Division of Public Health / Chronic Disease and Injury Section/ Injury and Violence Prevention Branch
Rape Prevention and Education Subrecipient Monitoring Plan

I. Program Overview

The Rape Prevention and Education (RPE) Program is funded by the Violence Against Women Act, with funds awarded through the Centers for Disease Control and Prevention (CDC) to all 50 states and 8 territories according to a population based formula. Federal legislation specifies the major areas of activities that are aimed at preventing rape and sexual assault, and the CDC has set program priorities and provided guidance to all states and territories for implementing the program. The CDC expects all RPE programs at both the state and local levels to use a public health approach; to undertake planning, including a comprehensive assessment of community needs and assets; to perform program evaluation; and to focus on primary prevention – preventing initial sexual violence perpetration and victimization.

The Injury and Violence Prevention Branch (IVPB) of the Chronic Disease and Injury Section administers the grants. A full-time Public Health Program Consultant oversees the programmatic elements of the grants, and a full-time Processing Assistant oversees the financial aspects. From time to time, we also utilize contractors or temporary services. Private, non-profit organizations, public or local governmental agencies, and local health departments, whose mission and history clearly demonstrate a commitment to prevent sexual violence, were eligible to apply through a competitive Request for Applications process (RFA). The organizations and agencies that receive funding undertake community assessment, prevention task force development, and comprehensive prevention in their local communities.

II. Monitoring Process Overview

SUMMARY:

- Review of Programmatic Reports = 2-3 times/year
- Review of Financial Reports = Monthly
- Review of Contract = Annually
- Review of Self Assessment = Annually
- Review of Historical Findings = Annually
- Telephone Contact = Monthly (see Phone Log sheet in Appendix)
- Follow-Up on Prior Year Audit Findings = Annually
- On-Site Visits = Annually, and as needed (see further elaboration below)

A. Review of Programmatic Reports

1. In Year 1 of the Program (1/1/07-12/31/07), the contractors received numerous types of contact from the IVPB (RPE Program Manager, the Program's Empowerment Evaluator (personal services contract), and the Prevention Education Coordinator (a staff member at the statewide NC Coalition against Sexual Assault). Due to the start-up of a brand new focus for the RPE Program and a delay in receiving final guidance from the CDC regarding the Annual Report that would be required from all funded states, the local Contractors were required to submit only one programmatic Report at the end of the year. The three-person team listed above carefully reviewed each report and noted points of follow-up.
2. In Year 2 of the Program (1/1/08-10/31/08), the local contractors were required to submit two Progress Reports (due 3/31/08 and 7/31/08) and one Annual Report (due 10/31/08). The review team for Year 2 was changed slightly to include the RPE Program Manager, the Empowerment Evaluator, and the Sexual Violence Prevention Consultant (SVPC), a Temporary Solutions employee hired in March 2008 to provide in-depth technical assistance to local contractors. Comments from the Annual Report review and the first Progress Report review were condensed into detailed letters sent to each agency in June 2008. Several agencies were asked to schedule one-on-one technical assistance (TA) time with the SVPC

based on the review. All agencies were asked to respond to specific points noted in the review in the second Progress Report due on July 31, 2008. A similar process will be utilized for the remainder of Year 2.

3. A similar process for Programmatic Report review is being used in Year 3 (11/1/08-10/31/09) of the Program. During Year 3, a new RFA will be released, resulting in a new group of contractors in Year 4.
4. Year 4 of the Program (11/1/09-10/31/10) may look somewhat different in content and structure depending on the feedback and guidance received in interviews and focus groups with stakeholders (including local contractors) that are currently being conducted in preparation for the new RFA.

B. Financial Monitoring:

The grantees are required to submit Contract Expenditure Reports (CERs) monthly. The Processing Assistant reviews each CER carefully, comparing them with the grantee's contract budget (original or revised); looking for complete documentation of expenditures; reimbursements that are allowable vs. unallowable (e.g., the grantee is not requesting reimbursement for food or taxes, both unallowable costs). If errors are found, the Processing Assistant requests via e-mail or telephone call that the grantee send correct documentation or resubmit the CER. When the CER is submitted to the Contracts Unit for review and processing, the Processing Assistant updates a customized spreadsheet for each grantee and e-mails it to the grantee. This spreadsheet provides 1) a worksheet with detailed monthly expenditures and ongoing balance; 2) a worksheet that shows the original and revised budgets; 3) a worksheet that shows projections of recurring expenditures (Appendix A). A grantee or the Processing Assistant may note the need for a budget revision, and the Processing Assistant sends a Budget Revision form via e-mail, which the grantee may complete electronically or manually, and return to the processing Assistant by e-mail, fax or letter. The Processing Assistant reviews the Budget Revision form, and if the revisions are within the allowable costs, the revision is approved. The customized spreadsheet is revised. See Appendix for examples of the customized spreadsheets and budget revision form.

III. Compliance Supplement and Applicable Compliance Requirements: CFDA # 93-136

A. Activities Allowed or Unallowed

The Request for Applications that was released in 2006 (and that resulted in the current group of contractors) specified the list of Allowable and Unallowable Expenses.

1. Allowable Expenses for Funded Local Agencies

- Salary to support one full-time Prevention Coordinator dedicated 100% to RPE
- Fringe Benefits for the full-time Prevention Coordinator
- Travel, which will include the costs of in-state travel for the Prevention Coordinator and his/her direct supervisor during year 1 for the following:
- 3 required regional trainings: sites will be determined based upon location of awardees. In the budget, subrecipients only need to provide an estimate of travel expenses; the actual cost will be negotiated during the contracting process.
- 1 trip to Raleigh to consult with state project staff and/or meet with other awardees.
- Travel expenses may include mileage, lodging, and subsistence at the official rate set forth by the state of North Carolina (*see page 139 of*
- *http://www.osbm.state.nc.us/files/pdf_files/2003_budget_manual.pdf*) as well as parking fees

