

**North Carolina Strategic Prevention Framework (SPF)
State Incentive Grant (SIG)
Invitation for Select LMEs to Apply for Funds
for County-Based Prevention Projects**

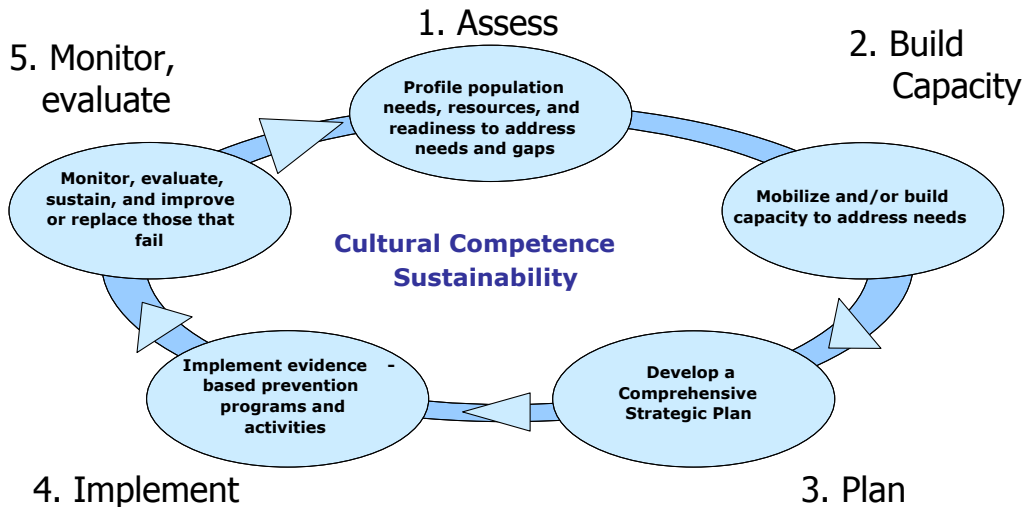
- OBJECTIVE:** Prevention of alcohol-related traffic crashes and fatalities in North Carolina
- FUNDING PERIOD:** Through June 30, 2008, upon applicant and budget plan approval, with possible renewal for two subsequent years, based upon availability of funding.
- APPLICATION DEADLINE:** Applications must be received in the Prevention and Early Intervention Team office no later than 12:00 noon, on Friday, July 27, 2007.
- COPY REQUIREMENTS:** Submit one electronic, one original signed hard copy, and five photocopies. Applications without requested attachments will not be accepted.
- FUNDING ELIGIBILITY:** Applicant must be one of the following designated NC Local Management Entities (LMEs): Albemarle, Neuse Center (East Carolina Behavioral Health), Eastpointe, CenterPoint, Crossroads, Five County, Foothills, Onslow-Carteret, Smoky Mountain, Sandhills, Southeastern Center, or Southeastern Regional. All funds must be directed to private not-for profit agencies committed to preventing alcohol-related traffic crashes/deaths in designated high-need counties within the LME's catchment area, as listed on page 3. LMEs with more than one high-need county are encouraged to apply individually for more than one high-need county, but must submit a separate application for each.

This Invitation is to submit a plan for a designated LME that agrees to lead, organize and oversee the implementation of the 5-step Strategic Prevention Framework within the SPF-SIG selected, targeted counties they represent. The selected LMEs and communities will support collaborative relationships between the private sector, public health, academic partners, private non-profit services providers and others to implement the NC SPF-SIG, develop prevention expertise and infrastructure to sustain the process, and generate evidence to support replication of the process across the state. This program requires that communities develop plans aimed at population level change, meaning a measurable change in an identified population within a county or community.

Funding of up to \$100,000 annually is available for community-based grants for the LME to contract with private not-for-profit agencies in SFY 07-08. It is anticipated that this will be a three year program, with funding in years two and three contingent upon satisfactory performance and availability of federal funds.

SPF SIG OVERVIEW

The Strategic Prevention Framework (SPF) is a public health, data-driven, and outcomes-based prevention process that guides states and communities toward their goal of reducing substance abuse and its consequences. The SPF consists of five key steps that are critical for the success of any comprehensive prevention initiative: needs assessment; capacity building; strategic planning; implementation of evidence-based programs, policies and practices; and evaluation/monitoring. The SPF is graphically displayed in the figure below.



