

SAMHSA Multiplier Survey

Supporting Statement

A. Justification

A. 1. Circumstances of Information Collection

The Substance Abuse and Mental Health Services Administration (SAMHSA) of the U.S. Department of Health and Human Services has a long history of providing funds through grants and cooperative agreements to States and other entities to develop innovative programs to address a wide variety of needs. Through its three centers, Center for Mental Health Services (CMHS), Center for Substance Abuse Prevention (CSAP) and Center for Substance Abuse Treatment (CSAT), SAMHSA has sought to provide seed funding for programs that support its vision of a life in the community for everyone. Four programs from each of the three Centers will be selected to participate in the surveys (see B. 1 for sampling plan). SAMHSA is requesting the Office of Management and Budget's approval for a survey for project directors to be used in this project (Attachment A).

Each SAMHSA grantee reports performance data to SAMHSA as part of their grant; however, little is known about the extent to which they are sustained after Federal funding ends. The Multiplier Survey is conceived as a pilot test of program management methodology and whether a retrospective design is the most effective way of understanding the development of program sustainability strategies after Federal funding ends.

The Multiplier Survey proposes to address this lack of information by identifying program factors, grantee characteristics and contextual factors that support sustainability and effective grant implementation by conducting one-time interviews with project directors from twelve programs selected from the three SAMHSA Centers. Section 501(d)(4) of the Public Health Service Act (42 USC 290aa) and Public Law 106-107 are the authorizing legislation for these surveys.

A. 2. Purpose and Use of Information

Kinds of Information to Be Collected

By understanding characteristics and factors that improve grant implementation and enhance sustainability at the end of Federal funding, SAMHSA will be better able to structure these programs to enhance the effectiveness of the "seed" money provided to states and other entities. Findings from this survey will inform the structure and implementation of future SAMHSA funding opportunities to address its specific goals and objectives. These include grant implementation, intended program outcomes at the conclusion of Federal funding, such as capacity improvement and system change, and program sustainability and influence on other programs or on systems at large. In this way, SAMHSA can provide funding opportunities for programs that support its vision of a life in the community for everyone. This survey may be the

basis for a grant management and evaluation tool to be used by Federal project officers overseeing SAMHSA grant programs.

Project Director Interview (Attachment A): Project Directors from each of the twelve selected programs (see B. 1) will be asked to participate in a telephone interview about their project. The survey consists of 35 open-ended questions on topics including project intent and design, implementation, and sustainability. Using open-ended questions permits more in-depth responses and probing to identify important factors in sustainability.

Government Performance and Results Act (GPRA)

Project directors will be asked if the GPRA data they collected as part of their grant informed any modifications to the project and/or increased its sustainability or continued role in the community. Findings from these surveys may inform modifications to the types of performance measures collected and/or the method and timing of their distribution to SAMHSA grantees.

A. 3. Use of Information Technology

Technology will not be used for the Project Director interview, due to its qualitative nature, it was decided that an in-depth telephone interview with open-ended questions would permit a more complete understanding of pertinent factors of program influence and sustainability.

A. 4. Efforts to Identify Duplication

The information is collected only for the purposes of this project and is not available elsewhere.

A. 5. Involvement of Small Entities

While some of the individual grant projects may be small, not-for-profit entities, this one-time information collection effort will not have any significant impact on them. In addition, participation of project directors is voluntary. Project directors will have the opportunity to refuse to participate in the telephone interview. (see section A. 10).

A. 6. Consequences If Information Collected Less Frequently

Each respondent is asked to respond only once.

A. 7. Consistency With the Guidelines in 5 CFR 1320.5(d)(2)

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

A. 8. Consultation Outside the Agency

The notice required in 5 CFR 1320.8(d) was published in the *Federal Register* on Friday, April 2, 2010, Volume 75, page 16812. No comments were received.

While not outside SAMHSA, a Workgroup, representing CMHS, CSAP and CSAT was created to assist in protocol development, identification of grant programs that met inclusion criteria, sampling plan and identification of appropriate project directors for in-depth interviews. It was felt that those within SAMHSA who had intimate knowledge of grant programs in the project would be better able to assist in the development of surveys and procedures to address the government's concerns. A list of their names and contact information is in Attachment B.

In addition, contractor and subcontractor staff were consulted in the development of the protocols, including the following:

Howard Goldman and Garrett Moran, Senior Researchers: Westat, Rockville, MD;
Chanson Noether, Division Manager: Policy Research Associates, Delmar, NY.

