                                |      | CSAP Strategies                         | Population-Based   | Individual Based |           |           | Unknown | Total |
|   |      |   | Universal Indirect | Universal Direct | Selective | Indicated |         |       |
| <b>1.COMMUNITY EDUCATION &amp; MOBILIZATION</b> |      |   |                    |                  |           |           |         |       |
| Direct Hours                                    | 0    | Environmental (Synar)                   | 0.00               | 0.00             | 0.00      | 0.00      | 0.00    | 0.00  |
| 1.1 Identification of Community Partners        | 0.00 |   |                    |                  |           |           |         |       |
| 1.2 Community Leadership                        | 0.00 |   |                    |                  |           |           |         |       |
| 1.3 Community Education                         | 0.00 |   |                    |                  |           |           |         |       |
| Indirect Hours                                  | 0    |   |                    |                  |           |           |         |       |
| 1. Training                                     | 0.00 |   |                    |                  |           |           |         |       |
| 2. Documentation                                | 0.00 |   |                    |                  |           |           |         |       |
| 3. Planning                                     | 0.00 |   |                    |                  |           |           |         |       |
| 4. Travel                                       | 0.00 |   |                    |                  |           |           |         |       |
| <b>2.LAW ENFORCEMENT RELATED</b>                |      |   |                    |                  |           |           |         |       |

|   |      |                  |      |      |
|---|------|------------------|------|------|
| Direct Hours  |      |                  |      | 0    |
| 2.1 Promote Local Law Enforcement                   |      |                  |      | 0.00 |
| 2.2 Tobacco Compliance Checks and Retailer Training |      |                  |      | 0.00 |
| Indirect Hours                                      |      |                  |      | 0    |
| 1. Training   | 0.00 | 2. Documentation | 0.00 |      |
| 3. Planning   | 0.00 | 4. Travel        | 0.00 |      |
| <b>3.MERCHANT EDUCATION</b>                         |      |                  |      |      |
| Direct Hours  |      |                  |      | 0    |
| 3.1 Identification of Tobacco Retail Outlets        |      |                  |      | 0.00 |
| 3.2 Merchant Education                              |      |                  |      | 0.00 |
| 3.3 Community Youth Groups Partnership              |      |                  |      | 0.00 |

# Synar Merchants

Synar Merchant Dashboard Tracking

Download CSV  
Merchant List

Merchants Uploaded: 1161 | Updated: 01/18/2022

Sort Merchants

Sort Merchants: All

Search Merchants: [ ]

Visit Outcome: All

Type of Merchant Education: All

Type of follow up visit: All

Merchant Address: Search by Address [ ]

Merchant Street / City: All Cities

Merchant Zip: All Zip

Merchant County: All County

Download Merchant CSV

Edit Synar Merchants

<< 1 2 3 4 5 >> 1

1 Merchant is no longer valid  Proposed secondary change made  Agency No: 138

|                          |                          |  |
|--------------------------|--------------------------|--|
| Retail ID #<br>41830265  | Outlet Name<br>1 TOBACCO | Merchant Type<br>Convenience w/o gas - tobacco store |
| REI #<br>NC678330        | Manager<br>Manager       | Date Added<br>06-24-2021                             |
| State ID<br>NOTALCOHOL27 | Manager<br>Ahmad         |  |





# Synar Merchants


IMDS Data (progress evaluation data)

view of time implementation times

Submitted

 Under-Review

 Approved

 Returned for Revisions

## Implementation Approval Process

## Reports

Hours

Synar Hours O.V.

Process

Strategies

Synar Merchants

Synar Process

LME

Agency

Strategy Type

Visit From

Visit To

Funding Source

Report From

Report To



Clear

View

View Sort and Search Items

# Media Submission

**Intervention Type:**  
Environmental

**Service Type:**  
Synar

**Community Name:**  
189-1-1610184687

**Community Zipcode:**  
Null

**County:**  
Null

**Contract Year:**  
Null

**Model Name:**  
Null

- Master Total Reach <sup>44</sup>
- Community Mobilization and Education
- Merchant Education
- Law Enforcement Related Activities
- Media and Public Relations

15. Collaborated with community partners to create news stories, letters to the editor, bill boards, newsletters, public service announcements, etc. to increase awareness of youth access to tobacco laws and penalties and to publicize compliance inspections results.

Yes  No

15.1.0 Specify which of the following Synar communications were generated this reporting period.

Select

15.2.0 Media Source.

15.3.0 Media Reach

15.4.0 Media Type

Select

15.5.0 Compliance Inspection Results

15.6.0 Upload Print Sources

Upload

Drop files here

+

# Synar

## Synar Activities Plan and Special Projects Evaluation

- **Synar Extension Pilot** – Activities performed between 07/01/2021-09/30/2021
  - Tobacco retailer work
  - ENDS purchase survey work
    - Training, planning and implementation in accordance with the Memorandum of Understanding (MOU) and strategy guidance
    - Invoice submission(s)
    - Synar team check-ins entailed inquiries (“pulse checks”) regarding progress, technical assistance meetings, ECCO data monitoring during and after the pilot (i.e., Hours and Merchant Tracker), and AlphaGraphics order monitoring

# Synar

## Synar Activities Plan and Special Projects Evaluation

- **Synar Plan** – Activities performed between 10/01/2021-06/30/2022
  - Merchant Education
  - North Carolina Online Tobacco Retailer Training
  - ENDS Purchase Survey
    - Training, planning, and implementation in accordance with agency plan and FY2021-2022 progress standards
    - Auditors will determine if the provider is making progress through monthly ECCO data monitoring (i.e., Hours and Merchant Tracker) and AlphaGraphics order monitoring