SPF SIG at the State Level

To date, the US Center for Substance Abuse Prevention (CSAP) has funded more than 30 states/territories with SPF State Incentive Grants (SPF SIGs) to implement the SPF across the country. Each SPF SIG grantee is required to conduct the five SPF steps at the state and community levels. North Carolina received its SPF SIG in 2005 and has thus far concentrated on implementing the SPF at the state level. To that end, the State has conducted a statewide needs assessment, is working to increase prevention capacity across the state, has developed a strategic plan, and is conducting a statewide SPF SIG evaluation. With this Invitation, the State of North Carolina is beginning the process of implementing evidence-based prevention programs, policies, and practices across the state.

As part of the state level prevention needs assessment, the State established a Statewide Epidemiological Workgroup (SEW), which analyzed data on substance use in North Carolina and the consequences of that use. After extensive data analysis and discussion, the SEW developed a list of six high priority issues, and recommended one of them as being the most suitable for the State to address through the SPF SIG initiative. Based on the recommendation by the SEW to the NC SPF SIG Cooperative Agreement Advisory Board (CAAB), SPF SIG funds are directed towards the following high priority issue:

Alcohol-Related Traffic Crashes and Fatalities

Using epidemiological data regarding the percent of crashes that are alcohol-related, the rate of alcohol-related crashes per 100,000 population, and the number of fatalities from alcohol-related crashes, SPF SIG funds are offered to the following high-need counties (referred to as “subrecipients,” with the LME in parentheses):¹

- Alexander (Foothills*)
- Brunswick (Southeastern Center)
- Cherokee (Smoky Mountain*)
- Columbus (Southeastern Regional*)
- Dare (Albemarle)
- Duplin (Eastpointe*)
- Franklin (Five County*)
- Gates (Neuse/East Carolina Behavioral Health)
- Hoke (Sandhills)
- Jackson (Smoky Mountain*)
- McDowell (Foothills*)
- Onslow (Onslow-Carteret)
- Robeson (Southeastern Regional*)
- Sampson (Eastpointe*)
- Stokes (CenterPoint)
- Surry (Crossroads)
- Vance (Five County*)
- Watauga (Smoky Mountain*)

Details of the work of the SEW and the process for selecting the high need counties are found in the “Epidemiological Profile” and the “North Carolina Strategic Prevention Plan,” both of which are posted at www.ncspfsig.org.

SPF SIG at the Community Level

This Invitation begins the process of implementing the SPF throughout select North Carolina communities. Community implementation will involve collaboration among the LME and prevention stakeholders in each select county. The Division will provide the vital leadership, technical support, training, and monitoring to ensure subrecipient communities are successful.

The five SPF steps must be conducted in each NC SPF SIG subrecipient county. NC SPF SIG subrecipients are encouraged to build on their existing infrastructure as appropriate. Sustainability and cultural responsiveness must be addressed in all steps.

- 1) Needs Assessment: Profile population needs, resources, and readiness to address alcohol-related traffic crashes and fatalities.

¹ An asterisk (*) indicates that the LME serves more than one eligible county.

NC SPF SIG subrecipients must accurately assess alcohol-related traffic crashes and fatalities in the county using epidemiological data provided by the State, as well as other local data. The needs assessment must accomplish the following:

- Identify where the problem is greatest in the county (e.g., geographic areas, age groups, ethnic groups);
- Assess the contributing factors (i.e., intervening variables) that most influence the problem (e.g., underage drinking, social access to alcohol, limited law enforcement, community norms); and
- Assess community assets and resources, gaps in services, capacity, and readiness to act to address the problem.

2) Capacity: Mobilize and/or build capacity to address needs.

Engagement of key stakeholders at the community level is critical to plan and implement successful prevention activities that will be sustained over time. Key capacity tasks may include, but are not limited to, convening leaders and stakeholders, training community stakeholders and service providers, organizing agency networks, leveraging resources, and engaging stakeholders to help sustain the activities.

3) Planning: Develop a comprehensive community strategic plan.

