SUPPORTING STATEMENT FOR THE STRATEGIC PREVENTION FRAMEWORK STATE INCENTIVE GRANT (SPF SIG) STATE-LEVEL INTERVIEW PROTOCOLS

JUSTIFICATION

A1. Circumstances of Information Collection

The Substance Abuse Mental Health Services Administration (SAMHSA) Center for Substance Abuse Prevention (CSAP) requests OMB approval for two new state-level interview protocols: The Strategic Prevention Framework (SPF) Implementation Interview protocol and the State Infrastructure Interview protocol (see Appendix B). These data collection instruments are part of the Strategic Prevention Framework State Incentive Grant (SPF SIG) National Cross-site Evaluation. These instruments are telephone guides and are part of the national evaluation design of the SPF SIG initiative. They were developed for assessing state-level changes related to the implementation of the SPF, and infrastructure changes in state-level prevention systems. The evaluation of the SPF SIG project is authorized under Section 501 (d)(4) of the Public Health Service Act (42 USC 290aa) (see Appendix A). An addendum to this supporting statement will also be submitted at a latter time for a community-level data collection instrument.

The SPF SIG Program

The SPF SIG is a major national SAMHSA Infrastructure Grant program that supports an array of activities to help states and communities build a solid foundation for delivering and sustaining effective substance abuse and/or mental health services. The SPF SIG is implemented by CSAP and is designed to: (1) prevent the onset and reduce the progression of substance abuse, including childhood and underage drinking; (2) reduce substance abuse-related problems in communities; and (3) build prevention capacity and infrastructure at the state/territory and community levels. CSAP provides funding to states and territories to implement the five steps of the strategic prevention framework (SPF), which are:

- Step 1: Profile population needs, resources, and readiness to address needs and gaps
- Step 2: Mobilize and/or build capacity to address needs
- Step 3: Develop a comprehensive strategic plan
- Step 4: Implement evidence-based prevention programs, policies, and practices
- Step 5: Monitor, evaluate, sustain, and improve or replace those that fail.

CSAP funded 21 states and territories in FY2004 for up to 5 years to implement the SPF, and 5 additional states/territories in FY2005.

The National Evaluation

The National Institute on Drug Abuse (NIDA) is providing support to SAMHSA's Center for Substance Abuse Prevention (CSAP) to evaluate the impact of the SPF SIG project. The national cross-site evaluation of the SPF-SIG project has received funding through September 2007. State-level data collection, however, is expected to continue through September 2009.

The national cross-site evaluation of the SPF SIG program provides an important opportunity for the field of prevention. The SPF SIG is the first broad-based, data-driven effort that simultaneously attempts to influence both strategic planning and prevention systems at the state and community levels, as well as implement evidence-based prevention interventions in

communities. This evaluation will help determine whether the SPF SIG has met these expectations and, if so, under what conditions.

The cross-site evaluation team will implement a multi-method quasi-experimental evaluation of the SPF SIG project at national, state, and community levels. The primary objective of the SPF SIG evaluation is to determine the impact of SPF SIG on the SAMHSA National Outcome Measures (NOMs), and to assess the impact of the program as a whole. The evaluation will also measure: the effect of establishing and sustaining infrastructure at the state and community-levels to allow for data-based decision-making; the implementation of the Strategic Prevention Framework; and environmental factors that affect substance abuse. The data from the two state-level instruments will be used to interpret the impact of the SPF SIG on all of the NOMs domains related to prevention (i.e., Abstinence, Education/Employment, Crime and Criminal Justice, Access/Capacity, Retention, Cost Effectiveness, and Use of Evidence-based Practices).

The national cross-site evaluation is based on the data that will be collected through: (1) State Epidemiology and Outcome Workgroups (SEOW) and communities, (2) state-level evaluations, (3) existing national- and state-level population-based indicators, (4) standardized data collected by the evaluators on the implementation of the SPF, and (5) archival sources such as grant applications and State Prevention Advancement and Support Program (SPAS) reports. The timing of the evaluation, in beginning concurrently with the funding of the programs, will allow for the gathering of meaningful baseline data and observation of the SPF SIG states throughout the life-cycle of the program.

Both quantitative and qualitative data will be gathered as a part of the SPF SIG national cross-site evaluation. These data will provide information about processes and systems outcomes at the state and community levels, as well as a context for analyzing epidemiological outcomes at the national level. Data will be gathered from the 26 states and territories receiving grants in 2004 and 2005 and as many as 32 non-grantee states and territories that will serve as a comparison group.

A2: Purpose and Use of Information

The SPF SIG is a major investment by the Federal Government to improve state substance abuse prevention systems, and enhance the quality of prevention programs, primarily through the implementation of the SPF. The goal of this initiative is to provide states with the tools necessary to develop an effective prevention system with attention to the processes, directions, goals, expectations, and accountabilities necessary for functionality. As such, SAMHSA/CSAP needs to collect information on an ongoing basis to monitor the progress of the SPF SIG initiative. The agency will use the findings from the national cross-site evaluation to assess the implementation of the SPF, infrastructure development at the state-level, and the outcomes achieved by this initiative. Without these data the impact of the SPF SIG will be unknown. Additionally, findings from this evaluation may assist CSAP policymakers and program developers as they design and implement future initiatives.

