Guidance for Completing the 2012 Non-competing Continuation Application

Office of Adolescent Health

Office of Grants Management

April 4, 2012

Today's Agenda

- Overview of continuation application submission requirements
- Review reporting requirements:
  - Progress report and work plan – *all grantees*
  - Budget and required grants forms – *all grantees*
  - TPP performance measures – *TPP Grantees Only*
  - TPP evaluation progress report – *TPP Tier 1 C/D and Tier 2 Grantees Only*

OAH Grantee Reports

Six primary reports due each year:

- Non-competing continuation application
  - May 31, 2012
- Annual progress report
  - November 30, 2012
- Quarterly and Annual financial status reports
  - December 29, 2012 – Annual
  - January 30, 2013 – Quarterly
  - April 30, 2013 – Quarterly
  - July 30, 2013 – Quarterly

Purpose of the Continuation Application

- Report on the progress of the project during the current budget year
- Provide a work plan for the upcoming budget year
- Provide a detailed budget and budget narrative justification for the upcoming budget year

OAH Continuation Application Guidance

- Application submission process
- Application content
  - Required forms, table of contents, six-month progress report, next year’s work plan, next year’s budget, and appendices
  - Budget information – SF424A, detailed budget justification
  - Performance measure and evaluation progress reporting for TPP Grantees
- Example progress report and work plan templates
- Checklist of information to include in progress report and work plan

Application Submission

Submission Process

- 2012 Continuation Applications Due - **May 31, 2012** at **11:00pm EST**

- Applications must be submitted through Grantsolutions.gov
  - Hard copy applications are no longer accepted
  - Separate submission of signature page is **<u>no longer required</u>**

- Applications submitted through mail, email, or fax will not be accepted

Submission through Grantsolutions.gov

- Each grantee currently has a non-competing continuation application kit established in grantsolutions.gov
- Application must contain all required forms and information as outlined in the OAH guidance to be considered complete
- Review grantee manual for tips to make submitting online easier
- Contact the Grantsolutions helpdesk if you experience any difficulties submitting your application
  - (866) 577-0771 or App_Support@acf.hhs.gov

Application Content
Progress Report & Work plan

Continuation Application – Required Content

- Table of Contents
- Project Narrative
  - Six-month progress report
  - Work plan for upcoming project year
- TPP Performance Measure Report *(TPP Grantees Only)*
- Evaluation Progress Report *(TPP Tier 1 C/D & Tier 2 Only)*
- Budget & Required Grant Forms
  - SF 424A – Budget Information
  - Detailed budget narrative justification
  - Indirect rate agreement
  - SF-424, SF-424B, & SF-LLL
- Appendices

Six-Month Progress Report

- Describe the completion of objectives and activities during the first six months of the current budget period
    - September 1, 2011 – February 29, 2012
- Include a thorough description of the status of all objectives and activities to support the grant program

Expectations for Six-Month Progress Report

- Describe the status (met, ongoing, or unmet) of each objective and activity
- Provide a narrative describing what has been done to work toward accomplishing the objectives and completing the planned activities
- Describe any challenges/barriers encountered and how they were addressed
- If applicable, include the reasons that goals or objectives were not met and a discussion of assistance needed to resolve the situation
- Report on any other significant project activities, accomplishments, setbacks or modifications (e.g., change in key staff, change in scope of work) that have occurred in the current budget period

Expectations for Six-Month Progress Report

- Include sufficient detail in the narrative description
    - Anyone picking up the report should be able to understand what you've been doing and what has been accomplished
- Be sure to include challenges faced; brainstorm ideas to overcome those challenges
- Provide supporting documents in the appendices if they add clarity or depth to the narrative
- No specific length is required– progress reports are evaluated on the basis of substance, not length
- Recommended template is not required; the requirement is to meet all of the outlined expectations

Tools & Resources – Progress Report

- Progress report template
- Example of partially completed progress report
- Continuation Application Checklist
  - Includes list of key information to include in the progress report for PAF and TPP grantees