Using data from the county needs assessment, NC SPF SIG subrecipients must develop a strategic plan. The plan will articulate not only a vision for prevention activities, but also strategies for organizing and implementing prevention efforts related to this project. The strategic plan must be based on documented needs and build on identified resources and strengths. Plans must be adjusted in response to information from ongoing needs assessment and monitoring activities. The issue of sustainability should be a constant throughout each step of planning and implementation and should lead to the creation of a long-term strategy to sustain outcomes, programs and practices. NC SPF SIG subrecipients must develop a strategic plan that includes the following:

- A statement acknowledging the state's priority area and the county's commitment to addressing it;
- Needs assessment results, including the identification of high problem areas and intervening variables that contribute to alcohol-related traffic deaths/crashes;
- Appropriate (i.e., logically connected and culturally competent) evidence-based programs, policies, and practices to address alcohol-related traffic deaths;
- A statement of the community's capacity and infrastructure to address alcohol-related traffic deaths/crashes—including the specific capacity to implement planned activities—as well as a plan to increase capacity to implement the planned activities, where needed;

- The identification of—and letters of support from—the prevention partners in the county that will be responsible for implementing the evidence-based programs, policies, and practices;
- An evaluation plan that has been developed in collaboration with the state evaluator to assess community-level processes and outcomes;
- A discussion of how the community will develop a plan for sustaining the strategies after SPF SIG funds have been depleted; and
- A realistic timeline for implementing the strategic plan.

- 4) Implementation: Implement evidence-based prevention strategies (programs, policies, and practices) and infrastructure development activities, as well as use evaluation information to adjust strategies throughout the course of the project.

NC SPF SIG subrecipients will implement programs, policies, and practices proven to be effective in reducing alcohol-related traffic crashes and deaths, and/or the factors that contribute to them in the community. Community implementers must ensure that culturally competent adaptations are made without sacrificing the core elements of the policies, programs and practices.

- 5) Evaluation: Monitor the project implementation processes and outcomes.

The state evaluator is the primary entity responsible for monitoring state- and community-level process and outcomes. NC SPF SIG subrecipients will be responsible for cooperating with the state evaluator, including but not limited to the following:

- Documenting key community activities related to the NC SPF SIG;
- Completing the Community Level Instrument (CLI) required by CSAP;
- Participating in key information interviews;
- Identifying measures to assess community outcomes for the project;
- Implementing the local evaluation plan; and
- Engaging in all data collection activities required by CSAP and the Division.

In addition, all NC SPF SIG subrecipients must be prepared to adjust their implementation plans based on the results of monitoring and evaluation activities.

NC SPF SIG RESOURCES

Centers for Prevention Resources

The Division has established three regional Centers for Prevention Resources (CPRs) to provide training and technical assistance to each NC SPF SIG subrecipient throughout the project. A fourth CPR will be established in the near future. The CPRs will serve as the first line of assistance for the LMEs, needs assessment entities, and implementation organizations within their regional catchment areas. The CPRs and the regions they represent are the following:

- Coastal Horizons (Eastern Region)
- Chemical Dependency Center (Western Region)
- Unlimited Success (North Central Region)

RTI International

The Division has contracted with RTI International, located in Research Triangle Park, to serve as the state needs assessment contractor. RTI compiled the data for the State Epidemiological Workgroup and will provide each subrecipient with county level data about alcohol-related traffic crashes and fatalities. RTI will also provide subrecipients with training, tools, and technical assistance regarding the collection and synthesis of data to assess prevention needs and capacity.

Pacific Institute for Research and Evaluation (PIRE)

The Division has contracted with the Chapel Hill Center of PIRE to serve as the state evaluator. PIRE will work with each subrecipient to develop an evaluation plan that will allow the state to assess county level SPF SIG processes and outcomes. PIRE will provide subrecipients with training, tools, and technical assistance regarding the collection and synthesis of evaluation data.

NC SPF SIG Invitation to Apply Application Checklist

INCOMPLETE APPLICATIONS WILL NOT BE CONSIDERED. This checklist is being provided to ensure all pieces of your application are included.

July 27, 2007: Applications are DUE no later than 12:00 noon in the Prevention and Early Intervention Team office in Raleigh. **LATE SUBMISSIONS MAY RESULT IN CANCELLATION OF INVITATION OR DELAY OF FUNDING.**

LMEs will not be required to submit an itemized budget with the SPF-SIG application by July 27, 2007. The Division will provide guidance on the budget, including approved and non-approved expenditures, at the time of the anticipated August 3, 2007 notification of project enrollment and notice of award of funds. Specific budget guidance from the Division will be provided for the development of contracts for the needs assessment contractor, implementation contractor(s), and other contract(s) for program support.

Submit one electronic, one original signed hard copy, and five photocopies. Applications without requested attachments will not be accepted.