The national cross-site evaluation of the SPF SIG will focus specifically on the NOMs, and the relationship between the implementation of the SPF and changes in the NOMs. In particular, data from the SPF Implementation Interview will be used to assess the relationship between SPF

implementation and changes in the NOMs. The State Infrastructure Interview will be used to gather data about changes in prevention infrastructure, and these data will be used to test the relationship of these changes to the NOMs. Prevention infrastructure refers to the organizational characteristics of the system that delivers prevention services, including all procedures related to planning, data management systems, workforce development, intervention implementation, evaluation and monitoring, financial management, and sustainability. Without these data, it would be impossible to determine how the SPF SIG initiative had an impact on changes in the NOMs.

Both the SPF Implementation Interview and State Infrastructure Interview will be administered annually over the course of the SPF SIG initiative. Thus, data from these instruments will also allow CSAP to assess the progress of the states in their implementation of the SPF. As such, these data may be used to assess obstacles to SPF implementation, and facilitate mid-course corrections for states experiencing difficulties implementing the SPF.

A3. Use of Information Technology

Both the SPF Implementation Interview and State Infrastructure Interview will be conducted via the telephone. Data from these interviews will be entered into an electronic database. As part of the completion of these interviews, respondents may be asked to send supporting documents electronically to limit the amount of paper used and minimize costs to the states in printing, copying, and postage. Documents to be submitted electronically include: vision/mission statement; strategic plans; guidelines for use of ATOD data systems; written plans for developing a statewide ATOD prevention workforce; written policy/plan for addressing cultural competence in the state prevention system; guidelines for selecting/implementing culturally competent interventions; and evaluation/monitoring requirements for recipients of ATOD prevention funds. It is anticipated that approximately 80 percent of states will exercise the option to submit electronic copies of documents.

Technology is also being used to facilitate communication and provide updates to SPF SIG personnel. Through the SPF SIG web board, state evaluators, project directors, coordinators and other key staff have the opportunity to exchange valuable advice and receive announcements and clarifications from CSAP, other SPF SIG states, and the national cross-site evaluation team. This web board has been operational since December 2004 with more than 135 messages posted as of February 2, 2006. In addition to the web board, the national cross-site evaluation team also sends electronic copies of the guidance and resource materials via email and CD to SPF SIG states upon request. Each state's data from the SPF Implementation and State Infrastructure Interviews will be made available to that state via the web for online analysis as well as downloading for offline analysis.

A4. Efforts to Identify Duplication

The proposed data collection is unique because the information is specific to the evaluation of the SPF-SIG program and is not available elsewhere.

A5. Involvement of Small Entities

Data will not be collected from small business entities.

A6. Consequences If Information Collected Less Frequently

This request is for approval to collect data from state-level stakeholders using the SPF Implementation Interview and the State Infrastructure Interview. Each of these instruments will to be administered once per year to each state over the course of three years. Gathering this information annually is essential for monitoring the progress of states as they implement the SPF, and identifying states that are experiencing obstacles to implementing the SPF. Without data from multiple time periods during the program, it will be impossible to determine if states made any progress on NOMs outcomes.

A7. Consistency With Guidelines in 5 CFR 1320.5(d)(2)

This information collection fully complies with 5 CFR 1320.5(d)(2).

A8. Consultation Outside the Agency

The notice required in 5 CFR 1320.8(d) was published in the *Federal Register* on Tuesday January 10, 2006 (Volume 71, Number 6, pages 1545-1548). A copy of the published Federal Register Notice can be found in Appendix L. No comments were received.

The current evaluation design, data analysis plan, and both the SPF Implementation Interview and the State Infrastructure Interview protocols have received several rounds of review. These reviews were the result of ongoing collaboration with two SPF SIG advisory groups, and state level evaluators and program directors.

Consultation with Internal and External Advisory Groups

Members of the SPF SIG External Technical Advisory Group (ETAG) reviewed the national cross-site evaluation design and analysis plan at a meeting on July 22, 2005. The ETAG includes a group of SPF SIG project directors and evaluators; evaluation and prevention experts; a representative from the National Institute on Drug Abuse (NIDA); and three SAMHSA staff not directly involved in the evaluation. Each member was carefully selected to ensure representation from the following: federal and state government staff; local providers; representatives of the national prevention network system (i.e., CADCA); and members versed in specialized areas such as cultural competence, environmental strategies, fidelity and adaptation, evaluation design and data analysis. Their feedback was incorporated into working and final drafts of the evaluation design and data analysis plan. These reviewers' names, titles, organizational affiliations, and current telephone numbers are provided in Appendix C.

The national cross-site evaluation team also seeks regular consultation with the SPF SIG Internal Workgroup. This group meets on a monthly basis at CSAP and consists primarily of CSAP and NIDA staff but also includes two SAMHSA staff outside of CSAP. As with the External Technical Advisory Group, the Internal Work Group provided feedback on the evaluation design

and data analysis plan which was incorporated in working and final drafts. A list of the members of the Internal Work Group can be found in Appendix D.

Consultation with Respondents

The SPF SIG national cross-site evaluation team was responsible for the development and pilot testing of both the SPF Implementation Interview and the State Infrastructure Interview instruments. This team frequently sought consultation with respondents in the development and refinement of these instruments as well as the pilot testing of these instruments.

In the development of both the SPF Implementation Interview and the State Infrastructure Interview protocols key prevention stakeholders, including state SPF SIG project directors and evaluators and other key SPF SIG staff, were consulted. They provided feedback on the content and format of the instruments' domains, indicators, and measures to ensure that they had face validity and were not too burdensome for respondents to answer. In addition, all SPF SIG states were given the opportunity to review these instruments and provide comments and questions on their content and format.