A. 9. Payment to Respondents

Respondents will not receive any compensation for their participation in these surveys.

A. 10. Assurance of Confidentiality

No personal identifying information is being collected. Names and contact information of project directors being interviewed will only be used to contact them. The contractor’s Human Subjects Coordinator and Institutional Review Board chair met and concluded that this project meets the criteria for exempt from the need for IRB review (45 CFR 46.1010(b)(5)(i)). A Certificate of Confidentiality is not required. Data will be stored in locked cabinets.

A. 11. Questions of a Sensitive Nature

This information collection contains no questions of a sensitive nature, being focused on program implementation and sustainability.

A. 12. Estimates of Annualized Hour Burden

The annualized hour burden is summarized in the table below:

Form Name	No. of Respondents	Responses per Respondent	Total Responses	Hours per Response	Total Hour Burden	Hourly Wage Cost	Total Hour Cost (\$)
Project Director	48	1	48	1.25	60	\$70	\$4200
TOTAL	48	-	48	-	60	\$70	\$4200

The hour burden estimate was calculated, including the number of responses and hours per response, based on the contractor’s experience with this type of data collection and on informal testing with three Policy Research staff for each form. The hourly wage cost was calculated using a \$70,000 estimate of project directors’ annual salary across the country. The loaded hourly wage for that salary is approximately \$70.

A. 13. Estimates of Annualized Cost to the Government

There is no capital/startup or operation and maintenance cost involved in collecting the information.

A. 14. Estimates of Annualized Cost to the Government

The total estimated cost to the Federal Government for the Multiplier Surveys data collection activity is \$188,455. This includes the cost of the survey development, implementation and analysis (\$98,038) plus 5% of a SAMHSA project officer’s time at \$100,000 annual salary (\$5,000) for the year of the contract.

A. 15. Changes in Burden

This is a new project.

A. 16. Time Schedule, Publication and Analysis Plans

Time Schedule

Once OMB clearance has been obtained, interviews will be scheduled with selected project directors from the grantee programs. (See B.1 for details on the sampling plan.) Project directors from all grantees will be invited via email to complete the web-based survey.

Activity	Date
Identify project directors	During OMB clearance period
Submit final interview schedule to GPO	Within 5 weeks of OMB approval
Interviews completed	Within 13 weeks of OMB approval
Analyze data and distill policy recommendations	Within 17 weeks of OMB approval
Submit draft final report	Within 17 weeks of OMB approval
Final report, incorporating GPO comments	Within 22 weeks of OMB approval

Analysis Plan

SAMHSA will use the survey data to obtain information on the following key issues, which, in turn, will inform its development and management of future programs within its three Centers:

Project Intent and Design

- The impetus, intended population and champion for the project
- Use of Evidence-based practices
- Type of program, i.e. service enhancement or infrastructure or both

Project Implementation

- Challenges encountered, modifications made in implementing program
- Use of a planning period, if one was included
- Use of technical assistance available and received
- Systemic context of the project

Project Sustainability

- Continuation after Federal funding ended, included how it was accomplished
- Identification of significant contributing factors to the project's continuation, if it did
- Identification of significant contributing factors to the project's discontinuation, if it did not continue
- Type and use of any evaluation conducted and GPRA data collected

The in-depth survey is designed to yield qualitative data. Each will be analyzed by looking for recurring themes and factors across multiple programs.

Publication

Findings will be summarized in an internal report that will address three assessment areas:

1. Grant program factors associated with successful continuation and sustainability after Federal funding ends, including, but not limited to grant amount, type, and award length.
2. Grantee characteristics including, but not limited to baseline capacity, rate of spend down, carryover, and leadership

3. Contextual factors including state economic and demographic situation, infrastructure, level of oversight, involvement of multiple stakeholders

The internal final report will distill key elements and grantee characteristics that may be associated with long-term sustainability and relationship to other systems of service delivery within a community and/or State. It will also make recommendations on methodologies for effective grant management by Federal project officers and by project directors. Contract staff will make a presentation to SAMHSA staff of their findings at SAMHSA's Rockville, MD, office at the conclusion of the project.

A. 17. Display of Expiration Date

The expiration date will be displayed.

A. 18. Exceptions to Certification Statement

This submission describing data collection requests no exceptions to the Certificate for Paperwork Reduction Act (5 CFR 1320.9).