Example – Six-Month Progress Report

Six-Month Progress Report ***Grantee X*; Grant #:xxxxx** **September 1, 2011 – February 29, 2012 (six months)** **Goal: Replicate xxx evidence-based program in 60 sites across xxx County.**		
Objective: By August 31, 2011 ensure all facilitators are trained in the xxx evidence-based program model.	**In Progress**	By the end of the first grant year, we will have trained all 60 facilitators in the xxx evidence-based program model. To date, we have accomplished 75% of the activities under this objective. We searched for organizations that were certified to conduct training on the evidence-based program, had a conversation with each organization about the content and cost of their training, selected and entered into an agreement with xxx organization to conduct our trainings, and have conducted two of the four facilitator trainings. We're offering the same training four times to provide options in the location and timing of the training and to limit each training to no more than 15 participants. The remaining two trainings will be completed in May.
Activity: Identify and secure a trainer to conduct training on xxx evidence-based program.	**Met**	We identified three organizations that are certified to conduct trainings in xxx evidence-based program. We contacted each organization to learn more about the content and cost of their training. Each organization offered a 3-day training, but one organization also included 20 hours of follow-up technical assistance in their training plan. The cost estimates from the three organizations were similar. We decided that having the 20 additional hours of technical assistance from the trainer would be beneficial since this is a new program for all of our facilitators; therefore we selected xxx organization. We signed a contract with xxx organization to conduct four identical 3-day trainings for our facilitators and to provide 20 hours of follow-up technical assistance. It was agreed that our organization would take care of the logistics and registration for each training.
Activity: Conduct four 3-day trainings in the xxx evidence-based program for program facilitators.	**In Progress**	Training dates and locations for four 3-day trainings were secured: March 22-24, 2011 at the xxx community organization in City April 14-16, 2011 at the xxx community organization in City May 2-4, 2011 at the xxx community organization in City May 20-22, 2011 at the xxx community organization in City Trainings were advertised to the 60 facilitators who are implementing the xxx evidence-based program. Each training includes an overview of the program model, core components, and teaching philosophy; a detailed review of the activities included in the program; time for each participant to practice delivering the program activities; review of the fidelity monitoring tools; discussion about allowable adaptations; and review of the available evaluation tools (see Appendix A – Training Agenda). Training participants completed an evaluation form after the training. Results have been analyzed for the first two trainings and indicate that facilitators are confident in their ability to implement the program with fidelity as a result of the training.

Work Plan

- Outlines the objectives and activities for the upcoming budget year
    - September 1, 2012 – August 31, 2013
- Describes the goals, objectives, activities, timeline, person responsible for each activity, and the measure of effectiveness for each objective
- Includes sufficient detail to provide a clear picture of the program and activities for the upcoming year

Work Plan Details

The work plan should include the following:

- Grantee Name
- Five-year goals
- Objectives – programmatic and evaluation
  - **<u>S</u>**pecific, **<u>M</u>**easurable, **<u>A</u>**chievable, **<u>R</u>**ealistic, and **<u>T</u>**ime-phased
- Rationale to support objectives
- Activities and timeline for conducting activities
- Measures of accomplishment
- Person/agency responsible for implementing activities

Expectations of the Work Plan

- Intended to be an ongoing monitoring and evaluation tool
- Should be a working document
- Should be updated based on new information or modifications that may occur during the current year

Tools & Resources – Work plan

- Two work plan templates
- Example of partially completed work plan
- Continuation Application Checklist
  - Includes list of key information to include in the work plan for PAF and TPP grantees

Example of Work Plan

Goal I: Replicate xxx evidence-based program in 60 sites across xxx County .															
Objectives	**Activities**	**Timeline**												**Measures of Accomplishment**	**Person Responsible**
		S	**O**	**N**	**D**	**J**	**F**	**M**	**A**	**M**	**J**	**J**	**A**		
Objective 1: By August 31, 2013 ensure all facilitators are trained in the xxx evidence-based program model. Objective Rationale: All facilitators need to be trained in the evidence-based program to replicate the program with fidelity.	Activity 1: Research organizations available to provide training on the evidence-based program.		X											Potential training organizations identified	Project Director
	Activity 2: Secure contract with organization selected to conduct training.			X										Written contract in place with organization	Project Director
	Activity 3: Confirm training dates and locations for four 3-day trainings.				X	X								Training dates and locations	Training Coordinator
	Activity 4: Collect registration information from 60 facilitators.						X							Completed registration forms from 60 facilitators	Training Coordinator
	Activity 5: Conduct four 3-day trainings for facilitators.							X	X	X				Training agendas, sign-in sheets, evaluation forms	Training Coordinator & Contractor

Appendices

- Supporting documents that add value or clarity to the information presented in the application
- Materials included should present information clearly and succinctly
- Extensive appendices are not required

Office of Adolescent Health

Application Content
Budget and Grants Forms

Required Grant Forms

SF-424 – Application for Federal Assistance

- Must list the Program Director and Authorized Business Official

SF-424a – Budget Information

- List Federal and Non-Federal (In-Kind or Matching contributions). Also, must complete section A (c.) and (d.) listing the estimate unobligated balance of funds at the end of year two.