- Communications: Costs including telephone, internet, e-mail and other communications related to project and associated unit costs.
- Supplies: supply costs associated with prevention programs and activities
- Postage: postage costs associated with prevention programs and activities
- Equipment: necessary equipment associated with prevention programs and activities (note that requests >$500 require state **pre**-approval)
- Other: all other pre-approved operational costs associated with conducting your proposed prevention programs and activities

2. Unallowed Expenses for Funded Local Agencies

- Victim Services/Response: These funds may not be used for direct victim service activities. This includes crisis lines or hotlines, crisis intervention, case management, advocacy, counseling, support groups, and community outreach efforts in support of direct client services.
- Offender Treatment: These funds may not support offender treatment programs. The focus of RPE will be on preventing *first-time* perpetration, NOT on offender treatment for the purpose of preventing repeat perpetration.
- Victim Response Training: These funds may not be used for training that focuses on how service providers should respond to victims of sexual violence (e.g., advocates, Sexual Assault Nurse Examiner (SANE) programs, law enforcement or judicial response, etc.).
- Child Abuse Prevention: These funds may not be used for activities focusing solely on the prevention of child abuse.
- Child Sexual Abuse Prevention Programs: These funds may not be used for programs that teach children about sexual abuse in ways that make them responsible for preventing their own abuse (e.g., teaching “touching rules” and encouraging children to say “no” and report abuses). Rather, the RPE program is working to prevent perpetration from happening in the first place and to shift the onus of prevention onto the community as a whole.
- Victim Compensation: These funds may not be used to pay for costs that would otherwise be eligible for local or federal Victim Compensation reimbursement.
- Lobbying: These funds may not be used for the expenses of lobbying.
- Fundraising: Any cost of fundraising is ineligible for funding. The cost of organized fundraising (including bingo, financial campaigns, endowment drives, solicitation of gifts and bequests) incurred solely to raise capital or obtain contributions may not be charged to these funds. Likewise, the salary (or portion thereof) of persons engaged in such activities and indirect costs associated with those efforts are ineligible.
- Food/Refreshments: Because there are numerous regulations that govern the use of federal funds for food expenses, these expenses are disallowed.

B. Allowable Costs/Cost Principles

Costs in the application budget are allowable costs of a rape prevention and education grant. These include the following budget categories: salaries, fringe benefits, supplies, staff travel, cost of space, equipment, contracted services, “other” ("other" is defined in the grant application), and indirect costs. Each budget category may have explanatory remarks. Expenditures / costs are limited to those outlined in the approved budget in the application. Basic Considerations, Indirect Costs, Direct Costs, Allowable Costs, and Unallowable Costs may be found in the latest version of the federal Office of Budget and Management (OMB) Circular A-122 or OMB Circular A-87 available from the OMB website at www.whitehouse.gov/OMB/circulars.

C. Cash Management

Not less than monthly a “Request for Reimbursement” or a “Report of Outlays” (for projects receiving monthly advances) showing expenditures will be submitted to the Injury and Violence Prevention Branch. While no moneys may have been expended (in such case all entries will be zeros), these monthly requests are mandatory. Expenditures in arrears more than sixty (60) days, or two months of the period, for which the project is funded, will not be reimbursable without approval from Injury and Violence Prevention Branch.

F. Equipment and Real Property Management

Purchase of necessary equipment is allowed; note that requests >$500 require state **PRE-**approval. Requests for computer purchase require additional **PRE-**approval)

G. Matching, Level of Effort, Earmarking

No matching of funds is required.

Agencies must provide a statement of commitment: 1) to this process; 2) to ensuring that both the Prevention Coordinator and his/her immediate supervisor (e.g., Program Manger, Executive Director) attend and participate in all 3 of the regional trainings in Year 2 and the Annual RPE Program Meeting; and 3) to working cooperatively with the RPE Program Manager in order to implement primary prevention programs for sexual violence. Furthermore, agencies must provide a statement of commitment to using the two years of this project period for learning and increasing the agency/organizational capacity to provide effective primary prevention activities.

Monies must be earmarked for salary for one full-time Prevention Coordinator, for their fringe benefits, and for costs of in-state travel ***for the Prevention Coordinator AND his/her direct supervisor*** for the following*:*

- 3 required regional trainings (sites TBD; agencies must provide an estimate and the actual cost will be negotiated during contracting process)
- 1 trip to Raleigh to consult with state project staff and/or meet with other awardees (Annual RPE Program Meeting).
- Mileage, lodging, subsistence, parking for each trip is included

All travel costs must be consistent with currently approved state rates for mileage and subsistence costs for in-state travel.

H. Period of Availability of Federal Funds

The Performance Agreement and budget incorporated therein will define the period of availability of federal funds. Federal funds may be spent over multiple years; however, Performance Agreements and project budgets are written for one year at a time, and project budgets are one-year budgets. The beginning and ending dates of the project are incorporated into the Performance Agreement, and all expenditures must occur within these dates.

I. Procurement and Suspension and Debarment

Each agency receiving federal pass through funds signs as part of their contract a “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion.”

J. Program Income

Not allowed under the terms of the contract, nor will it be allowed under any future amendments.

L. Reporting

In addition to the monthly fiscal reports described in Section C Cash Management above, a final fiscal report must be prepared by the local service providing agency and submitted to the Injury and Violence Prevention Branch no later than 30 calendar days after the grant period ends (PL 106-402, Sec. 103 and ASSURANCES). Assurances are signed by the grantee and are a part of the grant application defining the terms of the grant and expectations of the grantee and grantor. Final Requests for Reimbursement received by the Injury and Violence Prevention Branch after 60 calendar days will not be reimbursable without approval from Injury and Violence Prevention Branch.

M. Subrecipient Monitoring

Contractors are not permitted to subcontract out any work that is related to programmatic objectives of the RPE program as required in the contract. They may be permitted to subcontract non-programmatic tasks (e.g. bookkeeping, data analysis) for limited periods of time with prior approval.

N. Special Tests and Provisions

1. BUDGET AMENDMENTS

Compliance Requirement - The service provider may amend the budget during the year with prior approval from the Injury and Violence Prevention Branch. However, the service provider may not exceed the total monetary limit as shown on and approved in the Performance Agreement.

