

**Michigan Department of Community Health
Office of Drug Control Policy
Fiscal Year 2009 Site Visit Protocol – Prevention**

Rev. 12/3/08

CA Name: Staff:	Date: Reviewer Name:
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	Requirement (citation) or information item (shaded in grey)	Evidence Needed to Support Compliance Requirement <small>When multiple evidence indicators are identified, a minimum of one is necessary</small>	Evidence Presented	Findings / Comments	Score	Corrective Action Plan Response
DATA COLLECTION AND APPLICATION						
P 1	CA is conducting, or has conducted, formal local needs assessments. (Contract, Attachment A Pg. 32)	-CA can provide copies of tools/surveys that were used in the needs assessment process. -CA can provide copies of correspondence regarding the needs assessment to key community/regional stakeholders.				
P 2	CA has written reports produced from the needs assessment. (Contract, Attachment A Pg. 32)	CA can provide a copy of the needs assessment report.				

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P 3 CA documents how the needs assessment information is used to identify and prioritize consequences to be addressed by regional prevention services. (Contract, Attachment A Pg. 32; APG)	-CA has documented and/or can discuss how the data/information collected was used for the identification of key substance abuse prevention issues within the communities in their region. -CA has documented and/or can discuss how this data/information then led them to prioritize issues pertinent to local and regional prevention services, and what those priorities are. -CA can document and/or discuss how they used this information to develop their region's strategic plan for prevention – and correlate the needs assessment data to the strategic plan.				
P 4 CA can document who was involved in the review of data, analysis, and subsequent recommendations, including minority and underserved populations. (SPF SIG Requirement; AP)	-Documentation of meeting minutes, review process, and recommendations showing attendance or some other means of involvement.				

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P 5	CA has a process to identify HR, disparate, and other under represented populations within their region to be targeted for prevention services associated with identified consequences, and that these identified populations are being served by subcontractors. (Contract, Attachment A pg. 32) At least one consequence focuses on underage drinking (AP)	-CA can provide copies of tools or written procedures used in this identification process. -CA can document why those populations were selected to receive prevention services and how they connect to the selected consequences. -Copies of contracts or agreements indicating services directed to identify HR populations.				
P 6	CAs are required to collect and report prevention data elements through SUDPDS or other upload, assures all records submitted are consistent with SUDPDS Reference Manual, and are at least 90% accurate. (Contract, Attachment A, pg. 10)	-CA can provide samples of data runs and/or reports from region that encompass all CA-administered fund sources. -CA can show checks of system to assure accuracy.				
CAPACITY ASSESSMENT/BUILDING						
P 7	CA documents that all prevention providers are licensed. (Contract, Attachment A Pg 2)	CA can provide a listing of subcontracted providers inclusive of their state assigned license number.				

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P 8	CA has a written procedure for conducting an annual provider site visit. (Contract, Attachment A, page 33)	-CA can provide a copy of the protocol and/or procedure used in conducting annual provider site visits. -CA can provide a schedule (current or previous FY year) of planned annual provider site visits.				
P 9	CA has a corrective action plan procedure to deal with issue of concern with a provider. (Contract, Attachment A, page 33)	-CA can provide a copy of the procedure of dealing with problematic or non-compliant providers. -CA can provide a sample of a past corrective action plan given to a provider for concerns or noncompliance issues.				
STRATEGIC PLANNING						
P 10	Amount of school-based prevention services provided in the CA region does not exceed the maximum 35%. (Contract, Attachment A Pg. 33)	-CA can show the calculation of provider contracted direct service hours, and the percentage split between school-based and community-based for the region. -Verify through the review of contracted direct service hours for individual providers, if needed.				

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P 1 1 CA has achieved the 90% requirement for research-based /evidenced-based prevention services. (Contract, Attachment A Pg. 33; AP)	-CA can show the calculation of provider contracted direct service hours for the provision of research-based/evidenced-based prevention for the region. -Verify through the review of contracted direct service hours for individual providers, if needed.				
P 1 2 CA has documented what services in the region are research-based /evidenced-based. (Contract, Attachment A Pg. 33; AP)	-CA can indicate what prevention programs are model programs, and on whose model program register they appear. -If a program or initiative is locally developed, the CA can identify on what prevention theory and best practices the development of this program was predicated. -CA can provide citations or information from Peer Review Journals to substantiate the effectiveness of the program.				