SF-424b – Assurances

- Grantee will comply with all applicable policies, laws and regulations

SF-LLL – Disclosure of Lobbying Activities

- Report to disclose lobbying activities

Budget

- Budget Page: SF-424a
- Budget Narrative Justification
  - Detailed and itemized data required
- Indirect Rate Agreement
  - Include copy of current Indirect Rate Agreement

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$ 56,450.00	$ 13,500.00	$ 227,192.00	$ 10,500.00	$ 307,642.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		$ 56,450.00	$ 13,500.00	$ 227,192.00	$ 10,500.00	$ 307,642.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total
	(1)	(2)	(3)		(5)
a. Personnel	$ 85,875.00	$	$	$	$ 85,875.00
b. Fringe Benefits	24,474.00				24,474.00
c. Travel	1,926.00				1,926.00
d. Equipment	14,498.00				14,498.00
e. Supplies	18,750.00				18,750.00
f. Contractual	37,900.00				37,900.00
g. Construction					0.00
h. Other	2,800.00				2,800.00
i. Total Direct Charges *(sum of 6a-6h)*	186,223.00	0.00	0.00	0.00	186,223.00
j. Indirect Charges	40,969.00				40,969.00
k. TOTALS *(sum of 6i and 6j)*	$ 227,192.00	$ 0.00	$ 0.00	$ 0.00	$ 227,192.00
7. Program Income	$	$	$	$	$ 0.00

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Previous Edition Usable

Standard Form 424A (Rev. 7-97)
Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	$ 10,500.00	$	$	$ 10,500.00
9.				0.00
10.				0.00
11.				0.00
12. TOTAL *(sum of lines 8-11)*	$ 10,500.00	$ 0.00	$ 0.00	$ 10,500.00

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$ 0.00	$	$	$	$
14. Non-Federal	0.00				
15. TOTAL *(sum of lines 13 and 14)*	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. TOTAL *(sum of lines 16-19)*	$ 0.00	$ 0.00	$ 0.00	$ 0.00

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

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Category	Description of Budget Item	Federal	In-kind or Matching	Total
Salary and Wages	**Project Director.** The Project Director will oversee all aspects of the grant. Responsibilities will include ensuring that budget and timetable targets are met, selecting contractors, putting together an advisory committee, preparing project reports, and supervising the project staff. The Project Director will work 50% of the time for 12 months. Based on an annual salary of $60,000, the cost to the project will be $30,000.	$30,000	$0	$30,000
	Administrative Assistant. An Administrative Assistant will be assigned for the duration of the project. The assistant will work 50% of the time for 12 months. Based on an annual salary of $39,750, the cost to the project will be $19,875.	$19,875	$0	$19,875
	Project Coordinator. Our organization will hire someone to work with all partners and stakeholders. The Coordinator will be assigned 100% of the time to the project for 12 months. Based on an annual salary of $36,000, the total project cost will be $36,000.	$36,000	$0	$36,000
	Total Salary and Wages Costs	$85,875	$0	$85,875

Fringe Benefits	**Fringe benefits are calculated as 28.5% of base salary. Benefits include health care, Social Security, workers compensation, short term disability, and retirement benefits. Please note: Figures are rounded to nearest whole dollar.**			
	Project Director. Fringe benefits are (28.5% of $30,000).	$8,550	$0	$8,550
	Administrative Assistant. Fringe benefits are (28.5% of $19,875)..	$5,664	$0	$5,664
	Project Coordinator. Fringe benefits are (28.5% of $36,000).	$10,260	$0	$10,260
	Total Fringe Benefit Costs	$24,474	$0	$24,474