B. Collections of Information Employing Statistical Methods

B. 1. Respondent Universe and Sampling Methods

The Workgroup, Government Project Officer and Policy Research Associates, the contractor conducting this survey, chose the following criteria for SAMHSA grant programs to be included:

- All funding must have been expended by September 30, 2008. This included any no-cost extensions.
- Two main types of SAMHSA programs were chosen by the Workgroup as being most representative of the types of grants that SAMHSA funds. Infrastructure grants are designed to promote systems change as opposed to improving and delivering service. Service Grants traditionally focus on either improving the service delivery system and/or expanding the population(s) served. Workgroup representatives from each of the three centers (CMHS, CSAP, and CSAT) met with Center staff and identified one program from their Center that met each of the bulleted criteria below and the funding expenditure criterion described in the first bullet.
 - one infrastructure program with less than three years of funding
 - one infrastructure program with more than three years of funding
 - one services enhancement program with less than three years of funding
 - one services enhancement program with more than three years of funding

These twelve programs constitute the respondent universe for these surveys include

CMHS: Alternatives to Restraint & Seclusion State Incentive Grants; Child Mental Health Initiative; Older Adult Targeted Capacity Expansion; Targeted Capacity Expansion Grants for Jail Diversion

CSAP: Drug Free Community; Methamphetamine, Ecstasy, Inhalants and/or Other Club Drugs; Minority SA & HIV Prevention; State Incentive Grants

CSAT: Access to Recovery; Recovery Community Services Program; Screening, Brief Intervention, Referral & Treatment; Strengthening Treatment Access & Retention

B. 2. Information Collection Procedures

Project Director Interview Sampling: All programs have multiple grantees. Four grantees from each program will be chosen for the in-depth telephone interview. For this pilot testing of this methodology, the sampling frame will be based on State's funding per 100,000 persons, including SAMHSA block grant and discretionary funding, for mental health services for those programs from the Center for Mental Health Services. State's total funding for substance use will be used to select grantees from the Center for Substance Abuse Prevention and Center for Substance Abuse Treatment. (See Attachment B for funding summaries for mental health and substance use SAMHSA and state funding. Data are from FY2006, the most recent available.) The funding summaries were divided into thirds. Using SAMHSA's announcement of grantees for each included, if possible, two grantees in the top third of funding and two in the lower third will be selected to be interviewed. If no grantee fell into the top or bottom third, two closest to the top and bottom third will be selected to be interviewed. In addition, where possible, the sampling will be purposeful to ensure geographic dispersion, and every effort will be made to select grantees from different states within the upper and lower thirds. It may not be possible to contact some project directors. In that case, another project director will be chosen from the

sample. An introductory email will be sent to selected project directors inviting them to participate in the survey. The voluntary nature of their participation will be stressed. A ninety percent response rate is anticipated. (See Attachment A for the Project Director protocol and the introductory email to be sent to each project director.)

This is a one-time data collection to assist SAMHSA to better understand the extent to which their grant programs continue to have a role in their communities after Federal funding ends and factors that enhance project sustainability.

B. 3. Methods to Maximize Response Rates

Project Director Survey: At least three attempts will be made to contact each project director selected for the study. If it is determined that the project director is no longer able or unwilling for whatever reason to participate in the study, the project director from another grantee will be selected. The SAMSHA Workgroup established to assist with this study will provide contact information for project directors of selected grantees. Because the numbers of project directors to be interviewed is relatively small, it is imperative that 48 of them be interviewed for the data to have the requisite validity and reliability.

B. 4. Tests of Procedures

The project director survey was developed to respond to the specific needs of this study. Workgroup members had extensive input in the development of the protocol and in the study design. Multiple iterations of the survey instrument was reviewed by the Workgroup. Once a final draft was completed, it was reviewed by Policy Research staff, specifically Chanson Noether and Henry Steadman, and by Howard Goldman and Garret Moran of Westat.

B. 5. Statistical Consultants

Policy Research Associates has responsibility for instrument development and data collection for this project. They have been assisted by two consultants from Westat. All are listed below.

Susan Becker (Government Project Officer)

SAMHSA/OA

Phone: 240-276-2249

Contractors:

Henry J. Steadman (Project Co-Director)

Deborah Dennis (Project Co-Director)

Margaret Lassiter (Project Coordinator)

Policy Research Associates

Delmar, NY

Phone: 518-439-7415

Consultants:

Garrett E. Moran

Westat

Rockville, MD 20850

Phone: 301-294-3821

Howard Goldman
University of Maryland
Baltimore, MD
Phone: 301-983-1671

List of Attachments:

Attachment A:

- Project Director survey
- Introductory email

Attachment B:

- Workgroup roster
- Sampling Funding Summary