Audit Objective - To determine that the budget approved by the Injury and Violence Prevention Branch and the budget used by the project are identical. To determine that line item expenditures reported on the Request for Reimbursement to the Injury and Violence Prevention Branch have not exceeded approved line item budgeted amounts.

Suggested Audit Procedures - Compare, by line item, the local provider's Rape Prevention and Education program expenses with the final budget as approved by the Injury and Violence Prevention Branch. There should be verification that the reported expenditures are allowable and supported by sufficient documentation.

2. INDIRECT COST

Compliance Requirement - If budgeted, the local provider/subrecipient of Council grants may report indirect cost on Rape Prevention and Education funding. Indirect cost rates negotiated by the local provider with the federal Department of Health and Human Services regional controller or other similar federal agency may be used to compute allowable indirect cost. Expenditures included, as indirect cost may not be duplicated elsewhere in the budget. A copy of the Negotiation Agreement must be included with the grant application. Indirect cost reported to the Injury and Violence Prevention Branch may not exceed 5% of total project cost.

Audit Objective - To determine that a current negotiated indirect cost rate agreement exists, and that the amount of indirect cost being charged to the Injury and Violence Prevention Branch does not exceed 5% of total project cost.

Suggested Audit Procedures - The indirect cost plan supporting the indirect cost reported to the Injury and Violence Prevention Branch should be reviewed to determine that cost included in the plan is allowable and equitably allocated. Any discrepancies should be disclosed in the audit as "questioned costs."

IV. Monitoring Schedule

Programmatic site visits were completed with each contractor in 2007. Follow-up site visits were conducted in 2008 based on one of several criteria: a request made by the contractor; continuing struggles implementing the program as required by the contract Scope of Work; and/or new contract related personnel (either the RPE Coordinator or his/her supervisor).

Contract ID #	Contract Legal Name	Completed Site Visit	Scheduled Site Visit*
01763-08	North Carolina Coalition Against Sexual Assault	Monthly meetings w/ Exec. Dir	Monthly meetings w/ Exec. Dir
02118-07	County of Carteret	8/2/07, 3/31/08	9/29/08
02119-07	Family Services, Inc.	8/23/07	6/6/08
02120-07	Family Violence & Rape Crisis Services	9/26/07	
02121-07	HAVEN in Lee County, Inc.	8/16/07, 5/28/08	
02122-07	North Carolina State University	9/27/07	
02123-07	Opposing Abuse With Service, Information & Shelter, Inc.	9/6/07	
02124-07	Orange County Rape Crisis Center	9/27/07	
02125-07	Our VOICE, Inc.	9/5/07	
02126-07	Coastal Horizons Center, Inc.	10/30/07	11/07/08
02127-07	Rape Crisis Center of Robeson County	9/19/07	
02128-07	Resources Education Assistance Counseling and Housing of Macon County, Inc.	9/4/07	9/3/08
02129-07	Safe Space, Inc.	8/23/07	
02130-07	Steps to HOPE, Inc.	9/5/07	7/31/08
02131-07	The Family Violence Prevention Center dba Interact	8/20/07, 5/7/08	
02133-07	United Family Services, Inc.	9/25/07	
02134-07	Wesley Shelter, Inc.	9/28/07	7/29/08

* Further site visits are pending based on travel restrictions and budget cuts.

V. Guidelines for Monitoring

A. Guidelines Related to Financial Monitoring

Financial monitoring is detailed in II.B. Before the contracts began, each grantee completed the **Pre-Award Risk Assessment Checklist** (Attachment I). Each month, a desk review is conducted on all Contract Expenditure Reports (CER) submitted to ensure they line items are reasonable and that they follow the approved contract budget. Contractors are required to maintain files proving all expenditures noted in every CER. They must provide this documentation upon request or during a site visit.

B. Guidelines Related to Site Visits

Attachment II includes three documents related to site visits for the RPE Program. The first attachment is a sample agenda for a site visit that lists the types of topics covered. Also attached are two lists: **Things to Take to RPE Site Visits** and a **List of Items to Compile for RPE Site Visits**. The first list is simply a list of materials we prepare and take with us on all site visits in order to have resources available as points of reference for programmatic content discussions. The second is a list that we began sending to contractors before their site visits in Year 2 of the Program in order for them to organize materials on site so that the site visit can be as efficient and effective as possible during our time together.

VI. Monitoring Tools

To date, all of our site visits have been concerned with assuring adherence to programmatic content and direction. To that end, we have developed several tools for use at these site visits. In addition, local contractors are required to provide detailed reports that include narrative sections describing the successes, challenges, and lessons learned related to their prevention strategies and other contract deliverables. Because the national RPE Program is moving towards evidence based strategies, yet the field of sexual violence prevention has no scientifically recognized evidence based strategies from which to pull, it is critical for us to document what is and is not working at the local level. This information is then shared with the CDC in our annual report. The local report narratives are also important monitoring tools since they highlight areas of strength and weaknesses. Areas of strength can be shared among all programs, while areas of weaknesses help us to prioritize the type and timing of technical assistance we can provide to local contractors. By providing TA in a timely fashion, we hope to strengthen the program overall.

Prevention Strategy Worksheets and **Logic Model Template** (Attachment III): The Empowerment Evaluator (a contractor) and the Prevention Education Coordinator (staff at NCCASA, a contracted agency) conducted a site visit with all local contracted agencies during 8/07 – 9/07 (and one in 10/07). These tools were used to help the contractors hone in on the components of their prevention strategies. Programs received the Intervention Worksheets before the scheduled site visits and were asked to fill them out ahead of time. During the face-to-face site visit, the program staff created a rough logic model using that template and then sent in a final version a few weeks later. Contractors are required to submit updated intervention worksheets and logic models with each progress report.

Annual Report Template for Year 2 (01/01/08-10/31/08) (Attachment IV): Contractors were asked to be expansive in the narrative section detailing their successes, challenges and ways they overcame challenges, and lessons learned. These Annual Report templates are derived form the lengthier CDC Annual Report that the state RPE staff must respond to. The templates change from year to year pending revisions from the CDC.