Category	Description of Budget Item	Federal	In-kind or Matching	Total
Travel	Conference Presentation. In the project's second year, the Project Manager will travel from Akron, OH to Chicago, IL to present project findings at the Association for Networking's annual conference. Round-trip airfare is $400. Two nights lodging @ $90 per night is $180. Per diem of $50-a-day for meals, for total of $100. Ground transportation $40.	720	$0	$720
	Help Inc. Trainer. Our partner, Help Inc., will provide as in-kind contribution a trainer who will make 6 round trips to each of the 12 sites to conduct training classes for a total of 72 trips. Based on an average of 40 miles round-trip driving at our organization's standard rate of $0.25 per mile, the total cost is $720.	$0	$720	$720
	Hosting a Regional Conference. The Project will fly in 2 personnel from Durham, NH and Bangor, ME for a Regional Conference to discuss the lessons learned from the project. For each person, the estimated round-trip airfare is $450; two nights lodging @ $45 per day is $90; two days of meals at $31.50 per day is $63. Total cost for two people is $1,206.	$1,206	$0	$1,206
	Total Travel Costs	$1,926	$720	$2,646
Equipment	**Network Server.** One GreatServer 2001 network server will be located at the project headquarters. The server will be the repository of the local information files and will manage the electronic mail communication among the sites. The server will have at least a 10 GB hard drive, 128 MB of RAM, and a magnetic tape drive for backup purposes. Cost: $14,498.	**$14,498**	**$0**	**$14,498**
	Network Router. A network router will be located at the headquarters site. The router will manage communications with external network and cost $5,500 donated as in-kind contribution.	$0	$5,500	$5,500
	Total Equipment Costs	$14,498	$5,500	$19,998

Category	Description of Budget Item	Federal	In-kind or Matching	Total
Supplies	**General Office supplies.** Paper, pens and pencils, computer disks, laser printer cartridges, file folders, etc. are estimated at $750.	$750	$0	$750
	Personal Computers. Twelve personal computers will be installed, 1 at each of 12 sites, for public access to the network. Each computer will be configured with at least 128 MB of RAM, a 500 MHz processor, 6 GB hard drive, and a modem and will cost $1,500. 12 units at $1,500 is $18,000 total.	$18,000	$0	$18,000
	Laptop Computers. Twelve laptops will be donated as in-kind contribution for Project Coordinators, 1 at each of 12 sites. The laptops were purchased Jan. 1999 for $3,750 per unit. Use value of the laptops will be calculated using the federal use allowance on existing equipment: (12 units) x (6.666% per year)×(the acquisition cost of $3,750)×(the 1 year period of use) for a total of $6,000.	$0	$6,000	$6,000
	Total Supplies Costs	$18,750	$6,000	$24,750
Contractual	**Network Installation and Maintenance**. A vendor will be competitively selected to install and provide 12 months of ongoing maintenance for the project's network. Installation will include the assembly and configuration of the computers and overall system testing. Based on inquiries to local vendors, it is estimated that 100 hours, at $75 per hour, will be required for the installation contract is estimated at $200 per month. Total cost: $9,900.	**$9,900**	**$0**	**$9,900**
	Independent Evaluation Consultant. An Evaluation Consultant will be competitively selected to work with project staff to provide support and project monitoring. Consultant will refine the evaluation plan, design the survey instruments, collect and analyze data, and prepare the final report. It's estimated the consultant will work 35 days at a rate of $400 per day. Total cost: $28,000.	$28,000	$0	$28,000
	Total Contractual Costs	$37,900	$0	$37,900

Category	Description of Budget Item	Federal	In-kind or Matching	Total
Other	**Telephone service for help desk**. 12 months at $25 per month, total is $300.	$300	$0	$300
	Website Development. Webspectrum will contribute in-kind donation of 100 hours of development time for web site development to the project. Webspectrum charges $100 per hour for this type of work for a total value of $10,000.	$0	$10,000	$10,000
	Onsite Volunteers. One welfare-to-work volunteer will work as a data entry clerk. The in-kind contribution volunteer will work 20 hours per week for 12 months. Based on our research of local labor market, the value of the volunteer's efforts is $7.50/hour. The total value of the volunteer's services is $ 7,800.	$0	$7,800	$7,800
	Conference Materials. Handouts and name badges for estimated 250 attendees at Regional Lessons Learned Conference are estimated at $10 per person for a total of $2,500.	$2,500	$0	$2,500
	Help Inc., Trainer. Help Inc., will contribute the time of one staff member to help train users to access the system. The trainer will work 20% of the time for 12 months . The trainer's salary and benefits are $70,000 per year. The total value is $ 14,000.	$0	$14,000	$14,000
	Total Other Costs	$2800	$31,800	$34,600
Total Direct Charges	***The sum of all the direct cost categories***	**$186,223**	**$44,020**	**$230,243**
Indirect Charges	The Southern Rehabilitation Center applies an indirect cost rate of 22% to all direct cost categories. A copy of the Southern Rehab. Center's current negotiated indirect cost rate with the HHS Division of cost allocation is attached. Indirect Costs @ 22% =$51,225.	$40,969		$40969
	Total Project Costs for year two of the project/budget period	$227,192	$44,020	$271,212

Questions?