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P 1 3	All prevention services planned and contracted for by the CA are attributed to/provided through one of the six CSAP federal prevention strategies. (Contract, Attachment A Pg. 33)	-CA can provide a compilation of regional prevention services by strategy, identifying which strategy all planned services are associated with. -CA can confirm through provider contracts that all planned services fall within the scope of one of the six federal prevention strategies.				
P 1 4	CA providing/contracting for prevention services, which fall under the federal strategy of Information Dissemination must assure that all such services are part of a multi-faceted regional prevention strategy/initiative. Independent or stand -alone Information Dissemination services are disallowed and cannot be funded with SAPT Block Grant funds. (Contract, Attachment A Pg. 33)	-CA can document linkage of Information Dissemination services as being part of a broader initiative or multi-faceted prevention effort. -CA can demonstrate through the provider contracts that all services identified as Information Dissemination are associated with a broader initiative or multi-faceted prevention effort.				
P 1 5	If the CA is providing prevention services under the Alternative strategy the service must reflect evidenced-based approaches and best practices - such as multi-generational and adult to youth mentoring. (Contract, Attachment Pg. 33)	-CA has documentation as to the evidenced-based nature of all services under the Alternative strategy. -CA has a method to indicate the best practice and evidenced-based elements of services under the Alternative strategy for which they have contracted for.				

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EVALUATION APPROACH/OUTCOME EXPECTATIONS

P 1 6	Does the CA require providers to evaluate prevention services being implemented in their area? Measuring against key performance targets, outcomes, and milestones, which indicate progress or achievement. If yes, how often? (Contract, Attachment A Pg. 33; AP)	-CA can provide copies of examples of evaluation tools being used by prevention providers for specific programs, and CAs can discuss the application and timing of the evaluation tool and process for specific/example prevention programs.				
P 1 7	How does the CA assure that providers are evaluating the prevention services that they provide? (Contract, Attachment A pg. 33)	-CA can provide verification of the provider program evaluation process from documentation obtained during provider site visits and technical assistance sessions. Copies of said documentation can be provided and/or reviewed by ODCP Staff.				

CREDENTIALING/WORKFORCE DEVELOPMENT

P 1 8	CA has communicated the credentialing requirement and relevant information to the providers in their region.	-CA can produce copy of correspondence conveying this information. -CA can produce a copy on an agenda where this information was conveyed.				
P 1 9	The CA has a policy regarding required credentialing for specific providers. (Contract, Attachment E, V, pg. 2)	-CA can produce a copy of the policy.				

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P 2 0	CA has a process for monitoring the credentialing initiatives of staff at the provider agency and the CA – for both the completion of certification and the submission of acceptable certification plans- including who is responsible for monitoring. (Contract, Attachment E, V, pg. 2)	-CA can produce a copy of the process that has been established. -CA can provide copies of the results of the monitoring process for this information.				
P 2 1	How many provider agency prevention staff, are required to become credentialed? Does CA have this information by certification category? {NOTE: Credentials are only required for Program Directors, Prevention Coordinators, and any staff providing direct services. Coalitions and individual volunteers are not required to have achieved certification.}	Fact Finding -CA has documented the number of prevention providers by certification category who need to completed certification or have an accepted plan for completion by the end of FY 2008. Need to have completed or have developmental plans in place.				

SYNAR

	The source for most questions related to Synar, (Contract, Attachment E), and youth access to tobacco activities is ODCP Prevention Policy #1. There may be some additional requirements from other sources as well, and will be noted if applicable.					
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P 2 2	CA has developed a Synar Plan based on use of local data, and incorporates best practice models for implementation in region. (AP)	-CA can document how use of local data has been used to develop Plan. -Link to/ citation of best practice models for activity noted.				
P 2 3	CA conducts formal Synar Survey Inspections in accordance with the ODCP provided protocol.	-CA can provide a copy of their tobacco plan, which delineates objectives for the implementation of formal Synar Survey Inspection compliance checks. -CA can provide a copy of the contract/agreement with the entity engaged to conduct the Formal Synar Survey Inspection compliance checks.				
P 2 4	CA conducts recommended non-Synar tobacco compliance checks – both or either law enforcement and/or civilian, in accordance with the ODCP provided protocol (recommended at 10% of regional retailers). CAs that have had a youth sales rate of 20% or more for 2 of the last 3 years are required to conduct compliance checks to 25% of the tobacco retailers within their region. (AP)	-CA can provide a copy of their tobacco plan, which delineates objectives for the implementation of non-Synar compliance checks. -CA can provide a copy of the contract/agreement with the entity engaged to conduct the non-Synar compliance checks. -CA can provide a copy of the reports on the non-Synar compliance check activity conducted to-date in the current fiscal year.				