Progress Reports #1 and #2 (Attachment V): Contractors are required to complete a Progress Report 3 times per funding year. The first two for the current funding year are included here as examples. The content of the Progress Reports have changed and will continue to change based on the deliverables that are due during the funding period covered by the report. As the RPE program continues to grow and change, this will likely continue to be the case because deliverables are not repeated verbatim year after year. The only constant from report to report is that the contractors are required to continuously update the Prevention Strategy Worksheet and Logic Models they must submit along with their Progress Reports (see Attachment III). These two Progress Report Templates were provided as examples of the sorts of activities contractors must document.

Community Assessment Template (Attachment VI): This document was provided to local agencies to provide guidance on the final community assessment report, which was due in October 2008. This deliverable is only due one time during the three year funding period.

VII. Monitoring Documentation

All monitoring documentation is filed in the grantee's contract notebooks (current year) or in files (past years) outside of the Processing Assistant's cubicle when monitoring is completed.

VIII. Follow-Up

A. Programmatic

Since the RPE Program has changed so dramatically in structure, content, and focus in 2006, these first few years of contracting with local agencies (beginning January 2007) are heavily weighted towards capacity building and learning as a group. To that end, contractors are required to attend three training sessions and an annual grantees meeting. In addition, the IVPB is committed to providing technical assistance on an ongoing proactive and reactive basis through site visits and telephone or e-mail contact. All programmatic findings are handled via follow-up contact (the type of contact is determined by the type of TA needed or requested). The central message that has been shared with all contractors is the need to be open to learning new ways of doing things and to work with us to share their experiences and to integrate feedback and TA that we provide.

B. Financial

The Processing Assistant maintains at least monthly contact with the local agencies, at the least e-mailing them an update of their customized spreadsheet which provides 1) a worksheet with detailed monthly expenditures and ongoing balance; 2) a worksheet that shows the original and revised budgets; 3) a worksheet that shows projections of recurring expenditures. The Processing Assistant also informs the local agencies of any changes in fiscal policies, such as changes in mileage reimbursement or per diem rates. The Processing Assistant also follows up with the local agencies if there are any questions or missing documents from the annual report to the Office of the State Auditor.

Attachment I

Grants Monitoring
PRE-AWARD RISK ASSESSMENT CHECKLIST

Purpose: To provide a consistent structure for assessing grantee proposals, grantee ability to perform the terms of the grant and to determine up front the existence of certain items required to meet G.S. 143C-6-23.

Part I. Agency Contact Information

1. Legal Name of Agency/Organization:
2. Street Address (include 9 digit zip code):
3. Mailing Address for checks (include 9 digit zip code):
4. Location of Accounting Records:
5. Contract Administrator (Name / Title)
6. Contract Administrator Contact Information: Phone: Fax:
7. Contract Administrator E-Mail Address:

Part II. Agency Financial Information

1. Agency Status (check all that apply): Public: ☐ Private, Non-Profit: ☐ Other: ☐
2. Agency Federal Tax ID:
3. Agency's Financial Reporting Year:
4. How many offices does the agency have?
5. When was the agency formed?
6. What type(s) of services does the agency provide?
7. How many employees does the agency currently employ? # Full-time: # Part-time:
8. What basis of accounting does the agency use? Cash: ☐ Modified Cash: ☐ Accrual: ☐
9. Has the agency been audited by any government agency? Date of last audit?
10. Is the agency a subsidiary of another organization?
11. What written procedures does the agency maintain?

Accounting:	Yes: ☐	No: ☐
Billing:	Yes: ☐	No: ☐
Recording direct v. indirect costs:	Yes: ☐	No: ☐
Recording time:	Yes: ☐	No: ☐
Other:	Yes: ☐	No: ☐

12. Which of the following accounting records are maintained by the agency to support financial transactions?

General ledger:	Yes: ☐	No: ☐
Cash disbursements journal:	Yes: ☐	No: ☐
Cash receipts journal:	Yes: ☐	No: ☐

13. What is the agency's canceled check retention policy?

14. Does the agency provide vehicles to employees for business purposes?
Yes: ☐ No: ☐

15. Are the vehicles leased or owned? # Leased: # Owned:

16. Are mileage logs maintained for all vehicles? Yes: ☐ No (explain): ☐

17. Are agency's facilities rented or owned? Rented (from whom): Owned:

18. Are any of the agency's Board members owners of rented space? Yes: ☐ No: ☐

19. What written policies does the agency have?

Conflict of Interest:	Yes:	☐	No:	☐
Ethics:	Yes:	☐	No:	☐
Whistle Blower:	Yes	☐	No:	☐
Records Retention:	Yes:	☐	No:	☐
Travel Policy:	Yes:	☐	No:	☐

20. Retention Schedule of all fiscal/contractual records?

21. Please provide a current roster of the agency's Board of Directors and dates they first came on Board.

22. How long has the current Executive Director been there?

Attachment II

Sample Agenda
Rape Prevention and Education (RPE) Grantee Site Visit

May 28, 2008: 9:00 AM – 3:00 PM

9:00 - 9:10 AM	Review purpose of visit (IB)
9:10 - 9:25 AM	The RPE team: roles and responsibilities (IB)
9:25 - 9:45 AM	Tear and Compare: How this new grant is the same as and differs from other grants (IB)
9:45 - 10:15 AM	The Nitty Gritty: reporting requirements, reimbursement procedures, contract amendments, etc. (IB)
10:15 - 10:45 AM	The DHHS/DPH/IVPB expectations of RPE grantees: primary prevention (what it does and does not include) (IB)
10:45 - 11:15 AM	The DHHS/DPH/IVPB expectations of RPE grantees (cont'd) Intervening at various levels of the socio-ecological model (KD)
11:15 – 11:45 AM	The DHHS/DPH/IVPB expectations of RPE grantees (cont'd) Following the principles of effective prevention programs (KD)
11:45 - 1:00 PM	Lunch
1:00 - 2:30 PM	Progress Report Update: reviewing progress on prevention strategies; providing feedback on logic model and intervention worksheets (All)
2:30 -3:00 PM	Next steps (All) ➢ Identifying needs (including training, tools, and technical assistance, other needs, etc.) ➢ Action Steps ➢ Grantee Meeting (6/4/08) and New Prevention Coordinator Orientation (6/26 and 6/26, 2008)

IB = Ingrid Bou-Saada (Program Manager)
KD = Kim Dixon (TA Provider)

Attachment II (Cont.)

