

**Federal Regulatory Requirements for
Substance Abuse and Mental Health Service Administration (SAMHSA)
20% Set-Aside Primary Prevention Block Grant Funds
National Outcome Measures (NOMs)**

I. DEFINITION OF PRIMARY PREVENTION

Block Grant 20% set aside is for a broad array of Primary Prevention strategies directed at individuals not yet identified to be in need of treatment. Comprehensive primary prevention programs should include activities and services provided in a variety of settings for both the general population and targeted sub-groups who are at higher risk for substance abuse.

Primary Prevention refers to a proactive process that empowers individuals and systems to meet the challenges of life events and transitions by creating and reinforcing conditions that promote healthy behaviors and lifestyles. Primary prevention includes interventions occurring prior to the initial onset of a substance use disorder through reduction or control of causative factors to substance misuse, including the reduction of risk factors contributing to substance misuse. **Services are delivered through six defined federal categories (what) within the three classifications of population (who) as identified by the Institute of Medicine.**

II. Incorporating SAMHSA's Leading Change 2.0 Six Strategic Initiatives

<http://www.samhsa.gov/about-us/strategic-initiatives>

- Prevention of Substance Abuse and Mental Illness
- Health Care and Health Systems Integration
- Trauma and Justice
- Recovery Support
- Health Information Technology
- Workforce Development

III. INTERVENTIONS, STRATEGIES AND POPULATIONS ALIGNED AND MEASURED BY THE FOLLOWING OUTCOME INDICATORS:

30-day alcohol use
30-day cigarette use
30-day other tobacco products use
30-day marijuana use
30-day illegal drug use
30-day alcohol use
30-day non-medical use of Rx (not prescribed to individual)
Age of First Use of Alcohol
Age of First Use of Cigarettes
Age of First Use of Tobacco Other than Cigarettes
Age of First Use of Marijuana or Hashish
Alcohol Related Traffic Fatalities
Alcohol-and Drug-Related Arrests
Binge Drinking
Synthetic Drugs

IV. AGE CATEGORIES

0-4	18-20	45-64
5-11	21-24	65 and Over
12-14	25-44	Age Not Known
15-17		

V. HIGH RISK SUB-POPULATIONS

States are asked to report on high-risk sub-populations, as part of primary prevention, recognizing there are limited funds to fully address all the needs. Based on upon data, feasible and fit report on which sub-population is being addressed and by what type of CSAP strategy.

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|--------------------------------------|-----------------------------|
| 1) Children of substance users | 8) Survivors of Abuse |
| 2) Pregnant women/teens | 9) Already using substances |
| 3) Drop-outs | 10) Homeless / runaway |
| 4) Violent and delinquent behaviors | 11) Suicide Ideation |
| 5) Mental Health problems | 12) LBGT |
| 6) Economically Disadvantaged | 13) Military |
| 7) Physically / emotionally disabled | 14) Other |

VI. CENTER FOR SUBSTANCE ABUSE PREVENTION (CSAP) six defined federal categories

By statute, the SAPT Block Grant prevention set-aside must be spent on primary prevention services or services for individuals who have not been identified as needing treatment. Categories include:

- 1) **Information Dissemination:** increase knowledge and awareness of the dangers associated with drug use and abuse
- 2) **Education:** build skills to prevent illicit drug use, including decision making, peer resistance, stress management, and interpersonal communication
- 3) **Alternatives:** organize healthy activities that exclude alcohol and illicit drugs.
- 4) **Problem Identification:** identify individuals abusing alcohol and illicit drugs and assess whether they can be helped by educational services.
- 5) **Community-Based Process:** provide networking activities and technical assistance to community groups and agencies.
- 6) **Environmental:** establish strategies for changing community standards, codes, and attitudes towards alcohol and illicit drug use.

VII. INSTITUTE OF MEDICINE (IOM) PREVENTION CLASSIFICATIONS

Defined below are the three IOM Prevention Classifications which identifies "who" in the population is receiving the services. Services are the "what", consisting of the six major federal CSAP categories (listed above).

1.) Universal Prevention Intervention – are activities targeted to the general public or a whole population group that have not been identified on the basis of individual risk.

- **Universal Direct** - Interventions directly serve an identifiable group of participants but who have not been identified on the basis of individual risk (e.g., school curriculum, after-school program, parenting class). This also could include interventions involving interpersonal and ongoing/repeated contact (e.g., coalitions).
- **Universal Indirect** - Interventions support population-based programs and environmental strategies (e.g., establishing ATOD policies, modifying ATOD advertising practices). This also could include interventions involving programs and policies implemented by coalitions.

2.) Selected Prevention Interventions – are activities targeted to individuals or a subgroup of the population whose risk of developing a disorder is significantly higher than average.

3.) Indicated Prevention Interventions – are activities targeted to individuals in high-risk environments, identified as having minimal but detectable signs or symptoms foreshadowing a disorder or having biological markers indicating predisposition for a disorder but not yet meeting diagnostic levels.

VIII. EVIDENCED BASED INTERVENTIONS (EBI)

Evidence-based prevention refers to a set of prevention activities that evaluation research has shown to be effective. Some of these prevention activities help individuals develop the intentions and skills to act in a healthy manner. Others focus on creating an environment that supports population level healthy behaviors. There are several resources on how to determine EBI.

- New Hampshire’s evidenced informed guidance:

<http://www.dhhs.nh.gov/dcbcs/bdas/documents/evidenceinformedpx.pdf>

- SAMHSA Criteria:

<http://captus.samhsa.gov/prevention-practice/defining-evidence-based/samhsa-criteria>

IX. ANNUAL BLOCK GRANT REPORTING MEASURES

- Primary Prevention Expenditures
- Primary Prevention Expenditures per
 - CSAP strategy,
 - IOM classification
 - Evidenced Based Interventions
- **Population-Based** Programs and Strategies—Number of Persons Reached by Age, Gender, Race, and Ethnicity.
- **Individual-Based** Programs and Strategies—Number of Persons Served by Age, Gender, Race, and Ethnicity
- Numbers served / reached by each of the Six CSAP strategies
- Numbers served / reached per IOM classification
- Prevention Strategies targeting high risk populations
- Numbers of Evidence-Based Programs by Strategies and IOM classification