# Synar

## Synar Activities Plan and Special Projects Evaluation

- **Coverage Study & E-cigarette Pilot** – Activities performed between 01/01/2022-06/30/2022
  - Coverage Study
  - ENDS Purchase Survey
    - Training, planning, and implementation in accordance with proposal submission/funding notification and strategy guidance
    - Invoice submissions
    - Synar team check-ins entail inquiries (“pulse checks”) regarding progress, monthly ECCO data monitoring (i.e., Hours and Merchant Tracker), and AlphaGraphics order monitoring (education materials)

# Synar Process

## TOOL: PROCESS DATA CHART

For Tobacco/Synar strategies, Process data will be reported both in the Merchant Tracker and in the Synar Process section. The questions and information to be collected is found below.

| Tobacco Strategies                                   |  |
|--|--|
| <p>→ Synar: Community Education and Mobilization</p> | <ul style="list-style-type: none"> <li>Community Partners identified: Number of new partners and status</li> <li>Community leadership: Number of meetings &amp; type of strategies</li> <li>Community Education information: What groups did you provide information</li> <li>Number of retailer training workshops offered in conjunction with local law enforcement</li> <li>Number of participants in retailer education workshops</li> <li>Number of retailers attended (who violated youth access to tobacco laws)</li> </ul> |
| <p>→ Synar: Merchant Education</p>                   | <p>Completion of the Merchant Tracker. Process data in ECCO: Including all business information, visit outcome, materials provided, education provided.</p>  |
| <p>→ Synar: Law Enforcement Related Activities</p>   | <ul style="list-style-type: none"> <li>Law Enforcement agencies contacted and level of support</li> <li>Tasks completed to assist with compliance checks and retailer training</li> <li>Protocol for recruitment/age testing of youth (uploaded to Briefcase)</li> <li>Number of enforcement operations: Compliance checks completed</li> <li>Number of retailers who violated youth access to tobacco laws</li> <li>Number of incentives disseminated to clerks and/or youth</li> </ul>   |
| <p>→ Synar: Media and Public Relations</p>           | <ul style="list-style-type: none"> <li>Type of communication, Media Source, Media Reach and Media Type</li> <li>Compliance Inspection Results</li> <li>Number of organizations collaborated with on Merchant Pledge campaign</li> <li>Number of merchants who pledge not to sell tobacco products to minors</li> <li>Where stores were recognized (through Media sections)</li> </ul>  |

## PREVENTION AUDIT TOOL

| SYNAR  |  |   |  |
|--|--|---|--|
| <p><b>Directions:</b> Complete this chart for each agency. For each agency completing Synar, there should be hours that match work completed. Action steps for best practices for Synar are noted in the Strategy Guidance Document, but only Media and Public Relations require further explanation within ECCO by providers. Use <u>Notes Boxes</u> as needed to capture actions taken, added information, comments or thoughts.</p> |  |   |  |
| <p>Sufficient Explanations for Part D: Action Steps/Actions Taken (see notes below) for Media and Public Relations:</p> <p><input type="checkbox"/> ALL <input type="checkbox"/> MOST <input type="checkbox"/> SOME <input type="checkbox"/> NEEDS SUPPORT</p> <p>Notes: Click or tap here to enter text.</p>  |  |   |  |
| <p>Completed Part A: <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>Notes: Click or tap here to enter text.</p>   |  |   |  |
| <p>Completed Part B: <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>Notes: Click or tap here to enter text.</p>   |  |   |  |
| <p>Master Reach Entered: <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>Notes: Click or tap here to enter text.</p>   |  |   |  |
| <p>Review the following Synar components and any Media and Public Relations Steps</p>  | <p>Provide all notes below</p>                 | <p>Briefcase</p>  | <p>Synar Process Data</p>  |
| <p><input type="checkbox"/> Merchant Education Tracker was completed for Merchant Visits</p>   | <p>Notes: Click or tap here to enter text.</p> | <p><input type="checkbox"/> Minutes from meetings with community partners</p>   | <p><input type="checkbox"/> Complete Synar10 Merchant Education (Select all that apply)</p>  |
| <p><input type="checkbox"/> Tobacco Survey Tracker was completed for Tobacco Survey Visits</p>   | <p>Notes: Click or tap here to enter text.</p> | <p><input type="checkbox"/> Meeting minutes for planning and implementation</p> <p><input type="checkbox"/> PowerPoint used for training or training materials</p> <p><input type="checkbox"/> Age testing protocols/ form</p> <p><input type="checkbox"/> tobacco survey protocols</p> | <p><input type="checkbox"/> Complete Synar # 9.2 Did you conduct tobacco surveys</p> <p><input type="checkbox"/> Complete Synar #9.3 of 9.2 is YES: If you conducted Tobacco Survey, did you refer those who failed to ask for ID to local law enforcement? (by law enforcement agency)</p> <p><input type="checkbox"/> If #9.3 is YES; then answer #9.4 If you referred those who failed to ask for ID to local law enforcement, how many compliance checks did they conduct this reporting period?</p> <p><input type="checkbox"/> #11 Number of meetings held if relevant</p> |