Things to take to RPE Site Visits

- Green and blue “Effective Principles” flowchart
- United Way logic model
- Program’s annual report and progress report
- Monitoring/paperwork issues or concerns
- Program’s contract
- Agenda of meeting
- Socio-Ecological Model (SEM)
- “Effective Prevention Principles” description sheet
- Bidders’ conference materials.

Attachment II (Cont.)

Items to Compile for RPE Site Visits

- The 3-ring notebook we distributed at our first RPE Grantees' meeting on March 7, 2007 (it has a yellow paper cover insert)
- A copy of the Annual Report that was submitted in January, 2008
- A copy of your first Progress Report (the one that was due on 3/31/08)
- Your 2 logic models (one for each of your prevention strategies)
- Your 2 Intervention Worksheets (one for each of your prevention strategies)
- A copy of any curriculum/a that you might be using or have developed
- A copy of the survey that you plan to distribute for your community assessment
- The interview guide you will use if you are planning to do any key informant interviews for your community assessment (only if you plan on doing these)
- The focus group guide you will use if you are planning to do any focus groups for your community assessment (only if you plan on doing these)
- A list of your task force members, including their affiliations
- Anything else that you want to discuss or have questions about

Attachment III

PRIMARY PREVENTION STRATEGY WORKSHEET
Instructions and Examples

County:

Name of Prevention Strategy:

For each of your two prevention strategies, please answer the questions listed below (note: if you are doing more than two strategies, answer the questions for your two most developed prevention strategies). Complete a separate worksheet for each strategy. There are examples provided to be used as a guide. Please do not feel limited by the examples.

Who will do the prevention strategy? (e.g., RPE Coordinator, mentors, peer educators, male facilitators)

What will they do? (e.g., review policies, lead groups, implement a curriculum, train peer educators)

How many (sessions/workshop etc.) will they do? (e.g., 2 hours weekly for 8 weeks, 1 hour monthly for 10 months)

With whom will they do it? (e.g., 15 middle school students of mixed gender, 20 college aged athletes, 3 named work sites)

When will they do it? (e.g., the program will start in the fall of 2007 and end in spring 2008; give specific dates if these are known)

Where will they do it? (e.g., Boys and Girls Club, “X” Middle School, “Y” worksites)

List all the activities that will help you accomplish this prevention strategy: (e.g., review existing curricula, select a curriculum to adapt, build in participatory activities, ask a few people in the field to review your curriculum to determine if it is appropriate, meet with key school personnel, select classes for implementation, determine how participants will be selected/develop criteria for selection process, determine who will facilitate, train facilitators, determine who will provide supervision for facilitators) ***Please indicate which ones have been completed, which are ongoing, which have not yet been initiated.***

Attachment III (Cont.)

Primary Prevention Program Logic Model

Name of Prevention Strategy:

County:

In order to implement our prevention strategy, we need these	We can use resources to implement this	Some challenges we might face in implementing our prevention	These tangible things result from our prevention	If we implement our prevention strategy with sufficient saturation, we will see these changes in knowledge, attitudes, beliefs, behaviors, and	These outcomes will help us accomplish our
Inputs *(Number each input)*	**Prevention Strategy** *(1-2 sentence description of your prevention strategy)*	**Constraints** *(Number each constraint)*	**Outputs** *(Number each output)*	**Outcomes** *(Number each outcome)*	**Goal**
					Reduced sexual violence perpetration in our community.

Attachment IV

RPE Annual Report Cover Page

FY 2008
DUE 10/31/2008

Organization/Agency Name:

RPE Coordinator Name:

Supervisor Name:

Mailing Address:

City:

State:

Zip code:

Phone:

Fax:

Email:

RPE Coordinator's Signature: ____

Date: ____

Supervisor's Signature (upon review): _____________________________________

Date: ____

Section 1: Budget and Programmatic Allocations

A. Budget and Programmatic Allocations

The purpose of this section is to assess the RPE budget and programmatic allocations.

Instructions: Please estimate the percentage of your entire RPE Contract budget (including sub-contractors) that is allocated to each of the following RPE activities. Type the numbers in the boxes below. **Percentage must total 100%.**

Rape/SV Prevention & Education Activities	**% of Budget**
Educational Seminars	
Training Program for Professionals	
Education & Training for Students & Campus Personnel	
Education on Date Rape Drugs	
Other efforts to increase SA awareness, including efforts to Underserved & Disabled populations	
Preparation of Informational Materials	
Strategic Planning (includes assessments, mobilization of partners, developing reports, etc.)	
Coalition Building (see clarification on page 8 of this document)	
Community Mobilization (see clarification on page 8 of this document)	
Policy change	
Norms change	
Administrative costs (Please note 5% cap)	
Total	100%

Percentage must total 100%.

Section 2: RPE Program Implementation Activities

The following section of the annual report focuses on the RPE programmatic activities your agency was engaged in during the past budget period (January 1, 2008 to October 31, 2008). This data will be used by the Centers for Disease Prevention and Control (CDC) to get a picture of the current level of prevention programming implemented nationally through the RPE program. **Please skip sections that are not applicable to your agency's RPE program**. Place an **X** in the appropriate box below.

A. Efforts to Prevent Sexual Violence*. Place an* ***X*** *in the appropriate box below.*

	YES	NO
Did your agency engage in community mobilization, policy change, norms change or coalition building efforts to prevent sexual violence using RPE funds (see clarifications below)?		