Both instruments were also pilot tested in six states in October and November 2005. The following types of respondents were interviewed as part of the pilot test: SPF/SIG Directors; State Epidemiology Work Group Chairs; State Advisory Committee members; SPF SIG evaluators; and SSA staff. Minor changes were incorporated into each of the instruments as a result of the pilot testing; these are discussed in Section B4. States that participated in the pilot test were also consulted on their estimate of the amount of time required to complete components of these instruments and the burden associated with completing these instruments, these are discussed in A12.

A9. Payment to Respondents

There is no payment to respondents.

A10. Assurance of Confidentiality

All information gathered through the administration of the SPF Implementation Interview and the State Infrastructure Interview focuses on organizational activities undertaken through the SPF SIG program, rather than information about individuals. Different individuals may answer different sections of each of these instruments. Thus, it will be necessary to obtain identifying information about the different individuals being interviewed (name, organizational affiliation, and title/position). Additionally, because individuals will be identified by the state project director as respondents, identifying information (phone number, email address) will be necessary to schedule these interviews. Every attempt will be made to keep this information confidential, and it will not be released or used for any purpose other than for follow-up clarification of responses. No statements gathered during these interviews will be attributed to a specific individual in any reports prepared from this data.

Additionally, prior to the beginning of each interview, respondents will be told the following: the purpose of the interview; how the results will be used; participation is voluntary and they may refuse to answer any question at any time or end the interview at any time; responses will be kept confidential to the extent possible; individual names and positions will not be connected with any responses in any reports prepared from the data; and all individual responses will be combined with the responses of others in all reports prepared from the data.

A11. Questions of a Sensitive Nature

No questions of a sensitive nature will be asked.

A12. Estimates of Annualized Hour Burden

Annualized reporting burden for the two SPF SIG state-level instruments is shown in Table 1. These burden estimates are based on respondents' feedback as well as the experience of the pilot test interviewers. The number of respondents in Table 1 represents the number of SPF SIG states that will be interviewed as part of the national cross-site evaluation. Additionally, the number of hours per response listed is the number of hours per state. In many cases, particularly in the administration of the State Infrastructure Interview, multiple individuals from a single state will be interviewed. Thus, the burden for each individual being interviewed would be lower than the estimates provided in Table 1, as these estimates reflect the total amount of time for each state to complete each interview.

Additionally, interviewees are expected to have high level positions within the state (e.g., SPF SIG Director, State Epidemiology Workgroup Chair, State Advisory Committee Members, SPF SIG State Evaluator). The estimates for hourly cost were based on a salary of approximately $87,000 per year and $42.00 per hour.

Table 1. Estimates of Annualized Hour Burden for State-level Instruments

Interview Name	Number of Respondents	Response Per Respondent	Hours per Response	Total Hour Burden	Hourly Wage Cost	Total Hour Cost
SPF Implementation Interview	26	1	3	78	$42.00	$3,276.00
State Infrastructure Interview	26	1	6	156	$42.00	$6,552.00
Total State Level Year 1 Burden	52	2	9	234	$42.00	$9,828.00

A13. Estimates of Annualized Cost Burden to Respondents

There are no capital/startup costs or operational/maintenance of services costs associated with this project.

A14. Estimates of Annualized Cost to the Government

The costs associated with the national cross-site evaluation of the SPF SIG project, which is responsible for gathering, processing, analyzing, and reporting the data, serves as the basis for the estimated costs for these activities. The National Institute on Drug Abuse is providing the funding for all of these activities. The estimated annual cost of the national cross-site evaluation is $1,708,915. In addition, there are costs for 50 percent of a GS-14 CSAP project officer of approximately $103,594 per year or $51,797 semi-annually. Thus, the total annual cost associated with the evaluation is $1,760,712.

A15. Changes in Burden

This is a new project.

A16. Time Schedule, Publication, and Analysis Plan

Time Schedule

Table 2 shows the time schedule for the national cross-site evaluation of the SPF SIG initiative. As indicated in Table 2 data collection for the SPF Implementation Interview and the State Infrastructure Interview is scheduled to begin in September 2006, following OMB approval, and end in July 2009. These instruments will be administered once a year over the course of three years. Thus, OMB clearance for these instruments is requested for three years.

Evaluation reports that include results of preliminary analyses conducted using data from these instruments will be produced every year in December. The first report is scheduled to be delivered in December 2006. A comprehensive final report for the SPF SIG will be delivered in December 2009.

Table 2. SPF SIG National Cross-site Evaluation Time Schedule

SPF SIG National Cross-site Evaluation Data Collection, Analysis, and Reporting Deadlines	
Activity	**Date**
Obtain OMB approval for process data collection instruments	September 2006
Collect state-level data (annually) State Infrastructure interviews SPF Implementation interviews	Ongoing for three years: September 2006 (following OMB approval)– July 2009
Collect community partner survey data (semi-annually)[1]	Ongoing for three years: September 2006 (following OMB approval)– July 2009
Obtain epidemiological and outcome data	Ongoing for three years

[1] OMB approval for this instrument will be sought following submission for approval of the state-level instruments.