# Synar Process

## PROCESS DATA DASHBOARD

Process Evaluation Dashboard

Input Data | Input Records | Process Report PDF

**Agency Name:**  
Test Agency

**Intervention Name:**  
Festival and Event TEI/dsf

**Intervention Type:**  
Environmental

**Service Type:**  
Guidance and technical assistance on monitoring and enforcement governing the availability and distribution of ATOD

**Community Name:**  
252-385-1602253254

**Community Zipcode:**  
Null

**County:**

**Contract Year:**  
2020-2021

**Model Name:**  
Festival/Event ATOD Restriction\*

Reporting Month:  
October - 2020

About Intervention

1. Was this intervention active during this reporting period?  
 Yes  No

2. Service groups/populations served by intervention? (Select all that apply.)

2.1 Counties Served from the counties chosen in the IP

3. Number of planning meetings? 4. number of new partners/organizations? 5. Type of partners engaged?

Master Total Reach

Training of Environmental Influencers

Policy Review, Enactment, or Modification

Support for Enforcement

Save

## SYNAR PROCESS QUESTIONS

Input Data | Process Report PDF

Select reporting period

Select record

Master Total Reach

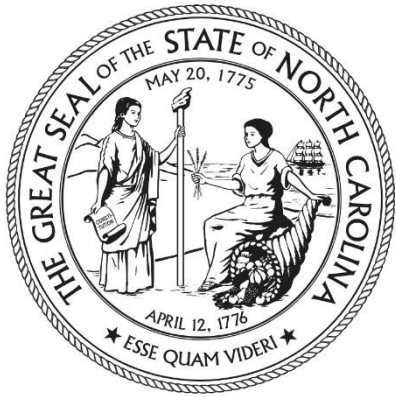
Community Mobilization and Education

Merchant Education

10. Merchant Education (Select all that apply.)

Law Enforcement Related Activities

Media and Public Relations



# STRATEGY PROGRESS



# Expectations

## STRATEGY PROGRESS CHART FY22

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 each of the 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 FY21, the provider will have met progress standards.

The below chart shows the state progress standards to be **met per intervention by June 30, 2022**. This progress chart 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.

**For the FY22 audit review, only 2 environmental strategies, 1 prevention education strategy and Synar will be reviewed. Community-based process reviews will include additional information from Appendix B and a review of hours.**

| STRATEGY  | PROGRESS COMPLETION BY JUNE 30, 2022   |
|---|--|
| <b>Youth Prevention Education/Parent Family Education</b> | Planning/Implementation for one class (3 lesson minimum-online, in person)   |
| <b>Communication Campaigns-ONGOING</b>                    | Implementation Steps 1-4 (planning steps must be completed before implementation steps).<br><br>Consider online material/dissemination options |
| <b>Communication Campaign-NEW</b>                         | Planning steps 1-5. Consider online options.   |

# Strategy Progress






| COMMUNICATION CAMPAIGNS (SOCIAL NORMS/SUPPORT FOR PREVENTION)   |   |  |
|---|---|--|
| Best Practice Step  | Briefcase   | Process Data   |
| <b>Planning Steps:</b>  |   |  |
| 1. <input type="checkbox"/> Prevention providers have support and/or participation from those community sectors that are responsible for providing access to the target audience.    | <input type="checkbox"/> Minutes for planning<br><input type="checkbox"/> Communication Campaign Training Certificate     | <input type="checkbox"/> #2 groups/populations served/counties<br><input type="checkbox"/> #3 Number of planning meetings  |
| 2. <input type="checkbox"/> Prevention providers must identify the target audience. (Should be listed in Actions Taken Section).  | N/A   | <input type="checkbox"/> #4 Number of new partners/ organizations<br><input type="checkbox"/> #5 Types of partners engaged   |
| 3. <input type="checkbox"/> Prevention providers have collected baseline survey data from the target audience. (Note: data must be collected at least once every 3 years to assist in the refinement of campaign messages and measure progress toward the achievement of objectives)  | <input type="checkbox"/> Collection of baseline survey data   | <input type="checkbox"/> #30 Number of new orgs/ agencies engaged with to develop and/or implement campaign<br><input type="checkbox"/> #31 Type of new orgs/ agencies<br><input type="checkbox"/> #32 Target audience |
| 4. <input type="checkbox"/> Prevention providers have created at least one objective using the baseline data collected from the target audience. Each objective should specify the direction of change (increase or decrease), specify focus of change, identify the specific target audience, and be measurable from the data sources. | <input type="checkbox"/> Number and list of campaign Objectives: Include why these were selected and the data source used |  |
| 5. <input type="checkbox"/> Prevention providers have created campaign materials that do not include moral or fear appeals (ex. Images intended to  | <input type="checkbox"/> Campaign examples  |  |