> *If your state did* ***NOT*** *engage in community mobilization, policy & norms change or coalition building efforts to prevent sexual violence using RPE funds and* ***skip to Section 2B****.*

CDC Definitions:

Coalition Building: The process by which community members and organizations come together to achieve a common goal, in this case preventing sexual violence. Ideally, the process of coalition building includes a broad spectrum of the community working together to jointly develop a vision, mission and goals and to take action. Coalition building encourages collaboration, defined as exchanging information, modifying activities and sharing risks, resources, responsibilities and rewards. Coalition building can occur at the state and/or community level.

Community Mobilization: Engendering change in communities by facilitating community ownership and action to prevent sexual violence.

While community mobilization is about facilitating community ownership and action to prevent sexual violence coalition building is about individuals and agencies working together in collaboration to prevent sexual violence.

If applicable, please indicate community mobilization, policy & norms change and/or coalition building efforts to prevent sexual violence engaged in by your RPE program. Place an **X** in the appropriate box below.

	YES	NO
Community mobilization efforts?		
Policy change?		
Norms change?		
Coalition building with partners and key stakeholders?		

If YES regarding *Community mobilization* efforts, briefly describe. Start typing here →

If YES regarding *Policy change*, briefly describe. Start typing here →

If YES regarding *Norms change*, briefly describe. Start typing here →

If YES regarding *Coalition building* with partners and key stakeholders, briefly describe. Start typing here →

B. ***RPE Training Programs for Professionals.*** *Place an* ***X*** *in the appropriate box below.*

	YES	NO
Did your agency conduct RPE trainings for professionals using RPE funds?		

If your agency did **NOT** conduct RPE trainings for professionals using RPE funds, **skip to Section 2C**.

1. **If applicable**, please indicate RPE training efforts completed in the previous budget period.
   a. Total Number of professional trainings conducted. Start typing here →
   b. Total Number of persons trained. Start typing here →
   c. List types of professionals trained in the space provided. Start typing here →
   d. List topics covered in professional trainings in the space provided. Start typing here →

2. In the space provided, **please provide a summary of training for professionals** that addresses the following:

   - Rationale for conducting RPE training with the professional groups or organizations selected.
   - Trained professional groups' capacity to impact the primary prevention of Sexual Violence.
   - Efforts aimed at changing organizational capacity, practices and policies to prevent sexual violence.
   - Efforts made to ensure that RPE trainings were primary prevention focused.
   - Successes and challenges associated with implementing training sessions.

   Start typing here →

3. Feel free to share any additional information about your RPE professional training activities in space provided. Start typing here →

C. RPE Educational Sessions. *Place an **X** in the appropriate box below.*

	YES	**NO**
Did your agency conduct RPE educational sessions using RPE funds?		

If your agency did **NOT** conduct RPE educational sessions using RPE funds, **skip to Section 2D**

1. **If applicable**, please indicate RPE educational sessions completed in the previous budget period, [January 1, 2008 to October 31, 2008] by addressing the following:

   a. Total Number of educational sessions conducted Start typing here →

   b. Total Number of participants Start typing here →
      i. Elementary School Students Start typing here →
      ii. Middle/Junior High School Students Start typing here →
      iii. High School Students Start typing here →
      iv. College/University Students Start typing here →

   c. List any additional audiences for educational sessions in space provided. Start typing here →

   d. List topics for educational sessions in space provided. Start typing here →

2. In the space provided, please provide **a summary of RPE educational sessions** that addresses the following:

   - Rationale for conducting RPE educational sessions with the audience(s) selected:
   - Efforts made to ensure that RPE educational sessions were primary prevention focused and evidence based.
   - Efforts to apply **any of the nine (9) Principles of Effective Prevention**
   - Efforts aimed at changing behaviors or norms.
   - Successes and challenges associated with implementing educational sessions.

   Start typing here →

Feel free to share any additional information about your RPE professional training activities in space provided. Start typing here →

D. RPE Informational Materials. *Place an **X** in the appropriate box below.*

	YES	**NO**
Did your agency support the development and distribution of RPE informational materials using RPE funds?		

If your agency did **NOT** support RPE informational materials using RPE funds, **skip to Section 2E**.

1. If applicable, please indicate RPE Informational Materials developed or distributed using RPE resources in the previous budget period, [January 1, 2008 to October 31, 2008] in the space provided. Start typing here →

	Total Number
Total number of informational units distributed	
How many people viewed or listened to TV/Radio RPE funded media spots (PSA)	

2. List types (i.e. pamphlets, posters, etc.) & topics of **primary prevention** informational materials developed using RPE funds in space provided. Start typing here →

Feel free to share how informational materials are linked to your broader SV prevention efforts, and any other additional information in the space provided. Start typing here →

E. RPE Faith-based Activities

The purpose of these questions is to increase understanding and knowledge about faith-based projects that are funded by the CDC. This information will NOT be used to evaluate the effectiveness of faith-based projects. The names of the faith-based organizations are necessary to complete a required CDC Faith-based Projects/Activities Inventory (CDC may ask the NC Division of Public Health to contact you for additional information required to complete the inventory).

Instructions: If applicable, please complete the table below **detailing RPE activities involving faith-based organizations.** These projects are defined as those occurring in settings of or in partnership with organizations having religion or spirituality as a major tenet of their existence

Name of Faith-based Organization	F = If you provide RPE funding to them via subcontract P = Partner with RPE but not funded	If funded by RPE, indicate dollar amount given to Faith-based Organization	Briefly describe RPE activities

F. SUMMARY

1. **Please provide a brief description (3 paragraphs maximum) of the three (3) major RPE program successes for this past budget period that you would like CDC, other states & partner(s) to be aware of?**

   Success #1 Start typing here →

   Success #2 Start typing here →

   Success #3 Start typing here →

2. **Please provide a brief description (3 paragraphs maximum) of the three (3) major RPE program challenges for this past budget period that you would like CDC, other states & partner(s) to be aware of?**

   Challenge #1 Start typing here →

   Challenge #2 Start typing here →

   Challenge #3 Start typing here →

3. **(Optional) Please use space below to provide any other information about your RPE Program that you think is important to share with CDC.**
   Start typing here →

Attachment V

Progress Report #1 for FY 2008-09 (due 01/31/09)

Instructions: complete your Progress Report using 12-point font, and double space it with 1-inch margins. Please write your report in sentence format rather than a series of bulleted items.