Office of Adolescent Health

Application Content
TPP Performance Measure Report

Resources

- Performance measures website manual
- Recording and transcript of Webinar training
  - On the Performance Measures Website - https://tpp.rti.org/
    - On the home page, and
    - Under the "Resources" tab
  - On the OAH Web site: http://www.hhs.gov/ash/oah/news/webinars.html
- Script for Perceived Impact
- Help Desk request on website
- Additional resources added as needed

Reporting Options

- Option 1: Reporting raw data directly into the web system
- Option 2: Uploading raw data by means of spreadsheets using pre-defined variables
- Option 3: Entering aggregated data into the system. Only grantees with approval will see the fields for entering aggregated data

Grantee-level measures: Program structure: Reach

- Includes all program participants, regardless of whether or not in the evaluation
- Measures
  - # of youth served, by demographic characteristics
  - # of other types of clients served (e.g., parents)
- Reporting
  - Option 1 and Option 2 participant level demographic information
  - Option 3 aggregated data, classified by demographic characteristics

Grantee-level measures: Program structure - Partners

- Measures
  - # of organizations partnering with grantee (with formal agreements, without formal agreements, currently assisting)
  - Retention of partners: # with formal agreements still involved at end of reporting period
- Reporting
  - All grantees are to enter aggregated data on website

Grantee-level measures: Program structure - Training

- Any type of training that improves facilitators' delivery of the program (e.g., adolescent development, classroom management, retention strategies) not just curricular
- Measures
  - # of new facilitators trained
  - # of facilitators receiving follow-up training
- Reporting
  - All grantees are to report aggregated data on the website

Grantee-level measures: Program structure - Dissemination

- Materials should be related to the funding through the TPP/PREIS grant (e.g., experiences in implementing the program, lessons learned, or evaluation results)
- Measures
  - # of manuscripts accepted for publication or published (with publication information)
  - # of manuscripts submitted for publication
  - # of presentations (by level, with titles and venues)
  - Packaging of programs for replication (Tier 2/PREIS grantees only)
- Reporting
  - All grantees are to report aggregated data on website

Grantee-level measures: Program implementation - Dosage

- Measure of "how much" of program participants received
  - Calculated using attendance data
  - Collected on all participants, even those not in the evaluation
- Measures
  - Mean and median % of program services received by youth
  - Mean and median % of program services received by any other types of participants (e.g., parents)
  - % of participants that received at least 75% of the program
- Reporting
  - Option 1 and Option 2 report attendance data for every participant for every session on website or by uploading spreadsheets
  - Option 3 report aggregated data by gender and age (for youth) and for other participants

Grantee-level measures: Program implementation - Fidelity

- Addresses how well the implementation adhered to the program's model
- Measures
  - Based on facilitator reporting
    - % of completed sessions for which there is a fidelity monitoring log
    - Mean and median % of activities completed
  - Measures based on observations (10% of sessions)
    - Mean and median % of activities completed
    - Score on quality assessment form
  - Additional measures
    - % of sessions completed
    - Score on fidelity process scale
- Reporting
  - Option 1 and 2 report the required data for each session on the website or by uploading spreadsheets and aggregated data for the additional measures on the website
  - Option 3 report aggregated data for all measures on the website

Participant-level measures: Perceived impact

- Collected anonymously either at end of program, or annually (for longer programs)
- Must collect demographic data as well
- Sample script to facilitate administration of questions is on web site, under “Resources” tab
- Measures:
  - Perceived impact on sex
  - Perceived impact on condom use
  - Perceived impact on birth control use
  - Perceived impact on abstinence
- Reporting
  - All grantees must report non-aggregated data, either on the website or by uploading spreadsheets

Participant-level measures: Behaviors/Intentions

- For grantees with a rigorous evaluation *only*
- Reported by evaluators, not grantees
- Baseline and follow-up data for intervention and control groups if youth have parental permission to be in evaluation
- Measures
  - Behaviors
    - Sex in last 3 months
    - Condom use if had sex
    - Birth control use if had sex
  - Intentions
    - To have sex in next year
    - To use a condom if have sex
    - To use birth control if have sex