Send completed applications to the following address:

Dr. Janice Petersen
3021 Mail Service Center
Raleigh, NC 27699-3021
919-715-5989
Janice.Petersen@ncmail.net

OVERNIGHT MAIL ADDRESS: 325 N. Salisbury Street, Suite 656, Raleigh, NC 27603

	Description	Check if Included	Page #
1	Application Checklist		
2	Cover Page		
3	County Advisory Panel Form and Letters of Commitment		
4	County Needs Assessment Form		
5	Assurances Form		

COUNTY ADVISORY PANEL (CAP) FORM

Each county is required to have a County Advisory Panel (CAP) that will provide input into the implementation of the SPF SIG in the county, including the needs assessment, capacity building, strategic plan, implementation of evidence-based practices, and evaluation. One of the first tasks of the CAP will be to advise the LME on possible persons or organizations that can effectively conduct the county-wide needs assessment.

When recruiting CAP members, we encourage you to consider the following:

- Who best knows your county?
- Who knows the significant sub-populations within the county (based on age, ethnic, socioeconomic, geographic, or other important groupings within the county)?
- Who is most concerned and involved with alcohol use in the county (e.g., prevention advocates, people in the alcohol business)?
- Who knows the most about drinking and driving in the county?

Name *at least 3* people in the county who will serve on the CAP. Provide information on their affiliation, training, and/or any additional information as to why they will be good advisors to the county throughout the SPF initiative. Attach letters of commitment from each member.

Name of Person	Title	Organizational Affiliation/Background
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

Attach Letters of Commitment from these individuals at the end of the application.

COUNTY NEEDS ASSESSMENT FORM

Each county is required to conduct a thorough needs assessment on the factors that contribute to alcohol-related traffic deaths/crashes in the county, as well as the county's capacity to address those factors.

It is required that the LME will contract with a Division-approved, private not-for-profit entity (individual or organization) that will conduct the needs assessment. It is also expected that the CAP will provide input into selecting the contractor. When selecting the needs assessment contractor, we encourage you to consider the following:

- Who in the county has training/experience in needs assessments and data collection?
- Who has time and staff to complete task in the next 6 months?
- Who is knowledgeable about the county?
- With whom do you have history of a positive working relationship?

CPR-rationale for choosing and indicate how duties will be separate from TA to counties

Name *at least two* entities that are being considered by the LME to complete the county level needs assessment, and provide some background on their expertise to perform this task. By providing the name of the entities here, the LME is not committing to working with either one.

Name of Entity or Person	Background/Training
1.	
2.	
3.	
4.	
5.	

ASSURANCES FORM SPF SIG Project Expectations

At the county level, the NC SPF SIG will be a collaborative among the LME, the entity that conducts the county-level needs assessment, organization(s) that implements the initiative in the county, and other community stakeholders. Below is a list of roles, responsibilities, and expectations of each collaborator.

Roles, Responsibilities, and Expectations of the LME

- Acts as a fiduciary agent for county funds
- Establishes County Advisory Panel (CAP)
- Works with CAP to identify a capable entity (public or private) to conduct the countywide needs assessment
- After completion of the needs assessment, works with CAP to identify a capable organization(s) to implement the SPF SIG in the county
- Executes contracts with needs assessment entity and implementation organization(s)
- Provides fiscal and programmatic monitoring of contractors in accordance with guidelines from the Division
- Oversees required reporting by the contractors
- Serves as liaison between Division and county partners throughout the course of the project
- Completes non-competitive continuation applications for Years 2 and 3
- Designates a lead project representative
- Attends all NC SPF SIG required trainings

Role, Responsibilities, and Expectations of the Needs Assessment Contractor

- Conducts the countywide needs assessment for the prevention of alcohol-related traffic crashes/deaths, including an assessment of county capacity, and submits summary of findings
- Develops the county strategic plan (in collaboration with CAP and LME)
- Attends required NC SPF SIG trainings
- Must be an approved private not-for-profit entity or an approved public entity
- Must NOT be performed by an LME, by any administrative, operations, or service delivery staff, or by any LME directly-provided service delivery entity.

Role, Responsibilities, and Expectations of the Implementation Organization(s)

- Implements the county strategic plan, including the development of county capacity and collaborating with the state evaluator to monitor process and outcomes
- Completes regular reporting requirements of CSAP and the Division
- Allocates at least 50% FTE for a project coordinator and least 50% FTE for a additional project staff (including someone with some data expertise)
- Attends required NC SPF SIG trainings
- Must be a non-profit or public entity
- Must NOT be performed by an LME, by any administrative, operations, or service delivery staff, or by any LME directly-provided service delivery entity.