I. Write a report summarizing the key findings of your community assessment (2-4 pages of text)

A. What were the **key findings** of your community assessment?

B. Have the key findings of your community assessment influenced which **populations** you will be working with in Year 3? If yes, how?

C. Have the key findings influenced the **community partnerships** you are/will be nurturing in year 3? If yes, how?

D. How have the key findings influenced your work with your **sexual violence prevention task force**? [e.g., now that your community assessment is complete, what do you envision as the focus of your task force? Have you decided to expand the membership to new include new representatives? Have you rethought roles and activities members might take on? *NOTE: You will provide details about your task force in the next section; please focus this section on how the community assessment influenced your work with your task force*]

E. How have the key findings influenced you to enhance or to shift the focus of your **two prevention strategies** (e.g., curriculum, activities, etc.). [*NOTE: you will describe the content of your prevention strategies in more detail in Section III; please focus this section on how the community assessment results influenced your prevention strategies*.]

F. How have the key findings influenced **other aspects of your prevention work** in your community (e.g., outreach, increasing community readiness for prevention, etc.)

II. Provide an update on the community sexual violence prevention task force (since Progress Report #2 in July 2008) (2-3 pages)

Write a description of your progress towards convening and sustaining a community SV prevention task force. Make sure that your report addresses the following items with a specific focus on the time period since you submitted Progress Report #2 in July 2008:

1) **Membership:** Provide an update/new information about the membership of your task force. Have any new members been invited? What is each new member's perspective or talent that made them a candidate for the task force? What perspectives are missing? What is the recruitment plan in order to fill in missing perspectives?
***Attach a membership list; it does not count towards the page limit
2) **Roles:** Describe the roles and activities you have designed for the task force members (e.g., to help you enhance/shift your prevention strategies, to help you identify other sources of funding, to help you find ways to increase community ownership of preventing sexual violence, etc.). Have there been any changes in roles since Progress Report #2 in July 2008?
3) **Meetings**: How many meetings have you had since the end of July 2008?
***Attach the meeting agenda(s) and the meeting minutes (these do not count towards the page limit) for all meetings not included in Progress Report #2 in July 2008.
4) **Process Evaluation:** Since the last Progress Report in July 2008, what has been your progress to date on your process evaluation of the task force? Describe any results you have compiled to date (refer to the process evaluation worksheet from the training in February 2008)
5) **Successes:** Describe your successes with your task force
6) **Challenges:** Describe the challenges encountered and how you overcame them (or plan to overcome them)
7) **Lessons Learned:** Describe the lessons learned in working with your task force

III. Provide an update on your two (2) prevention strategies (since Progress Report #2 in July 2008) (2-4 pages)

Write a report that provides an update on your two prevention strategies. Make sure that your text addresses the following:

1) **Prevention Strategy 1**
   a) **Description:** Write 1-2 sentences describing Prevention Strategy 1 (what are you doing with whom, and what is the setting?)
   b) **Update:** Provide an update of this prevention strategy (e.g., number of participants, number of sessions, number of times you have replicated it, etc.)
   ***Attach **<u>updated</u> intervention/strategy worksheets and logic models** (these do not count towards the page limit)
   c) **Successes:** Describe your successes with this strategy
   d) **Challenges:** Describe the challenges encountered and how you overcame them (or plan to overcome them)
   e) **Lessons Learned:** Describe the lessons learned about this strategy
   f) **Modifications:** Describe any modifications you have made to this strategy since Progress Report #2 in July 2008
   g) **Evaluation:** Describe any evaluation activities you have implemented and the results so far.
   ***Attach any evaluation tools you have developed (these do not count towards the page limit)
   h) **Action Plan:** Describe your plan for continuing or further modifying the prevention strategy for the remainder of year 3 (February 1 - October 31, 2009)

2) **Prevention Strategy 2**
   a) **Description:** Write 1-2 sentences describing Prevention Strategy 2 (what are you doing with whom, and what is the setting?)
   b) **Update:** Provide an update of this prevention strategy (e.g., number of participants, number of sessions, number of times you have replicated it, etc.)
   ***Attach **<u>updated</u> intervention/strategy worksheets and logic models** (these do not count towards the page limit)
   c) **Successes:** Describe your successes with this strategy
   d) **Challenges:** Describe the challenges encountered and how you overcame them (or plan to overcome them)
   e) **Lessons Learned:** Describe the lessons learned about this strategy
   f) **Modifications:** Describe any modifications you have made to this strategy since Progress Report #2 in July 2008
   g) **Evaluation:** Describe any evaluation activities you have implemented and the results so far.
   ***Attach any evaluation tools you have developed (these do not count towards the page limit)

h) **Action Plan:** Describe your plan for continuing or further modifying the prevention strategy for the remainder of year 3 (February 1 - October 31, 2009)

IV. Provide an update on your efforts to build in sustainability for prevention, including the identification of other resources, partners, and strategies (e.g., train the trainer, etc.) to maintain prevention programming after the RPE funding ends.

Attachment V (Cont.)

Progress Report #2 for FY 2008-09 (due 06/30/09)

Instructions: Complete your Progress Report using 12-point font, and double space it with 1-inch margins. Please write your report in sentence format rather than a series of bulleted items.