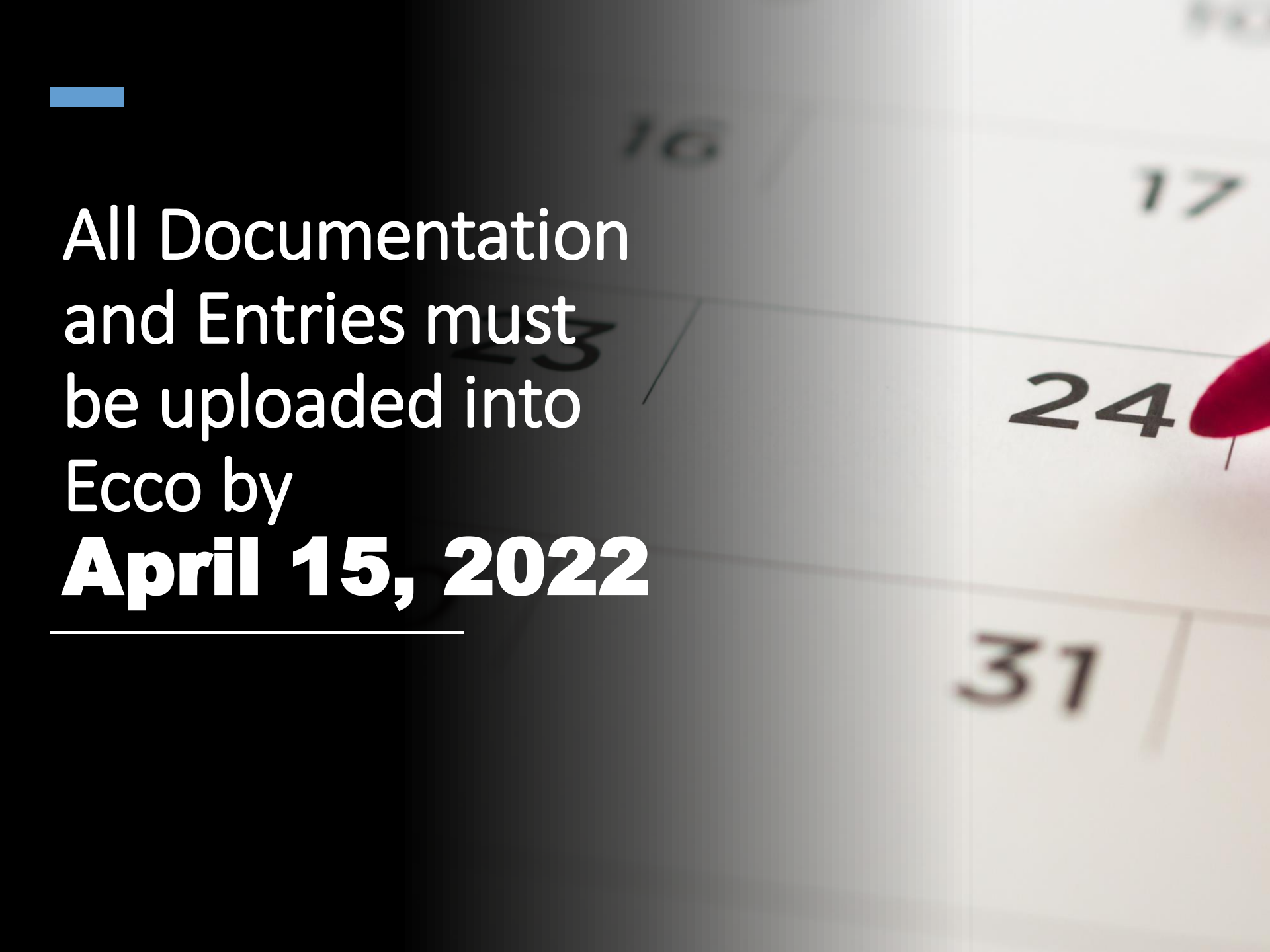

# Strategy Progress

## Action Plan: Actions Taken

| Read   | Think about   | Describe   |
|--|---|--|
| <p>Read the best practice step</p> <ul style="list-style-type: none"><li>• Do you understand what it means?</li><li>• What is it asking you to describe?</li></ul> | <p>Think about WHO, WHAT, HOW and WHEN the step was in progress/was completed</p> | <p>Describe what you changed, how you overcame, how successful you were or what is still left to do due to COVID</p> |

Too Good For Drugs|189-385-1642016255 Last Update

|   |   |   |  |   |
|---|---|---|--|---|
| <br>Action Steps | <br>Comments | <br>Process Data | <br>Hours | <br>IP PDF |
|---|---|---|--|---|



All Documentation  
and Entries must  
be uploaded into  
Ecco by  
**April 15, 2022**



# AUDIT TOOLS

Ecco

NC Prevention Provider Audit Guide

Support Documents

Prevention Audit Toolkit

# What tools to use?

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1. Ecco

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2. NC Prevention Provider Audit Guide

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3. Prevention Audit Toolkit

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4. DMH/SAS Block Grant EDUCATION AND ENVIRONMENTAL Strategy/ Intervention Guidance Document

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5. Support Documents/Forms

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# ECCO

## Terminology

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IP: Intervention Profile

---

Intervention: Strategy

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Process Data

---

Part A

---

Part B

---

Part D

---

Briefcase

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# Ecco - Sections to Complete

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

1. Enter all required data for [Parts A, B and D](#) (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, 2021 - March 31, 2022](#)



# Ecco- Labeling & Uploading Documents

The screenshot displays the Ecco8 Lakeview Hub interface. The top navigation bar includes the Ecco8 logo (Hub, Help, Reports, Data) and the user's role: PFS-Cardinal Innovations Healthcare Solutions Office - Center for Prevention. Below the navigation, there are tabs for 'Home Dashboard' and 'Briefcase Dashboard'. The main content area is titled 'Sort & Search Items' and features two dropdown menus: 'By Region' (set to 'All') and 'By Agency' (set to 'Demo Agency'). A section titled 'Demo Agency' contains a table with two columns: 'Last Update' and 'Number of uploaded items' (0 of 200). A prominent black 'Upload' button with an upward arrow icon is highlighted with a red circle. At the bottom right, there is a pagination control showing '<< 1 >>'. The footer contains the copyright notice: 'Copyright © 2022 Prospectus Group, LLC. All rights reserved.'