SPF SIG National Cross-site Evaluation Data Collection, Analysis, and Reporting Deadlines	
Activity	**Date**
Analyze evaluation data to assess relationship between interview/survey data and outcomes.	Annual interim analyses (2006-2008); comprehensive final analyses (2009)
Create data files for secondary analysis.	December 2006 – December 2008
Produce bi-monthly reports	December 2006 – September 2009
Produce annual evaluation reports.	December 2006 – December 2008
Produce final evaluation report	December 2009

Logic Model of SPF SIG Impact

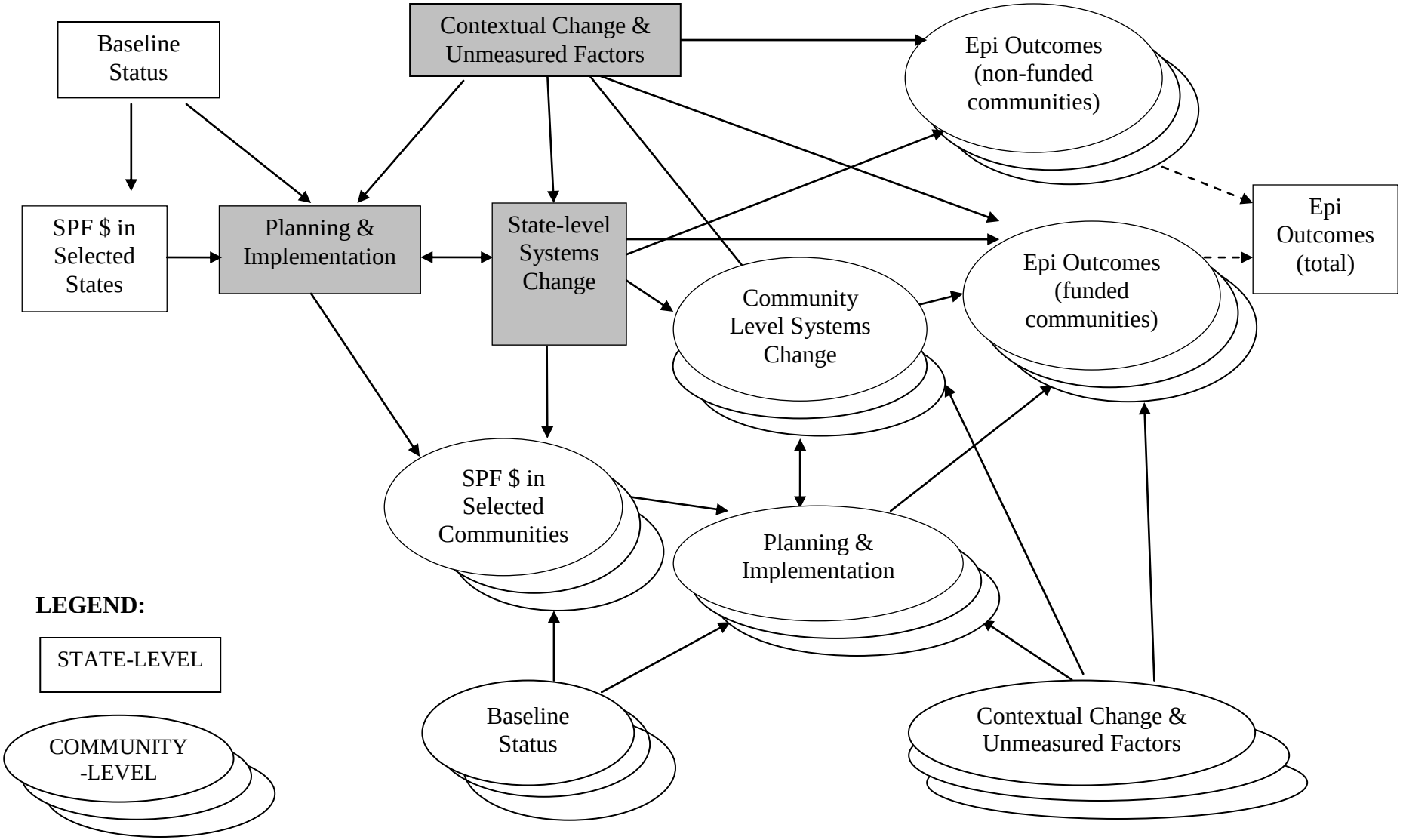
The national cross-site evaluation team has developed a logic model of SPF SIG impact to help guide the evaluation design and requirements. This logic model depicts the flow of state- and community-level activities that lead to systems change, and epidemiological outcomes within the broader context where prevention programs operate. The model is depicted in Figure 1.

State activities are represented in Figure 1 in rectangles, and community activities are represented in ovals (the multiple ovals represent multiple communities within states). The logic model begins with SPF funding being received by selected states and territories. After receipt of funds, states and territories begin the planning and implementation of the SPF. The implementation of the SPF is expected to lead to both state-level systems change and funding of selected communities. Funding of selected communities is expected to lead to planning and implementation of the SPF at the community-level and community-level system change. Systems change at both the state and community levels are expected to lead to changes in epidemiological outcomes.

The arrow connecting planning and implementation (both at the state and community levels) to systems change is bidirectional, indicating that both influence each other. Planning and implementation lead to systems change, and systems change leads to further refinement and efficiency of planning and implementation.

To determine if cross-site variation in outcomes is caused by SPF SIG funding, the logic model also includes baseline status and contextual change and unmeasured factors for both states and communities. Baseline status refers to pre-SPF SIG activities and achievements related to SPF SIG-initiated activities. Contextual change and unmeasured factors refer to anything that occurs in states and communities unrelated to the SPF SIG project but which potentially has an impact on epidemiological outcomes.

Figure 1: SPF SIG Logic Model



The two state level instruments which are the focus of this request, (SPF Implementation Interview and State Infrastructure Interview), will be used to gather data directly related to the highlighted squares in Figure 1.