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P 2 5	CA conducts the required Vendor Education activity to at least 10% of the tobacco vendors within their region. CAs that have had a youth sales rate of 20% or more for 2 of the last 3 years are required to conduct compliance checks to 25% of the tobacco retailers within their region. (AP)	- A can show Plan incorporating vendor education activity. -CA has documentation of retailers that have received a successful vendor education visit. -CA can provide copy(s) of provider contract with vendor education visits included in the planned activity.				
P 2 6	CA has participated in a process to clarify and improve the Synar Tobacco Retailer Master List – to verify the accuracy and standing of the outlets identified on the Master List.	-CA can show Plan incorporating Master List clarification and improvement activity within the plan. -CA can provide copy(s) of provider contract with Master List clarification and improvement included in the planned activity.				
P 2 7	CA has an established process to collect information on independent YTA enforcement activity and violation data from local law enforcement entities within their region. (CSAP Requirement)	-CA can provide a copy of the process/policy that has been established. -CA can provide a copy of any forms or correspondence provided to or from law enforcement entities with regard to the collection of this information/data. -CA can provide a copy of reports including a summary of YTA enforcement activity and violation data from local law enforcement entities.				

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Strategic Prevention Framework- State Incentive Grant						
P 2 8	CA can provide examples of how challenges with the SPF SIG Needs Assessment and other steps of the Strategic Planning Framework process were addressed. (SPF SIG requirement)	-CA can identify at least two examples of challenges experienced and how they were met. -Deal with Needs Assessment issue first; address at least two other steps.				
P 2 9	CA can document how new partnerships or collaborations have been formed, or existing partnerships strengthened and the process for making recommendations and decisions. (SPF SIG requirement; AP)	-Provide examples of policy and procedures for making decisions. -Provide written procedural explanation of how data gathering workgroup is distinguished from role of a ratifying group (i.e. CEW and CSPPC or CSPPC and sub-group).				
P 3 0	CA can document how providers and target population views and needs were incorporated into capacity development and planning process. (SPF SIG requirement)	-Provide verification of the process for incorporating stakeholder involvement to determine priorities and partnerships. -Explain how workforce development and technical assistance are provided or facilitated. -CA should minimally show meeting minutes, correspondence, and other documentation meeting this requirement as well as describe learning community opportunities.				

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P 3 1	CA can show how readiness of provider network/ community was determined and mobilized.	-Provide specific examples: <ul style="list-style-type: none"> ▪ What was initial level of readiness to address problem or work collaboratively? ▪ What were the barriers? ▪ How were the barriers addressed? 				
P 3 2	CA can document how goals related to data-guided priority problems were identified by CSPPC, CEW, or other collaborators. (SPF SIG requirement)	-CA can show evidence through meeting minute discussion, prioritization process used, or other examples relevant to region.				
P 3 3	CA implemented a Logic Model process as part of regional strategic planning process (SPF SIG requirement).	-Provide examples of Logic Models being used in region as they relate to priority problems identified, or show process being used if still in implementation stage.				
P 3 4	CA has implemented evidenced based policies and practices. (SPF SIG requirement; AP)	-CA understands principle components/ characteristics that constitute evidenced-based prevention. -CA can show summary details of evidenced based policies and practices, with timelines for implementation.				

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P 3 5	Evidenced based programming, policies and practices relate to data-guided priorities, populations and problem areas determined as part of needs assessment process. (SPF SIG requirement; AP)	- Documentation showing flow from needs assessment to strategic plan priorities.				
P 3 6	Evaluation is infused throughout the SPF SIG process as it applies to assessment, capacity building, planning and implementation. (SPF SIG requirement)	-CA can provide examples of how evaluation has been part of each of the four steps identified. -CA can provide documentation or data that shows impact of intervention on designated problem.				
P 3 7	CA has begun addressing how the SPF SIG process and/or programs will be sustained in the future (SPF SIG requirement).	-Meeting minutes or notes from discussions held. -Examples of how plan to sustain provided.				
P 3 8	As part of sustainability and service planning, CA has begun addressing National Outcomes Measures (NOMS).	FACT FINDING Discussion of which NOMS CA is considering; and why.				

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P 3 9 At least two hour time period during site visit process needs to be set aside for meeting with community CSPPC and CEW Chairpersons to meet with ODCP staff.	SEE SEPARATE CRITERIA Updated discussion of progress included in Implementation Status Report, sustainability and technical assistance.				