# Ecco- Labeling & Uploading Documents

Dashboard

### Upload and Tag Briefcase Item

Select IP Tag

Select Action Step

Choose file

**Note :** Upload doc, docx, pdf, xls or xlsx file only. Press Cntrl key to select multiple files.

# Ecco- Labeling & Uploading Documents

### Upload and Tag Briefcase Item ✕

Select IP Tag

Too Good for Drugs - (2021-2022) ▼

Select Action Step

2021-2022 ▼

Select IP

Too Good For Drugs - 189-385-1642016255 ▼

Select Action Step

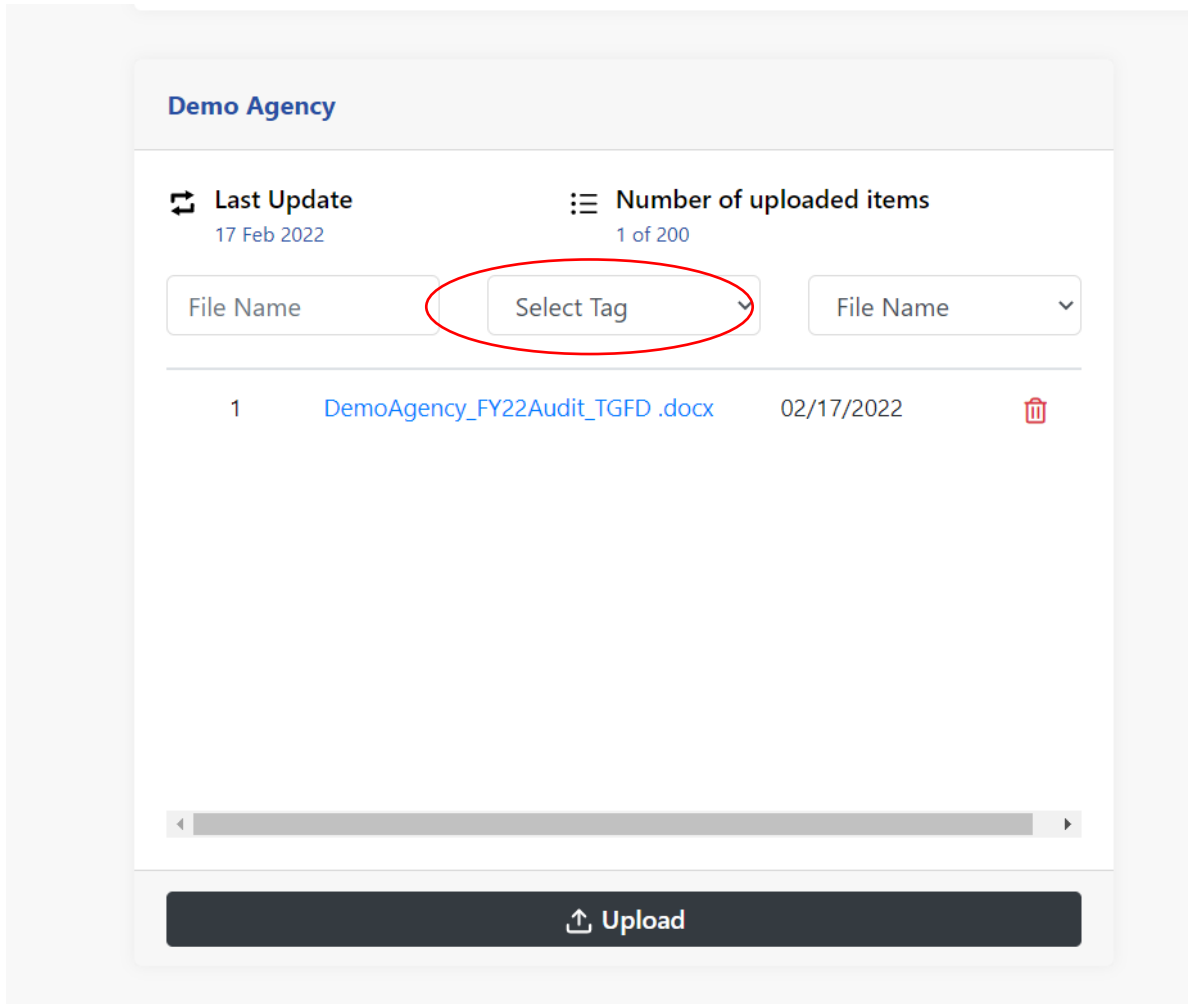
× Implementation: 4.All sessions delivered no more than two tii

C:\fakepath\DemoAgency\_FY22Audit\_TGFD .docx Browse

Upload

**Note :** Upload doc, docx, pdf, xls or xlsx file only. Press Cntrl key to select multiple files.

# Ecco- Labeling & Uploading Documents



NOTE: Documents uploaded to the briefcase for the audit should be labeled to reflect the Agency Name, Fiscal Year and Strategy Name.

Example:

**DemoAgency\_FY22Audit\_TGFD.docx**

# NC Prevention Provider Audit Guide

## NC PREVENTION PROVIDER AUDIT GUIDE

### [Abstract](#)

The NC Prevention Provider Audit Guide serves as a manual for Prevention Providers who receive SAPBG funding. The manual will assist providers with documenting the process and progress of their prevention work within the statewide approved strategies. The guide informs providers of the needed documentation to be uploaded and [entered into](#) the Statewide ECCO Reporting System. The use of this guide will help providers connect action plans to impact within the community and satisfy the statewide annual audit requirements.