In addition to the restrictions listed above, grant funds **may not** be used for the following:

- Any LME expenses or any LME directly-provided services
- Capital expenditures over \$2,000
- Payment of any person for influencing or attempting to influence an employee of any agency, a Member of Legislature in connection with the awarding of a Federal or State contract, continuation, renewal, amendment, or modification of any Federal or State contract, loan or cooperative agreement
- Services that duplicate activities already supported by the Drug Free Community Support Program, the Safe and Drug Free Schools and Communities Program, or the Substance Abuse Prevention and Treatment Block Grant.
- Media development (TV, radio, print) and airing that duplicates the efforts of the state and federal governments
- Purchase of land, buildings, vehicles, or major equipment or furnishings
- Construction or renovation of property
- Any activities or expenditures prohibited in the Substance Abuse Prevention and Treatment Block Grant (SAPTBG)

Community Level Year 1 Timeline

County Year 1 will be devoted to conducting the county needs assessment (SPF Step 1) and developing the community strategic plan (SPF Step 3). The LME will contract with a Division-approved needs assessment entity to accomplish these steps. Community Years 2 and 3 will be devoted to building community capacity (SPF Step 2), implementing evidence-based programs, policies, and practices (SPF Step 4), and evaluating SPF processes and outcomes (SPF Step 5). The LME will contract with one or more Division-approved implementation organization(s) to accomplish these steps. Throughout the NC SPF SIG, the LME will collaborate with the Division and the state evaluator to ensure that all steps are fully executed. Below is a timeline of County Year 1 key project activities and milestones.

Sign here:

Date	Task/Activity	Responsible Party*	If unable to ensure completion, indicate why.
June 20 – 21, 2007	Attend invitational meeting of LME directors and key personnel to discuss application process and expectations.	LME	
July 27, 2007	Submit application to receive NC SPF SIG funds and attend meeting of the CAAB	LME	
August 3, 2007	Division makes announcement of acceptance of project and notification of funds available to LMEs.	Division	n/a
By August 10, 2007	Convene first meeting of the County Advisory Panel (CAP).	LME	
By August 17, 2007	Secure commitment of needs assessment contractor and have contractor and budget approved by the Division.	LME	
By August 24, 2007	Execute contract with needs assessment entity.	LME	
August, 2007 (last week)	Attend NC SPF SIG needs assessment training.	LME NAC	
September 14, 2007	Submit brief needs assessment plan to Division.	NAC	
December 31, 2008	Submit completed needs assessment findings to the Division.	NAC	
Early January, 2008	Attend training meeting on strategic planning, choosing appropriate intervention strategies, and building capacity	LME NAC	
February, 2008	Begin to identify key agencies, organizations, and/or collaborators in the county with whom the LME may contract to implement the strategic plan.	LME NAC	
Late February, 2008	Attend NC SPF SIG Learning Community, including basic training community-level evaluation	LME NAC	
April 1, 2008	Submit first draft of community strategic plan to Division.	NAC	
April 15, 2008	Division provides feedback on draft strategic plan.	Division	n/a
June 1, 2008	Submit final draft of community strategic plan to Division.	NAC	
June 30, 2008	Division reviews strategic plan and approves plan or sends it back for further work.	Division	n/a

* LME = Local Management Entity
NAC = Needs Assessment Contractor

Acceptance of Invitation and Statement of Assurances

I have thoroughly read this Invitation including the Project Expectations, Year 1 Timeline, and the Division’s staffing expectations throughout the course of this three-year project. I understand that the LME is responsible for ensuring that these activities are accomplished on time and on budget. Should any problems arise during the grant period, the LME project coordinator will contact the Division and report the problems in a timely manner.

I further understand that the LME may not utilize any current or future SPF-SIG funds for the financial support of any LME staff or function(s) or any LME directly-provided service delivery staff or service(s).

LME Director’s Name

LME Director’s Signature Date

LME Finance Director’s Name

LME Finance Director’s Signature Date

Lead LME SPF SIG Contact Name and Title

LME SPF SIG Contact’s Signature Date

Frequently Asked Questions (FAQs) about the NC SPF-SIG Initiative June 25, 2007

1. What is the NC SPF SIG Initiative?

The NC SPF SIG is a project to reduce alcohol-related traffic crashes and deaths in 18 high-need counties in North Carolina. High-need counties must go through a five step process to address alcohol-related traffic crashes/deaths: needs assessment, capacity building, strategic planning, implementation of evidence-based strategies, and evaluation/monitoring. The selected LMEs and communities will support collaborative relationships between the private sector, public health, academic partners, private non-profit services providers and others to implement the NC SPF-SIG, develop prevention expertise and infrastructure to sustain the process, and generate evidence to support replication of the process across the state. This program requires that communities develop plans aimed at population level change in the county.