Comparison Groups in Rigorous Evaluations

- Collect and report Behavioral and Intention data if they are participating in the evaluation
- Do not administer Perceived Impact on comparison youth
- Do not report attendance data on comparison youth
- Do not report fidelity for any comparison program

Program Youth without Parental Permission

- All youth receiving program services must be counted for measures of Reach and Dosage
- If they do not have parental permission to be in the evaluation or to respond to perceived impact questions, they are still to be counted for Reach and Dosage

Reporting Dates

- All data must be uploaded no later than November 30 and May 31 of each year
- May 31 report includes data from September 1 to February 29
- Enter data early to ensure that questions may be answered in a timely fashion
- Those who wish to use Option 3 must send their project officer a detailed description of the system for approval well in advance of the reporting deadline

Questions?

Application Content
TPP Evaluation Progress Report

For TPP Tier 1 C/D &Tier 2 Grantees Only

What and why?

- Data on two key elements
  - Sample intake (CONSORT diagram)
  - Baseline equivalence
- We will assess that data
  - Against the HHS evidence standards for attrition and equivalence
  - To look for areas in which evaluation implementation could be strengthened
  - To look for issues that need to be clarified/implemented in reporting

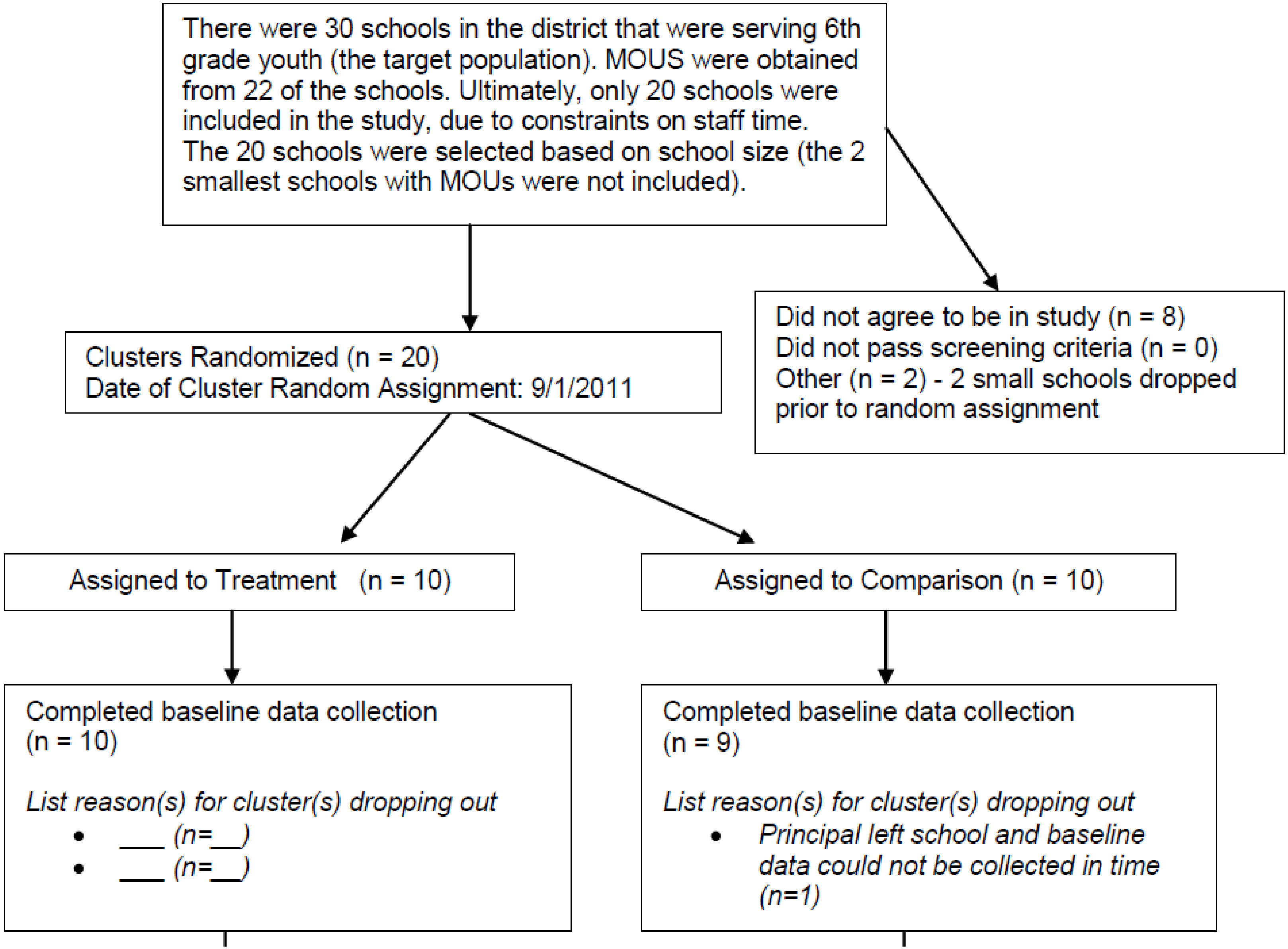
General guidance

- Do not provide data on your evaluation pilot
- Provide data pooled across cohorts and sites currently enrolled
- Provide baseline equivalence data for:
    - Full sample at baseline
    - Sample responding to follow-up surveys

CONSORT diagrams

- Word templates and examples are available in the continuation application guidance
- For clustered RCTs,
  - Cluster intake consort diagram
  - Youth intake consort diagram, based on youth in remaining clusters
- For individual-level RCTs and QEDs, youth intake consort diagram only

CONSORT Diagram for Clusters in a Cluster Randomized Controlled Trial



Paragraph on intake process for clusters

There were 30 schools in the district that were serving 6th grade youth (the target population). MOUS were obtained from 22 of the schools. Ultimately, only 20 schools were included in the study, due to constraints on staff time. The 20 schools were selected based on school size (the 2 smallest schools with MOUs were not included).

Clustered RCT – cluster sample to date

Clusters Randomized (n = 20)
Date of Cluster Random Assignment: 9/1/2011

Did not agree to be in study (n = 8)
Did not pass screening criteria (n = 0)
Other (n = 2) - 2 small schools dropped prior to random assignment

Assigned to Treatment (n = 10)

Completed baseline data collection (n = 10)

List reason(s) for cluster(s) dropping out