Research Questions

Six impact research questions will guide the SPF SIG outcome evaluation. A detailed description of the national cross-site evaluation as well as a discussion of these questions can be found in the National Cross-site Evaluation Design (Appendix E). These six impact research questions assess whether observed conditions/events can be attributed to SPF-SIG programmatic interventions. The six questions are:

1a. Did SPF funding improve statewide performance on NOMs and other outcomes?
1b. What accounted for variation in NOMs and other outcomes performance across SPF states?
2a. Within states, did SPF funding lead to community-level improvement on NOMs and other outcomes?
2b. Within SPF states, what accounted for variation in NOMs and other outcomes performance across funded communities?
3a. Across states, did SPF funding lead to community-level improvement on NOMs and other outcomes?
3b. Across SPF states, what accounted for variation in NOMs and other outcomes performance across funded communities?

In addition to these six impact research questions which are the central focus of the SPF SIG evaluation, the evaluation design also includes process-related research questions. These provide information necessary for interpreting the outcomes found in the evaluation, and focus on: interpreting the effects of project-related activities; identifying effective program and policy elements (e.g., conditions necessary for effective programs, populations for whom programs are effective); and assessing contextual factors related to SPF SIG outcomes. Some examples of process-related research questions included in the design are: What changes in allocation of funds and other resources for substance abuse prevention programs and other activities occurred at the state and community-levels; what state and community level mobilization and capacity building activities have been implemented; has cultural competence been integrated into prevention programs, policies, and practices in states; to what extent has the prevention infrastructure improved; to what extent are selected programs evidence-based; and to what extent are selected programs implemented with fidelity?

Analysis Plan

The two state-level instruments and the community survey will be used to gather data related to research questions 1b, 2b, and 3b, each of which addresses the impact of the SPF SIG initiative on NOMs and other outcome measures, both system- and population-level. Specifically, the three questions address the moderators and mediators of outcome variation across SPF-funded states, communities within funded states, and communities across funded states, respectively.

Data reduction, scoring and scaling

As described earlier, the SPF Implementation Interview and State Infrastructure Interview instruments have been developed using input from program staff in the states who are implementing the SPF initiative and policymakers who designed it. Each domain of the State Infrastructure Interview represents an aspect of prevention infrastructure that was highlighted in the literature or the initial open-ended interviews with state prevention professionals, and many of the individual questions currently in the instruments were suggested by comments of those interviewed in the states. Each domain in the SPF Implementation Interview represents one of the key steps in the SPF initiative as outlined in the SPF-SIG RFA and GFA. Our use of data from these instruments in outcome and process analyses will focus more on the scales and indexes that will be derived from each of the domains in the instruments than on a state's responses to any individual item. We therefore refer to domains rather than individual items when indicating the relationships between evaluation questions and items in the two state-level instruments. Appendix F provides a list of items associated with each domain and logic model component. Table 3 shows the survey domains associated with each of the three impact research questions and logic model component.

The first phase of the analysis of data from each of these state level instruments will consist of review, coding, scoring and scaling of responses within each domain with the goal of reducing the data to a set of reliable scales that will be used in subsequent analyses. For each domain, a summary score or index will be developed that goes beyond the limited response codes contained in the interview instruments to encompass the range of responses and specific themes raised by respondents in the interviews. (An example of a draft scoring sheet containing scales developed for some Infrastructure domains is contained in Appendix G.) Further development of empirically-based anchors for scales and the development of additional summary scores for item domains will be based on analysis of the first wave of interviews using standard scale development procedures. Although considerable revision and winnowing of questions within domains has already taken place based on the developmental interviews and piloting, it is expected that some items in each domain will yield more useful information for coding and some may show insufficient variation to be retained in final versions of the summary scores. Attention will be given to developing reliable and valid measures of the constructs in each domain, including assessment of inter-coder reliabilities and relationships among both the items within potential summary scores and between the domains.

Descriptive/normative analyses

Although the primary focus of the national cross-site evaluation is on assessing impact, many descriptive and normative analyses will occur first. The scales and indexes from the state-level instruments and the community survey will support these analyses, in tandem with coded data from archival sources such as grant applications, quarterly reports and strategic plans. We will use standard techniques for analyzing, displaying, and reporting descriptive and normative results as they become available throughout the evaluation period. These will include summary statistics (means, medians, ranges, and standard deviations) and univariate and multivariate frequency distributions (including cross-classification displays), as well as appropriate charts and graphs. Subsequently, the scales and indexes developed in the initial phases of analysis will also support the impact questions as key predictors of systems- and population-level outcomes.

Table 3. SPF-SIG State Instrument Domain Index by Research Question, Moderator/Mediator, and Logic Model Component

Research Question	Moderator/Mediator	Logic Model Component	Data Source	Instrument Domain Index
1b. What accounted for variation in NOM and other outcomes performance across SPF states?	Quantitative variation/ performance on state-level SPF requirements (5 steps)	State-Level Planning and Implementation	Implementation Interview	Project Membership Data-Driven Planning and Needs Assessment Activities Prioritization Process Cultural Competence Capacity Building Strategic Plan Project Progress
	State-level post-baseline contextual change	State-Level Contextual Change and Unmeasured Factors	Implementation Interview	External Events
			Infrastructure Interview	External Events
	Qualitative variation on state-level implementation (i.e., how states chose to implement their SPF)	State-Level Systems Change	Infrastructure Interview	State Organizational Structure Planning Data Systems Workforce Development Evidence-Based Practices Cultural Competence Evaluation and Monitoring Sustainability Financial Stewardship
3a. Across states, did SPF funding lead to community-level improvement on NOMs and other outcomes?	Quantitative variation/ performance on state-level SPF requirements (5 steps)	State-Level Planning and Implementation	Implementation Interview	Project Membership Data-Driven Planning and Needs Assessment Activities Prioritization Process Cultural Competence Capacity Building Strategic Plan Project Progress
3b. Across SPF states, what accounted for variation in NOM and other outcomes performance across funded communities?	State-level post-baseline contextual change	State-Level Contextual Change and Unmeasured Factors	Implementation Interview	External Events
			Infrastructure Interview	External Events
3b. Across SPF states, what accounted for variation in NOM and other outcomes performance across funded communities?	Qualitative variation on state-level implementation (i.e., how states chose to implement their SPF)	State-Level Systems Change	Infrastructure Interview	State Organizational Structure Planning Data Systems Workforce Development Evidence-Based Practices Cultural Competence Evaluation and Monitoring Sustainability Financial Stewardship