2. What are the first steps for the LME to respond to the Invitation to submit an application?

- Decide to commit LME staff and resources to champion, host, lead, and manage this community-based project or decide to decline the invitation to participate in the SPF-SIG Initiative
- Identify a few key county-level partners who will serve as the initial County Advisory Panel to assist the LME in selecting a needs assessment contractor (and obtain letters of commitment from those individuals)
- Name at least two *potential* local needs assessment contractors (see Question #8)
- Submit the required application documents to accept the invitation by July 27, 2007
- Receive written approval from the Division to participate in the SPF-SIG Initiative

3. What roles and responsibilities does the LME have for the first 6 months (July-December, 2007)?

- Designates an LME lead staff member to lead the project and serve as the LME point of contact
- Establishes and provides leadership and support for County Advisory Panel
- With County Advisory Panel, identifies potential needs assessment contractor and profiles contractor background experience and expertise
- Submits a budget for Division approval of planned contracts and contractors
- Acts as fiduciary agent for all SPF SIG funds that are required to be allocated to approved contractor(s)
- Executes contract with needs assessment contractor
- Provides fiscal and programmatic monitoring

- Oversees required activities, expenditures and reporting by contractor(s)
- Serves as liaison between Division and needs assessment contractor
- Attends SPF SIG Needs Assessment training

4. What roles and responsibilities does the LME have for the second 6 months (January-June, 2008)?

In addition to those listed above...

- Expands the County Advisory Panel to include key county stakeholders with knowledge to address the identified needs.
- Works with County Advisory Panel to manage the strategic planning process that takes place after the needs assessment is complete.

5. What TA is available to help the LME manage the initiative?

- Division of MH/DD/SAS for project-related communication and ongoing management issues
- Centers for Prevention Resources (CPRs) for all aspects of the SPF (CPRs may also perform other functions identified by the County Advisory Panel/LME as applicable)
- RTI International (formerly known as Research Triangle Institute) for needs assessment
- Pacific Institute for Research and Evaluation (Chapel Hill Center) for evaluation

6. What should be included in the budget for the first year?

LMEs will not be required to submit an itemized budget with the SPF-SIG application by July 23, 2007. The Division will provide guidance on the budget, including approved and non-approved expenditures, at the time of the anticipated August 1 notification of funds. Specific budget guidance from the Division will be provided for the development of contracts for the needs assessment contractor, implementation contractor(s), and other contract(s) for program support.

7. May any of the SPF-SIG funds be used to support any LME staff or expenses, or any staff or expenses of any LME-operated provider organization?

No. Funds from the SPF-SIG may not be utilized to support any LME staff or expenses or any staff or expenses of any LME-operated provider organization. All SPF-SIG funds are required to be contracted for use by private not-for-profit community based organizations. The Division will reserve the right to approve all budget items, as well as contracts and contractors.

8. What are the expectations of the needs assessment contractor and criteria for selection?

- Conducts the countywide needs assessment
- Generates summary of findings
- Possibly will develop the county strategic plan (with County Advisory Panel, LME)
- Attends needs assessment training and, if applicable, strategic planning training

The Needs assessment contractor should be a non-profit organization/individual with a proven record of needs assessment experience, including the collection and synthesis of data, as well as the interpretation and reporting of results. Preferably, this contractor will be located within the county or LME and will know the local context.

9. What is the relationship between County Advisory Panel and LME in selecting needs assessment contractor?

The LME initially identifies at least two possible capable candidates. These candidates will be then presented to the County Advisory Panel along with a portfolio of their experience and expertise. The LME will make a final recommendation to the Division with input from County Advisory Panel. The Division reserves the right to approve the final selection of all contractors and the planned use of all contracted funds.

10. Will the trainings be regional?

An east/west regional structure is being developed for the SPF SIG trainings. But this approach may not be feasible for the August needs assessment training. Semi-annual Learning Communities will be held with all counties together (though they may rotate).

Documents from the Invitational Meeting on June 20 – 21 will be posted on www.ncspfsig.org. The application will be posted on the website and LMEs will be notified of the posting via email.

For more information, contact:

Janice Petersen, Ph.D., Project Director
919-715-5989

Janice.Petersen@ncmail.net