Created by the NC Prevention State Audit Team July 2019, Modified February 2022

# Prevention Provider Audit Guide: YPE

| 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 completed   |
| <input type="checkbox"/> Each prevention provider delivering the program has meet required developer training requirements, as necessary.<br>****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"> <li>The prescribed number of required core curriculum sessions</li> <li>The core curriculum implemented in the appropriate setting as recommended by the program developer</li> <li>All sessions at least 30 minutes long</li> <li>All sessions delivered no more than two times per week for all programs</li> </ol> | <input type="checkbox"/> Prevention Education Schedule/ plan: include number of sessions, setting, length, and dates for delivery (an example per curricula)<br><input type="checkbox"/> Attendance logs per curriculum | <input type="checkbox"/> Number of attendees completing 80%                                   |

# Best Practice Steps: YPE

Too Good For Drugs|189-385-1642016255 Last Update

|   |   |   |  |   |
|---|---|---|--|---|
| <br>Action Steps | <br>Comments | <br>Process Data | <br>Hours | <br>IP PDF |
|---|---|---|--|---|

Too Good For Drugs - 189-385-1642016255




Enable work bundle email reminder?

**Action Step 1** Select to Sort Edit Action Steps PDF Download CSV Download

| Action Step Description        | Actions Taken | Resources Needed | Projected Start Date | Projected End Date |
|--------------------------------|---------------|------------------|----------------------|--------------------|
| Planning: 1. The prevention pr | Action Taken  | Resources Needed | yyyy-mm-dd           | yyyy-mm-dd         |

click when complete  
yyyy-mm-dd  ON

Tag Files:

 Resources Needed  Location Notes  Responsible Party

**Action Step 2**

# Process Data: YPE

Too Good For Drugs|189-385-1642016255 Last Update

Action Steps Comments **Process Data** Hours IP PDF

## Process Evaluation Dashboard

**Agency Name:**

Demo Agency

**Intervention Name:**

Too Good For Drugs

**Intervention Type:**

Prevention Education

**Service Type:**

Ongoing classroom/small group sessions

**Community Name:**

189-385-1642016255

**Community Zipcode:**

Null

**County:**

Alamance

**Contract Year:**

2021-2022

**Model Name:**

Too Good for Drugs

Input Data

Input Records

Process Report PDF

Select reporting period.

January - 2022

Location -

About Intervention

1. Was this intervention active during this reporting period?

Yes  No

2. Projected Start Date

3. Projected End Date

4. Service groups/populations served by intervention? (Select all that apply.)

5. What were the format(s) of the prevention education intervention this reporting period? (Select all that apply)

6. Is this a recurring intervention in which the same group of people are served over multiple sessions?

Yes  No

7. Number of new groups started this reporting period?

8. Number of session Completed?

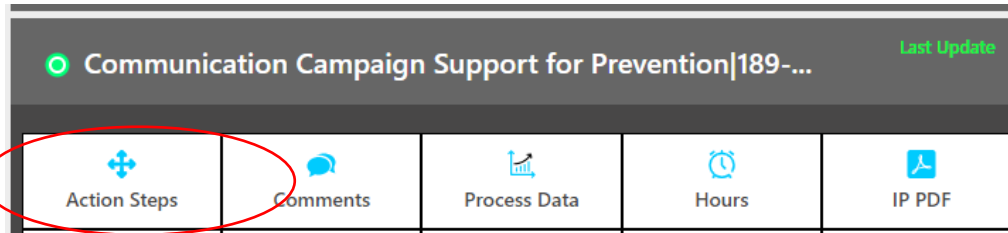
Participants



# Prevention Provider Audit Guide: Communication Campaign

| COMMUNICATION CAMPAIGNS (SOCIAL NORMS/SUPPORT FOR PREVENTION)   |  |  |
|---|--|--|
| Best Practice Step  | Briefcase  | Process Data   |
| <b>Planning Steps:</b>  |  |  |
| 1. <input type="checkbox"/> Prevention providers have support and/or participation from those community sectors that are responsible for providing access to the target audience.   | <input type="checkbox"/> Minutes for planning<br><input type="checkbox"/> Communication Campaign Training Certificate          | <input type="checkbox"/> #2 groups/populations served/counties<br><input type="checkbox"/> #3 Number of planning meetings  |
| 2. <input type="checkbox"/> Prevention providers must identify the target audience. (Should be listed in Actions Taken Section).  | N/A  | <input type="checkbox"/> #4 Number of new partners/ organizations<br><input type="checkbox"/> #5 Types of partners engaged   |
| 3. <input type="checkbox"/> Prevention providers have collected baseline survey data from the target audience. (Note: data must be collected at least once every 3 years to assist in the refinement of campaign messages and measure progress toward the achievement of objectives)  | <input type="checkbox"/> Collection of baseline survey data  | <input type="checkbox"/> #30 Number of new orgs/ agencies engaged with to develop and/or implement campaign<br><input type="checkbox"/> #31 Type of new orgs/ agencies<br><input type="checkbox"/> #32 Target audience |
| 4. <input type="checkbox"/> Prevention providers have created at least one objective using the baseline data collected from the target audience. Each objective should specify the direction of change (increase or decrease), specify focus of change, identify the specific target audience, and be measurable from the data sources. | <input type="checkbox"/> Number and list of campaign Objectives: Include why these were selected and the data source used      | <input type="checkbox"/> #33 Describe how you engaged the target audience<br><input type="checkbox"/> #34 Target of campaign   |
| 5. <input type="checkbox"/> Prevention providers have created campaign materials that do not include moral or fear appeals (ex. Images intended to  | <input type="checkbox"/> Campaign examples<br><input type="checkbox"/> Process for developing new materials/choosing materials |  |

# Best Practice Steps: Communication Campaign



Communication Campaign Support for Prevention - 189-385-1645128529

Enable work bundle email reminder?