Inferential (cause and effect) analyses

The data gathered will be used to conduct a variety of analyses related to the six impact evaluation questions and also the process-related research questions. The state-level instruments and the community survey will be used to address questions 1b, 2b, and 3b, as noted above. As part of these analyses, the distributional characteristics of the data as well as the baseline differences among the groups being compared will be assessed. Then, within-state and cross-state outcome analyses will be conducted using *multilevel statistical modeling methods* that account for the "nested" nature of the data. (The data are not independent, they are nested within the communities and within the states). To estimate the effects of SPF, trends in repeated cross-sectional measurements of population outcomes at the state and community-level will be modeled in these analyses. Additionally, *propensity scores* will be used to reduce potential bias from group nonequivalence between SPF and Non-SPF states, as well as between funded and non-funded communities. (See Chapter 7 of the *Evaluation Plan* Appendix E, for details on the statistical models to be used for each of the six impact questions.)

One system-level outcome of interest will be changes in infrastructure over time. Data from the state interviews and community survey will be used to measure state systems infrastructure. This includes changes in planning capacity, training capacity, and support for the implementation of evidence-based practices. Thus, data from these instruments will serve as outcome data for state systems change and as mediators for consumption and consequences population outcomes, including the NOMs. To support analyses that explain outcome variation among the SPF SIG states, a global index of state prevention infrastructure will be developed using data from the state interviews and community survey. This index will enable us to categorize the prevention infrastructure of states as "highly developed," "moderately developed," or "less well developed." The state prevention infrastructure index will also be used in analyses to measure changes from year to year among the SPF SIG states.

However, the construct of prevention infrastructure is too complex to be captured by a single summary statistic. In addition to the global index, therefore, indexes will also be developed based on specific infrastructure domains (planning, workforce development, etc). Analyses of these indexes will help show whether some domains appear more critical to outcomes than others. Other analyses will focus on the relationship between SPF implementation (derived from the SPF Implementation Interview instrument) and observed variation in outcomes across states.

Tables 4 and 5 illustrate two sample table shells. Table 4, part of the descriptive analysis, would show the frequency distribution of states' achieved implementation level for each of the 5 SPF steps. The achieved implementation levels will be derived primarily from the state-level SPF Implementation Interviews, supplemented by archival sources such as quarterly reports and strategic plans. Table 5, part of the inferential analysis, would show the association between implementation level for one SPF step and selected population outcomes, corrected for baseline differences and other potential confounders. The measure of association used is the gamma

coefficient[2]. There are of course many other ways results could be presented, so these tables should be viewed only as examples.

Table 4. Sample Table Shell: Cross-State Frequency Distribution of Implementation Level by SPF Step

SPF Step	Implementation level			
	1	2	3	4
Step 1 Conduct a statewide needs assessment, including the establishment of a state Epidemiological Workgroup	N (%)	N (%)	N (%)	N (%)
Step 2 mobilize and build state and community capacity to address needs	N (%)	N (%)	N (%)	N (%)
Step 3 develop a statewide strategic plan for prevention;	N (%)	N (%)	N (%)	N (%)
Step 4 implement evidence-based prevention practices to meet state and community needs	N (%)	N (%)	N (%)	N (%)
Step 5 and monitor/evaluate the implementation of the project.	N (%)	N (%)	N (%)	N (%)

1—not or minimally implemented
2 –partially implemented, significant shortcomings
3 –partially implemented, minor shortcomings
4 –fully implemented

Table 5. Sample Table Shell: Relationship of SPF SIG Step 2 ("mobilize and build state and community capacity to address needs") Implementation Level with Abstinence NOMS (youth) *

Abstinence NOM (youth)	Implementation level for Step 2				Gamma (CI)
	1	2	3	4	
30-day use	Mean (N)	Mean (N)	Mean (N)	Mean (N)	±0.xx (LCL, UCL)
Age of 1st use	Mean (N)	Mean (N)	Mean (N)	Mean (N)	±0.xx (LCL, UCL)
Perception of Disapproval/Attitude	Mean (N)	Mean (N)	Mean (N)	Mean (N)	±0.xx (LCL, UCL)
Perceived Risk/Harm of Use	Mean (N)	Mean (N)	Mean (N)	Mean (N)	±0.xx (LCL, UCL)

* All associations adjusted for baseline differences between states

In addition to state-level analyses, community-level analyses will be conducted which incorporate the data gathered from the community survey. These analyses will aim to identify characteristics of community-level interventions that are most effective in producing desired outcomes. These analyses will focus on: 1) comparisons of community-level outcomes from

[2] Like the Pearson correlation coefficient, gamma varies from –1 to +1, with zero being no relationship, but unlike the Pearson correlation, does not assume that either the independent or dependent variable are measured as interval level variables. It therefore is appropriately used to estimate associations between ordered variables

funded communities across multiple states with outcomes from unfunded communities where comparable data are available or with state and national data; and 2) comparisons of outcomes across the funded communities, exploring the relationships between different types of community approaches, target populations, levels of implementation and fidelity, and aggregated outcomes. Systems-level outcomes to be included in these analyses include changes in the number and operation of coalitions as assessed by the community survey. Population outcomes will focus on changes in consumption and consequences NOMs and other outcomes over time.