- *___ (n=__)*
- *___ (n=__)*

Retained at first follow up (n = 10)

Assigned to Comparison (n = 10)

Completed baseline data collection (n = 9)

List reason(s) for cluster(s) dropping out

- *Principal left school and baseline data could not be collected in time (n=1)*

Retained at first follow up (n = 9)

- *Principal left school and follow-up data could not be collected in time (n=1)*

Clustered RCT – youth sample to date

CONSORT Diagram for the Youth in the Clustered Randomized Controlled Trial
Presented on the Prior Page

All 6th grade youth enrolled in the 19 randomly assigned schools as of September 15th were eligible for the evaluation, with the exception of students in self-contained special education classrooms.

Note: This portion of the flow chart excludes the school that dropped out prior to baseline data collection.

Eligible in treatment schools (n = 1,000)

- ***Parent consented (n = 851)***
- Parent refused (n = 87)
- Form not returned (n = 62)

Not eligible, special education (n = 159)

Eligible in control schools (n = 900)

- ***Parent consented (n = 820)***
- Parent refused (n = 60)
- Form not returned (n = 20)

Not eligible, special education (n = 117)

Completed baseline (n = 755 of 851 consented)
Date(s) of data collection: 9/21/11-9/29/11

List reasons for non-completes

- *Absent (n=76)*
- *Lack of student assent (n=20)*

Completed baseline (n = 778 of 820 consented)
Date(s) of data collection: 9/21/11-9/29/11

List reasons for non-completes

- *Absent (n=32)*
- *Lack of student assent (n=10)*

Program start date:
10/1/2011
Program end date:
5/1/2012

Individual-level RCT or QED - youth enrollment process

7th grade youth in 4 middle schools were eligible for program participation. 600 youth expressed interest in the afterschool program. 200 were in 8th grade and were ineligible. Of the 400 eligible, only 300 provided consent. Thus, only 300 students were considered for the randomization procedure.

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Did not pass screening criteria (n = 200)
Did not provide consent (n = 100)

Individual-level RCT or QED – sample to date

Randomized (n = 300)
Date of Random Assignment: 9/1/2011

Program start date: 10/1/2011
Program end date: 5/1/2012

Assigned to Treatment (n = 151)

Assigned to Comparison (n = 149)

Completed baseline (n = 139)
Date(s) of data collection: 9/10/11-9/18/11

List reasons for non-completes

- *Absent (n=10)*
- *Moved out of district (n=2)*

Completed baseline (n = 140)
Date(s) of data collection: 9/10/11-9/18/11

List reasons for non-completes

- *Absent (n=8)*
- *Moved out of district (n=1)*

Completed first follow up (n = 149)
Date(s) of data collection: 12/15/11-12/23/11

List reasons for non-completes

- *Absent (n=2)*

Note: We were able to obtain follow-up data on the two students who moved out of the district via mail surveys.