**Action Step 1** Select to Sort Edit Action Steps PDF Download CSV Download

| Action Step Description         | Actions Taken | Resources Needed | Projected Start Date<br>Projected End Date |   |
|---------------------------------|---------------|------------------|--|---|
| Planning:1.Prevention providers | Action Taken  | Resources Needed | yyyy-mm-dd<br>yyyy-mm-dd                   | click when complete<br>yyyy-mm-dd <input type="checkbox"/> ON |

[Details](#)

Tag Files:

Resources Needed Location Notes Responsible Party

**Action Step 2**

| Action Step Description | Actions Taken | Resources Needed | Projected Start Date |
|-------------------------|---------------|------------------|----------------------|
|-------------------------|---------------|------------------|----------------------|

# Process Data: Communication Campaign



Process Evaluation Dashboard

Agency Name: Demo Agency

Intervention Name: Communication Campaign Support for Prevention

Intervention Type: Environmental

Service Type: Communication Campaigns; Support for prevention (AKA policy, media advocacy)

Community Name: 189-385-1645128529

Community Zipcode: Null

County: Alamance

Contract Year: 2021-2022

Model Name: Communication Campaigns: Support for Prevention

Input Data | Input Records | Process Report PDF

Reporting Month: January - 2022

About Intervention

1. Was this intervention active during this reporting period?  
 Yes  No

2. Service groups/populations served by intervention? (Select all that apply)

2.1 Counties Served from the counties chosen in the IP  
Alamance

3. Number of planning meetings? 4. number of new partners/organizations? 5. Type of partners engaged?

Master Total Reach

Training of Environmental Influencers

Policy Review, Enactment, or Modification







Save

# Prevention Provider Audit Guide: Synar

| SYNAR  |  |   |
|--|--|---|
| Best Practice Steps for all strategies, aside from Media and Public Relations, are in the Strategy Guidance Document as a guide but not listed in ECCO | Briefcase  | Process Data  |
| <input type="checkbox"/> Merchant Education Tracker was completed for Merchant Visits  | <input type="checkbox"/> Minutes from meetings with community partners   | <input type="checkbox"/> Complete Synar10 Merchant Education (Select all that apply)  |
| <input type="checkbox"/> Tobacco Survey Tracker was completed for Tobacco Survey Visits  | <input type="checkbox"/> Meeting minutes for planning and implementation<br><input type="checkbox"/> PowerPoint used for training or training materials<br><input type="checkbox"/> Age testing protocols/ form<br><input type="checkbox"/> Tobacco survey protocols | <input type="checkbox"/> Complete Synar # 9.2 Did you conduct tobacco surveys<br><input type="checkbox"/> Complete Synar #9.3 of 9.2 is YES: If you conducted Tobacco Survey, did you refer those who failed to ask for ID to local law enforcement? ( <u>by</u> law enforcement agency)<br><input type="checkbox"/> If #9.3 is YES; then answer #9.4 If you referred those who failed to ask for ID to local law enforcement, how many compliance checks did they conduct this reporting period?<br><input type="checkbox"/> #11 Number of meetings held if relevant |

# Best Practice Steps: Synar

Synar Master|189-1-1610184687 Last Update

|  |  |   |  |   |  |
|--|--|---|--|---|--|
|  Action Steps |  Comments |  Synar |  Process Data |  Hours |  IP PDF |
|--|--|---|--|---|--|

**Demo Agency - Synar Merchant Dashboard Tracking**







[Download CSV Merchant List](#)  
Merchants Uploaded: 0 | Updated:

|  |  |   |
|--|--|---|
| <b>Business Status</b><br><input type="text" value="Business Status"/>         |  |   |
| <b>Location Type</b><br><input type="text" value="Location Type"/>             |  |   |
| <b>Email Address</b><br><input type="text" value="Email Address"/>             |  |   |
| <b>Outlet Phone Number</b><br><input type="text" value="Outlet Phone Number"/> |  |   |
| <b>Part 1</b> Merchant Education Visit   |  | ▼ |
| <b>Part 2</b> Tobacco Survey   |  | ▼ |

<< > >> Select Page ▼

# Process Data: Synar

Synar Master|189-1-1610184687 Last Update

|   |   |  |   |  |   |
|---|---|--|---|--|---|
| <br>Action Steps | <br>Comments | <br>Synar | <br>Process Data | <br>Hours | <br>IP PDF |
|---|---|--|---|--|---|