Statistical modeling methods will be performed using Hierarchical Linear Modeling (HLM) Version 6 (Raudenbush et al., 2004). The coefficients estimated by the HLM model are applicable to a hierarchical data structure with up to three levels of random variation. In our case, the three levels will be state, community, and over time. It also accommodates sampling weights in both linear and nonlinear models. This is relevant to our analysis because 1) most of the NOMs and other outcomes will not meet normality assumptions and therefore require nonlinear models, and 2) states will contribute unequal numbers of communities and population sizes to the cross-site database. Therefore, inverse weighting by these inequalities at the appropriate level will increase the generalizability of the findings. Note that the state-level instruments will support analyses of variation at level 3, the community-level survey will support analyses of variation at level 2, and both will support analyses of variation at level 1 through repeated administrations over time.

Public Use Data

Westat will provide CSAP with the reports necessary to determine, in consultation with the relevant SAMHSA and NIDA staff, if the overall quality and quantity of the evaluation data are adequate for public release. Once it is determined that the data will be released, Westat will perform a disclosure analysis of the data to detect both direct and indirect identifiers within the data, as well as the most likely sources for a possible breach of confidentiality. Based on the standards published by the Standing Review Committee for Disclosure Analysis at the Inter-University Consortium for Political and Social Research (ICPSR) Westat will recommend a plan for each detected identifier. Once the disclosure plan is approved by CSAP, Westat will produce a public use data file in compliance with ICPSR recommendations for public use data. Data will also be made available to the prevention community through the Data Coordination and Consolidation Center (DCCC).

A17. Display of Expiration Date

The expiration date for OMB approval will be displayed.

A18. Exceptions to Certification Statement

This collection of information involves no exceptions to the Certification for Paperwork Reduction Act Submissions. The certifications are included in this clearance package.

PART B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

B1. Respondent Universe and Sampling Methods

This request is for two data gathering instruments, the SPF Implementation Interview and the State Infrastructure Interview. Completion of both of these instruments will be required of all active SPF SIG grantees (N=26). The information gathered from these instruments will be used by CSAP to monitor the grantees and as important data sources for the national cross-site evaluation. The estimated response rate for these instruments is approximately 100 percent, as completion of these interviews will be required from all active SPF SIG states.

B2. Information Collection Procedures

The same method will be used for recruiting respondents for the SPF Implementation Interview and the State Infrastructure Interviews. The National Cross-site Evaluation Team Interview Coordinator will contact the SPF SIG Project Directors in each state and territory by email to provide an overview of the interview process, and to elicit suggestions for potential respondents for each interview protocol. The text of the emails that will be sent to the SPF SIG Project Directors for each interview protocol can be found in Appendix H.

Once the Interview Coordinator has received the names and contact information for potential respondents to these interview protocols, a recruitment email will be sent to these individuals. This email will explain the interview process, ask whether the recipient is willing to participate, and if so, will ask the recipient to propose a time for the interview. The text of the recruitment email that will be sent to potential respondents can be found in Appendix I.

If the respondent has not contacted the Interview Coordinator within one week of the initial email message, a follow-up email and phone call will be made to the respondent. The text of the follow-up email and phone call to respondents can be found in Appendix J. Three attempts will be made to contact potential respondents to schedule an interview. If an interview cannot be scheduled after three attempts, the Interview Coordinator will ask the State Project Director for an alternate respondent. Additionally, if a respondent does not feel that he/she is an appropriate person to be interviewed, the Interview Coordinator will ask for an alternate person. This alternate will then be confirmed with the State Project Director to ensure that he/she is an appropriate alternate.

<u>Interviewer Skills and Training</u>
Highly skilled and trained interviewers from the national cross-site evaluation team will conduct both the SPF Implementation interviews and State Infrastructure interviews. The interviewers for both these instruments will have the following skills:

- A minimum of three years experience in effectively conducting telephone interviews;
- Significant knowledge of state level prevention system components and characteristics;
- Significant knowledge of the SPF SIG initiative;
- Significant knowledge of the national cross-site evaluation of the SPF SIG;
- Significant knowledge of the current structure and operations of the state prevention system in which they will be conducting the state-level SPF SIG interviews.

In addition to these skills, interviewers will receive training on:

- Content and format of each interview instrument;

- Specific protocol for conducting the telephone interviews; and
- Scoring protocol for each instrument.

The training will be conducted by Dr. Doug Piper and Dr. Candace Peterson, both of whom are members of the national cross-site evaluation team and will themselves serve as senior interviewers.

B3. Methods to Maximize Response Rates

A 100 percent response rate is expected for both of these interview instruments. Participation by specific individuals will be voluntary, however all active SPF SIG states will be required to have some individuals complete these interviews. Completion of these interviews by states will be considered a reporting requirement as a condition of award.

B4. Tests of Procedures

Instrument Development

An attempt was made, in the development of the state-level instruments, to articulate "gold standards" for the implementation of the Strategic Prevention Framework and state prevention system infrastructure and capacity. As part of this process, the national cross-site evaluation team reviewed existing literature and sought the perspective of relevant experts (e.g., state SPF SIG project directors, evaluators, and other key SPF SIG staff) to identify common components and characteristics of the infrastructure of effective state prevention systems, and to develop a conceptual model of "best practices" in state prevention systems. A more detailed description of the steps involved in the development of these state-level instruments can be found in Appendix K.