Completed first follow-up (n = 125)
Date(s) of data collection: 12/13/11-12/21/11

List reasons for non-completes

- *Absent (n=11)*
- *Study dropout and unwilling to participate in survey (n=11)*
- *Moved out of district (n=2)*

Baseline equivalence documentation

- Focus on variables assessed under HHS evidence standards
  - Age, gender, race/ethnicity
  - Measures of sexual behavior
- Excel template available on SharePoint
  - Two tabs in workbook – blank template and populated example
- What to provide
  - For binary measures, percent (in decimal form, e.g. 0.05) and sample size
  - For continuous measures, mean, standard deviation, and sample size
  - For categorical measures (e.g. race), counts in each category
  - Any documentation of deviations from those basic statistics (e.g. you calculate statistical tests accounting for clustering)

Required data processing

- Construct race variable
  - Recode those selecting multiple races into a two or more races category
- Construct dummy (binary) variables for yes/no survey items, gender, and Hispanicity
- Construct full sample sexual behavior variables
  - Youth that did not have sex should be in sample, but coded as zero
    - Youth that did not have sex in the past 3 months should be coded as zero in the number of times had sex in the past three months and included in the denominator
    - Youth that did not have sex in the past 3 months should be coded as “no” or zero in the numerator and included in the denominator for the measure regarding sexual intercourse without a condom in past three months

Baseline equivalence excel template

Please indicate the sample for which you are assessing baseline equivalence:				***Sample with baseline data***					
	Treatment Group			Comparison Group			Group differences		
Characteristics at BASELINE	Percentage or Unadjusted Mean	Standard Deviation (for continuous variables)	Sample Size	Percentage or Unadjusted Mean	Standard Deviation (for continuous variables)	Sample Size	t-statistic *(calculated by the worksheet)*	df *(calculated by the worksheet)*	p-value *(calculated by the worksheet)*
Demographic characteristics									
Age (in years)	12.3	1.1	150	12.4	0.9	160	0.878	308	0.3804
Female (%)	0.5		150	0.49		160	0.176	308	0.8604
Hispanic (%)	0.2		150	0.1		160	2.475	308	0.0139
Race (% and counts)[1]			150			160			0.0008
American Indian or Alaska Native			20			30			
Asian			30			40			
Black			40			60			
White			60			29			
Two or more races			0			1			

Baseline equivalence excel template

	Treatment Group			Comparison Group			Group differences		
Characteristics at BASELINE	Percentage or Unadjusted Mean	Standard Deviation (for continuous variables)	Sample Size	Percentage or Unadjusted Mean	Standard Deviation (for continuous variables)	Sample Size	t-statistic *(calculated by the worksheet)*	df *(calculated by the worksheet)*	p-value *(calculated by the worksheet)*
OAH behavioral performance measures									
Ever had sexual intercourse (%)	0.03		150	0.02		160	0.565	308	0.5722
Gotten someone pregnant or been pregnant (%)[2]	0.01		150	0.01		160	0.000	308	1.0000
Number of times (mean)	0.02	0.01	150	0.00	0.005	160	21.356	308	0.0000
Sexual intercourse in prior 3 months (%)[2]	0.2		150	0.15		160	1.160	308	0.2470
Number of times (mean)	0.1	0.11	150	0.12	0.08	160	1.839	308	0.0669
Sexual intercourse in prior 3 months without using condom (%)[3]	0.10		150	0.08		160	0.616	308	0.5384
Number of times (mean)	0.1	0.22	150	0.09	0.08	160	0.538	308	0.5908
Sexual intercourse in prior 3 months without using effective contraception (%)[3]	0.15		150	0.12		160	0.774	308	0.4397
Number of times (mean)	0.2	0.1	150	0.3	0.2	160	5.511	308	0.0000

Templates

- Located on Eval TA Website under [Shared Documents/OAH Annual Progress Report Requirements]
- Word templates and examples in the continuation application reporting guidance document
- Excel workbook for baseline equivalence
    - Excel 2007 version
    - Excel 1997-2003 compatible version

Questions?

Office of Adolescent Health

Thank you for your time today!