Process Evaluation Dashboard

**Agency Name:**  
Demo Agency

**Intervention Name:**  
Synar Master

**Intervention Type:**  
Environmental

**Service Type:**  
Synar

**Community Name:**  
189-1-1610184687

**Community Zipcode:**  
Null

**County:**  
Null

**Contract Year:**  
Null

**Model Name:**  
Null

Input Data | Process Report PDF

Select reporting period

January - 2022

- Master Total Reach
- Community Mobilization and Education
- Merchant Education

10. Merchant Education (Select all that apply.)

Law Enforcement Related Activities

Media and Public Relations

# Support Documents

## Community-Based Process

### GENERAL INFORMATION

---

**Agency Name:** Click or tap here to enter text.

**Fiscal Year:** Click or tap here to enter text.

**Manager Name:** Click or tap here to enter text.

**LME:** Click or tap here to enter text.

---

### COMMUNITY-BASED PROCESS

**Instructions:** Mark all strategies that have been conducted during the current audit review timeframe.

Coalition/Task Force/Collaborative/Meetings

Needs Assessment and Strategic Planning

State Level Workgroup

Sustainability Planning/Leveraging Resources

Communities Mobilizing for Change on Alcohol

### STRATEGY DOCUMENTATION

**Instructions:** Complete the questions below for each community-based process strategy that was completed within the audit review timeframe. Please provide specific examples when asked. Additional documentation such as minutes, emails, agenda, etc. can be added to this document for reference. Only check the boxes below for the strategies that are active during the audit review timeframe.

Coalition/Task Force/Collaborative/Meetings

1. List any environmental strategies directly supported by this community-based process strategy (EXAMPLE: List "Safer Prescriber Training" for Coalitions that are attended that connect to efforts for Safer Prescriber Training)  
Click or tap here to enter text.
2. Provide examples of **HOW** your coalition/task force/collaboratives/meetings directly supported environmental strategy work. (EXAMPLE: For Safer Prescriber Training, ABC County Coalition has a mission for addressing prescription drug misuse, and meetings are attended by staff to build capacity in the community and to train volunteers to assist with implementing Safer Prescriber Trainings within ABC County.)  
Click or tap here to enter text.
3. List any prevention education strategies directly supported by this community-based process strategy (EXAMPLE 1: For Too Good for Drugs, we work with the coalition members to bridge connections with schools and assist with scheduling the prevention education implementation.)  
Click or tap here to enter text.
4. Provide examples of **HOW** your coalition/task force/collaboratives/meetings directly supported prevention education strategies. (EXAMPLE: ABC County Coalition has a mission for addressing prescription drug misuse, and volunteers assist with scheduling and securing schools for implementing the prevention education program ABC County.)  
Click or tap here to enter text.
5. Provide examples of **HOW** your coalition/task force/collaboratives/meetings directly increased your general capacity for prevention work (Example: By participating in the ABC County Child Health Task Force, we are able to build partnerships with those in the community and utilize





# Prevention Audit Toolkit



The Prevention Audit Toolkit will be used in conjunction with a desk audit of ECCO data.



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

# Prevention Audit Toolkit

## 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<br>(add rows as needed)               | Current Progress in Strategy<br>(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<br><input type="checkbox"/> Part B<br><input type="checkbox"/> Clear Actions Taken<br><input type="checkbox"/> Process Data provided<br>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<br><input type="checkbox"/> Part B<br><input type="checkbox"/> Clear Actions Taken<br><input type="checkbox"/> Process Data provided<br>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<br><input type="checkbox"/> Part B<br><input type="checkbox"/> Clear Actions Taken<br><input type="checkbox"/> Process Data provided<br>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"> <li>Explanation and Summary of what was found in the Worksheet and throughout the Desk Review and any interviews.<br/>Click or tap here to enter text.</li> </ul>  |
| Strengths:  | <ul style="list-style-type: none"> <li>Strengths listed here:<br/>Click or tap here to enter text.</li> </ul>   |
| Areas of Improvement (with recommendations):      | <ul style="list-style-type: none"> <li>Areas of Improvement listed here:<br/>Click or tap here to enter text.</li> </ul>  |
| Overall Recommendations:                          | <ul style="list-style-type: none"> <li>Place Recommendations here:<br/>Click or tap here to enter text.</li> </ul>  |
| MEETING AGENDA:<br>Areas/questions for discussion | <p>What successes did you have with (any) strategies/interventions?<br/>Click or tap here to enter text.</p> <p>What struggles did you have with (any) strategies/interventions?<br/>Click or tap here to enter text.</p> <p>What portions of ECCO/the audit were successful/challenging?<br/>Click or tap here to enter text.</p> <p>What questions do you have about the audit?<br/>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?<br/>Click or tap here to enter text.</p> <p>What other documentation do you have to show progress in interventions?<br/>Click or tap here to enter text.</p> <p>How can we help you be more successful in future audit years?<br/>Click or tap here to enter text.</p> |



# AUDIT ASSISTANCE

LME  
TTA  
State Office

# Audit Assistance from LMEs



APRIL - MAY  
SCHEDULE PRE-  
AUDIT MEETINGS,  
AS NEEDED

# Audit Assistance from TTA Center

Before: Collecting all Current Active Interventions (July 1, 2021 - March 1, 2022) 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

Dr. Angela Maxwell 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?



# Contact Information

**Angela Maxwell, PhD, CPS**

**Prevention Block Grant Manager**

Community Wellness, Prevention, and  
Health Integration Team

Division of Mental Health/Developmental  
Disabilities/Substance Abuse Services

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**Amanda Dezarn**

**Director**

NC Training and Technical Assistance Center

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**Synar Team**

Community Wellness, Prevention, and Health  
Integration Team

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**Thank you!**