<u>SPF Implementation Interview Protocol</u>

The following were reviewed as part of the development of the SPF Implementation Interview instrument: SPF SIG Request for Applications; various CSAP presentations (e.g., New Grantee Meeting Overview) and documents (e.g. Quarterly Report form); and the SEOW Technical Assistance Workshop materials. The national cross-site evaluation team also spoke with key informants at CSAP, Westat, PIRE, and several SPF SIG grantees. As a result of this process, a set of indictors for each SPF step, as well as indicators for two non-step key constructs, (i.e., cultural competence and sustainability), were developed. SEOW activities were also incorporated into the SPF steps.

<u>State Infrastructure Interview</u>

An iterative approach was used in the development of the State Infrastructure Interview instrument. Findings from empirical literature; CSAP documents; lessons learned from a previous state incentive initiative grant; and input from SPF SIG grantee stakeholders solicited during interviews and via feedback on drafts of the interview protocol were all used in the development of this instrument. Additionally, several relevant experts, (including key informants at CSAP and state SPF SIG grantees) were consulted over several months. As a result of this process a list of indicators for state-level system changes in substance abuse prevention infrastructure and capacity in the following areas was developed:

- State Organizational Structure
- Planning
- Data Systems
- Workforce Development
- Evidence Based Practices
- Cultural Competence
- Evaluation and Monitoring
- Sustainability
- Financial Stewardship
- External Events

Pilot Testing of Instruments

Pilot tests of both the SPF Implementation Interview and State Infrastructure Interview were conducted between October 14^{h} and November 8th, 2005. Six SPF SIG states volunteered to participate in the pilot tests for these instruments. The SPF SIG Directors of these states were asked to nominate potential respondents for these interviews.

SPF Implementation Interview Protocol

For some of the six states, separate individuals were asked subsets of interview questions because of their specific knowledge/expertise; however, a specific interview question was not answered by more than one person. The types of individuals interviewed for the pilot test of the SPF Implementation Interview included: SPF/SIG Directors; and SSA staff with seniority. After completing the interview respondents were asked to comment on any or all of the questions or procedures. These comments were then used to revise the instrument.

Minor changes were made to the content of the SPF Implementation Interview instrument as a result of the pilot test. The wording of some interview questions was changed to make some questions less unwieldy, a few questions were deleted to avoid eliciting redundant responses, and some questions were reordered to make the interview flow better. Additionally, some questions were added to the instrument based on feedback that there were areas not covered in the interview. These questions were related to the project's overall priorities; major areas of disagreement; capacity assessment; areas identified for capacity enhancement; and external events or incidents.

State Infrastructure Interview

As with the SPF Implementation Interview, for some of the six states, separate individuals were asked subsets of interview questions because of their specific knowledge/expertise; however, a specific interview question was not answered by more than one person. The types of individuals interviewed for the pilot test of the State Infrastructure Interview included: SPF/SIG Directors; State Epidemiology Work Group Chairs; State Advisory Council members; SPF/SIG evaluators; and appropriate Single State Agency (SSA) staff. As with the SPF Implementation Interview, respondents comments were used to revise the instrument.

Several changes were made to the State Infrastructure Instrument as a result of the pilot testing. All of these changes were focused on making the interview process easier and less burdensome for the respondent. First, the language of the questions was changed to be more interview-

friendly. These changes did not involve making substantive changes to the wording, but rather making the questions more conversational for the interviewer and respondent. Second, questions that had been flagged by pilot test respondents as being unclear or confusing were clarified. Third, some questions that were redundant or requested information that could be collected through archival data sources were deleted. Fourth, response options were added to questions that asked for frequencies or time periods (e.g., 0-1 times per year, 2 – 3 times per year, 4 or more times per year) to make it easier for the respondent to answer.

B5. Statistical Consultants

Several individuals from the External Technical Advisory Group provided consultation on the statistical aspects of the evaluation design including:

Sandeep Kasat, Ph.D.
Epidemiologist
Office of Substance Abuse
11 State House Station
Augusta, ME 04333
Phone: 207-287-4372
Email: sandeep.kasat@maine.gov

Wayne Harding, Ph.D.
Social Science Research and Evaluation, Inc.
21-C Cambridge Street
Burlington, MA 01803
Phone: 781-270-6613
Email: wharding@ssre.org

The primary individuals responsible for the analytic tasks for the evaluation of the SPF SIG initiative are:

Robert Orwin, Ph.D., the National Cross-site Evaluation Project Director, Westat
Bob Flewelling, Ph.D., Pacific Institute for Research and Evaluation

Additionally, several national cross-site evaluation staff have expertise in statistical approaches to analyzing data and will also be contributing to the analytic tasks including:

Joseph Sonnefeld, M.A., Westat
Alan D. Stein-Seroussi, Ph. D., Pacific Institute for Research and Evaluation

Members of the national cross-site evaluation team will conduct the SPF Implementation Interviews and State Infrastructure Interviews. Lead interviewers include:

Beth Moracco, Ph.D, Pacific Institute for Research and Evaluation
Candace Peterson, Ph.D., Pacific Institute for Research and Evaluation
Doug Piper, Ph.D., Pacific Institute for Research and Evaluation
Alan D. Stein-Seroussi, Ph. D., Pacific Institute for Research and Evaluation
Jessica Edwards, Ph.D., Pacific Institute for Research and Evaluation
Ann Landy, Ph.D., Westat