Substance Abuse Prevention and Treatment Block Grant

Sub-Grantee Requirements Overview for Prevention Activities
What is the Substance Abuse Prevention and Treatment Block Grant (SABG)?

• The SABG program’s objective is to help plan, implement, and evaluate activities that prevent and treat substance abuse.

• The SABG is authorized by section 1921 of Title XIX, Part B, Subpart II and III of the Public Health Service (PHS) Act (PDF | 253 KB).

• The PHS Act required the secretary of the U.S. Department of Health and Human Services to create regulations as a precondition to making funds available to the states and other grantees under the SABG.

• Title 45 Code of Federal Regulations Part 96 was published on March 31, 1993, and The Tobacco Regulations for Substance Abuse Prevention and Treatment Block Grant; Final Rule, 61 Federal Register 1492 was published on January 19, 1996.
Grantee Responsibilities

• Have a designated unit of its executive branch that is responsible for administering the SABG (in WV, this is the Department of Health & Human Resources-Bureau for Behavioral Health & Health Facilities)

• Apply annually for SABG funds

• Have the flexibility to distribute the SABG funds to local government entities, such as municipal, county, or intermediaries, including administrative service organizations

• Have SABG sub-recipients, such as community- and faith-based organizations (non-governmental organizations), and deliver:
  • Substance abuse prevention activities to individuals and communities impacted by substance abuse
  • Substance use disorder (SUD) treatment and recovery
Substance abuse prevention is part of the comprehensive approach to behavioral health care. The Behavioral Health Continuum of Care Model recognizes multiple opportunities for addressing behavioral health problems and disorders.
The State is required to submit to the Secretary of Health and Human Services an assessment of the need in the State for authorized activities, both by locality and by the State in general.

The State will provide a broad range of information which includes the following:

a) The incidence and prevalence in the State of drug abuse and the incidence and prevalence in the State of alcohol abuse and alcoholism

b) Provide a summary describing any weakness and bias in the data and a description on how the State plans to strengthen the data in the future
The State shall provide the following data if available:

- The specific risk factors being addressed by activity
- The age, race/ethnicity and gender of the population being targeted by the prevention activity
- The community size and type where the activity is carried out
- The identities of the entities that provide the services and describe the services provided
- Information on treatment utilization to describe the type of care and the utilization according to a primary diagnosis of either alcohol or drug abuse, or a dual diagnosis of alcohol and drug abuse

Regulation Reference 45 CFR 96.133
• The State may describe the need for technical assistance to carry out Block Grant activities, including activities relating to the collection of incidence and prevalence data identified.

• The State shall establish goals and objectives for improving substance abuse treatment and prevention activities and shall report activities taken in support of these goals and objectives in its application.

Regulation Reference 45 CFR 96.133
Populations

The State shall submit a detailed description on the extent to which the availability of prevention and treatment activities is insufficient to meet the need for the activities. Special attention should be provided to the following groups:

a) Women who are addicted and who are pregnant
b) Women who are addicted and who have dependent children
c) Individuals who are addicted and injecting drugs
d) Individuals who are addicted and infected with HIV or who have tuberculosis

Regulation Reference 45 CFR 96.133
Data

The State also must provide documentation pertaining to:

• Capacity and waiting lists
• A summary of information for admissions
• Available discharge data
• A description of the populations at risk of becoming substance abusers

Regulation Reference 45 CFR 96.133
Additional Requirements

• States should use common diagnostic criteria (e.g., DSM/ICD criteria) to measure dependence

• States must provide detailed descriptions of:
  a) Current prevention and treatment activities
  b) Intended use of prevention and treatment funds
  c) Treatment capacity

Primary prevention activities must be broken down by strategies used and other characteristics outlined in the Block Grant regulations

Regulation Reference 45 CFR 96.133
Primary prevention strategies should be appropriate for each target group and include but not be limited to approaches such as:

a) Information dissemination  
b) Education  
c) Alternatives  
d) Problem identification and referral  
e) Community-based processes  
f) Environmental strategies

Regulation Reference 45 CFR 96.133
Strategies

- Block Grant-funded prevention activities and services should be offered in a variety of settings for both the general population and targeted subgroups who are at high risk for substance abuse.

- A variety of strategies must be provided as appropriate for each target group, including but not limited to the six prevention strategies.

Regulation Reference 445 CFR 96.125
Prevention Strategies

1. **Information dissemination** is characterized by one way communication from the source to the audience.

2. **Education** is characterized by two-way communication that involves interaction between the educator/facilitator and participants.

3. **Alternative activities** operate under the assumption that constructive and healthy activities offset the attraction to or otherwise meet the needs usually filled by alcohol, tobacco, and other drugs.

4. **Program identification and referral** consist of identifying those who have indulged in illegal/age inappropriate alcohol or tobacco use or have indulged in illicit drug use for the first time.

5. **Community-based processes** aim to help the community more effectively provide alcohol, tobacco, and other drug prevention and treatment services.

6. **Environmental approaches** intend to establish or change community standards, codes, and attitudes that influence the incidence and prevalence of alcohol, tobacco, and other drug use in the general population.

Regulation Reference 45 CFR 96.125
Information Dissemination

Consists of one-way communication between the source and the audience with limited contact between the two

Examples:
- Clearinghouses or other information resources centers
- Media campaigns
- Brochures
- Radio and Television Public Service Announcements
- Speaking Engagements
- Health Fairs and Health Promotions
- Information Lines
Education

Consists of two-way communication. The goal is to affect critical life and social skills such as:

- Decision-Making Skills
- Refusal Skills
- Critical Analysis
- Systematic Judgment Abilities

Examples:

- Classroom and/or small group sessions (all ages)
- Parenting and family management classes
- Peer leader/helper programs
- Education programs for youth groups
- Groups for children of substance abusers
Alternative Activities

Participation in activities that exclude:

- Alcohol
- Tobacco
- Other drug use

Examples:

- Drug-free dances and parties
- Youth/adult leadership activities
- Community drop-in Centers
- Community service activities
Problem Identification and Referral

1. Identify individuals who have indulged in illegal or age-inappropriate use of tobacco or alcohol; first-use of illicit drugs

2. Assess whether behavior can be reversed through education

Does NOT include any activities designed to determine if a person needs substance abuse treatment

Examples:
- Employee assistance programs
- Student assistance programs
- Driving while under the influence or driving while intoxicated education programs
Community Based Processes

The goal of community-based processes is to improve the ability of the communities to more effectively provide prevention and treatment services for alcohol, tobacco and drug abuse disorders and includes:

- Organizing
- Planning
- Enhancing efficiency and effectiveness
- Interagency collaboration
- Coalition Building
- Networking

Examples:
- Community and volunteer training
- Systematic Planning
- Multi-agency coordination and collaboration
- Accessing Services and funding
- Community team building
Environmental Approaches

Environmental strategies are designed to influence the incidence and prevalence of abuse by establishing changes to:

- Written and unwritten community standards
- Codes
- Attitudes
Environmental Approaches

Environmental Strategies are divided into two sub-categories:

1. Legal and regulatory
2. Service and action oriented initiative activities

Examples:
- Establish and review school policies
- Provide technical assistance to communities
- Modify advertising practices
- Passing clean indoor air regulations
- Establish product pricing strategies
- Advocate for social hosting laws
- Advocate to increase tobacco taxes