I. Provide an update on the community sexual violence prevention task force (since Progress Report #1 in January 2009).

Write a description of your progress towards sustaining, rebuilding, or expanding the community sexual violence prevention task force (2-3 pages). Make sure that your report addresses the following items with a specific focus on the time period since you submitted Progress Report #1 in January 2009:

a) **Membership:** Provide an update/new information about the membership of your task force. Have you successfully recruited any new members? What is each new member's perspective or skill that made them a candidate for the task force? What perspectives are still missing? What is your plan for filling in the missing perspectives?
***Attach a current membership list; it does not count towards the page limit

b) **Roles:** Describe any changes in current roles/activities as well as any new roles taken on by task force members since Progress Report #1 in January 2009 (e.g., creating, enhancing, or reworking prevention strategies, identifying financial and other resources to increase community ownership and sustainability of prevention efforts, raising awareness about sexual violence, designing and conducting evaluation efforts, etc.).

c) **Meetings**: How many meetings have you had since the end of January 2009?
***Attach the meeting agenda(s) and the meeting minutes (these do not count towards the page limit) for all meetings not included in Progress Report #1 in January 2009.

d) **Process Evaluation:** Since the last Progress Report in January 2009, what has been your progress in conducting a process evaluation of the task force? Describe any results you have compiled to date (refer to the process evaluation worksheet from the training in February 2008)

e) **Future Plans:** Based on successes, challenges, and lessons learned, describe your plans for sustaining, rebuilding, or expanding the community sexual violence prevention task force for the remainder of year 3 (July 1 - October 31, 2009).

II. Provide an update on each of your prevention strategies (since Progress Report #1 in January 2009).

Write a report that provides a **separate update on each of your prevention strategies** (3-5 pages). Make sure that your text addresses the following points for each prevention strategy:

a) **Description:** Write 1-2 sentences describing the Prevention Strategy and any changes you have made since Progress Report #1 in January 2009.

b) **Update:** Provide a narrative summary of your work with this prevention strategy since January 31, 2009 (e.g., facilitators or sites added, number of sessions conducted, number of individuals trained, number of times you have replicated the activity, etc.) ***Attach **updated intervention/strategy worksheets and logic models for each strategy** (these do not count towards the page limit).

c) **Evaluation:** Describe the evaluation tools you are using with this strategy (e.g., questionnaires, interview protocols), the evaluation procedures/activities you have implemented (e.g., pre- and post-testing), the results of your analysis of evaluation data (e.g., 75% of participants demonstrated a shift in attitude toward healthier norms), and the ways you are using evaluation results to improve this strategy. ***Attach copies of evaluation tools you are using if you have not submitted them in a previous report **or** have made changes to original evaluation tools. (these do not count towards the page limit).

d) **Future Plans:** Based on successes, challenges, and lessons learned, describe your plans for continuing, further modifying, or discontinuing this prevention strategy for the remainder of year 3 (July 1 - October 31, 2009).

III. Provide an update on your efforts to build in sustainability for continuing prevention programming in your community.

Write a description of the activities you have undertaken since Progress Report #1 in January 2009 to insure your prevention program is sustainable (2-3 pages). Your report should include but not be limited to the following items:

a) **Identification of Financial & Other Resources:** Describe the types of financial resources you have researched (e.g., government and foundation grants, corporate giving programs, matching donations, in-kind donations) and your plans for finding additional funds for your program.

b) **Networking with Potential Partners**: Describe any events that you have used as opportunities to enlist potential partners (e.g. planning meetings, educational forums). Provide a list of entities (e.g. non-profits, local governments, businesses) that you have approached (or plan to approach) who are potential partners for your program. What resources and additional contacts will they bring to your primary prevention efforts and strategy implementation (e.g. co-facilitate a training session, provide in-kind match, etc)?

c) **Training Activities**: Describe any training sessions that you have designed, coordinated, or conducted to expand your prevention efforts in the community beyond the role of the prevention coordinator (e.g., train the trainer, volunteer training, tool kit development).

d) **Technology Applications**: Describe software or web-based applications that you have used (or plan to use) to build a base of resources to sustain your primary prevention work or to help disseminate information to the community (e.g., database of sexual violence prevention volunteers and initiatives, interactive website on primary prevention or a link on the county or community website, facebook page).

Attachment VI

Template for Sexual Violence Prevention Community Assessment Report

I. Description of your community/county (most of this should be easily found in other assessments, e.g., Health Carolinians, Local Health Department, etc., or from US census data)

A. Geography
1. Square miles
2. Mountains/piedmont/coast/other?
3. Distribution of the population in rural/urban/suburban areas

B. Population
1. Total population
2. Breakdown by:
   a. Age
   b. Gender
   c. Ethnicity
   d. Special populations (e.g., college/university students, military, prisons, detention centers, LGBTQQI, people with disabilities, etc.).
   Note: See handouts from the community assessment training regarding tables that might help synthesize this data

C. Economics of your community
1. Per capita income
2. Unemployment rate
3. Major employers and types of jobs
4. Agricultural or manufacturing economy or both
5. Number of households
6. Number of families below poverty level.
7. Annual household income
8. Number of homeless

D. Educational attainment
1. Number who completed elementary school+3years of high school
2. Number who completed high school
3. Number who completed technical school
4. Number who completed some college (1-3 years)
5. Number who completed 4 years of college
6. Number who completed more than 4 years of college

E. Health status
1. Major medical issues
2. Major medical/health providers
3. Health disparities

F. Sexual Violence (this will mostly be data that you collect yourselves)

1. Magnitude of the problem or incidence of sexual violence in your county or community (use your own organizational data, Uniform Crime Report, ER data, etc.) Note: all these have major limitations, so you should discuss the limitations for all sources of data.
2. Services for those who are victims/survivors of sexual violence
3. Knowledge, Attitudes and Behaviors that might impact sexual violence (BRFSS, YRBSS, other surveys, your own surveys)

II. Assets or resources that exist in your community/county

A. Services that might support your work (e.g., campus activities related to sexual violence awareness or prevention)
B. Others organizations doing prevention work that might be potential partners
C. Community organizations working with segments of the population you might want to work with (e.g., local LGBTQQI or woman's center, etc.)

III. Description of factors affecting your county that might impact the incidence of sexual violence, the populations you will focus on, or your ability to do sexual violence prevention work

A. Results of your environmental scan
B. Trends in immigration in your community
C. Mental health reform
D. "No Child Left Behind" policy in schools
E. Presence of gangs and their effect on the community

IV. Interpretation of what this all means for your sexual violence prevention work