Ohio's State Opioid and Stimulant Response (SOS) Grant

A Field Guide on GPRA Data Collection and Follow-up

April 2025, Version 1.0

OHIO COLLEGES OF MEDICINE
GOVERNMENT RESOURCE CENTER

Acknowledgement & Disclaimer

This field guide was made possible by Grant Number 1H79TI085753-01 from the Substance Abuse and Mental Health Services Administration (SAMHSA). The State Opioid and Stimulant Response (SOS, formerly SOR) is funded by the Ohio Department of Mental Health and Addiction Services (OhioMHAS). The evaluation for SOS 3.0 & 4.0 is overseen by the Ohio Colleges of Medicine Government Resource Center (GRC). The contents of the field guide are solely the responsibility of the authors and do not necessarily represent the official views of SAMHSA or OhioMHAS.

This field guide provides general recommendations and best practices to support the Center for Substance Abuse Treatment (CSAT) Government Performance and Results Act (GPRA) activities. Users are encouraged to review and comply with their organization's policies and procedures before implementing any of the activities described in this guide. Neither the authors nor the organization responsible for this publication assumes any liability for actions taken based on the content of this guide.

About Us

The mission of Ohio Colleges of Medicine Government Resource Center is to identify, research, and spread innovative practices to identify, research, and spread innovative practices to equitably improve health care for all Ohioans through partnerships with health care, state, and academic leaders. For more information about the GRC, please visit our website: grc.osu.edu

Department of Mental Health & Addiction Services

OHIO COLLEGES OF MEDICINE GOVERNMENT RESOURCE CENTER

Contents

Preface

Acronyms

- CSAT – Center for Substance Abuse Treatment (a center at the Substance Abuse and Mental Health Services Administration)
- GRC – Ohio Colleges of Medicine Government Resource Center
- GPRA Tool – Government Performance and Results Act Tool
- IOP – Intensive Outpatient Program
- OhioMHAS – Ohio Department of Mental Health and Addiction Services
- OUD - Opioid use disorder
- OP – Outpatient Program
- PHP – Partial Hospitalization Program
- SAMHSA – Substance Abuse and Mental Health Services Administration
- SOR/TOR Program Instrument – State Opioid Response and Tribal Opioid Response Program Instrument
- SOS 3.0 NCE Grant – State Opioid and Stimulant Response Grant 3.0 No Cost Extension Grant
- SOS 4.0 Grant – State Opioid and Stimulant Response Grant
- SPARS – SAMHSA Performance and Reporting System
- TA – Technical assistance

Federal Guidance & Resources

Funding for the SOS grant originates federally from SAMHSA. A variety of federal guidance and resources from SAMHSA are available to help guide SOS programs. Five key documents are described below. Two important points about the federal resources:

1) The resources discuss entering data directly into SAMHSA's Performance and Reporting Systems (SPARS). In Ohio, data are entered into the OhioMHAS iPortal SOR/SOS web-based app and then uploaded by the state to SPARS.
2) The resources include directions that apply to more than grantees in other states. For example, when the directions say, "certain designated programs" or "Screening, Brief Intervention and Referral to Treatment (SBIRT) grantees," these do not apply to Ohio.

CSAT GPRA Client Outcome Tool

As part of a federal mandate, all SAMHSA grantees are required to collect and report performance data using approved measurement tools. The GPRA Tool assesses the impact of SOS services on clients for CSAT programs at intake, follow-up, and discharge. The GPRA Tool is available on the SOS evaluation website in English[1] and Spanish[2].

SAMHSA CSAT GPRA Tool Frequently Asked Questions

Presented in a question-and-answer format, the GPRA Tool FAQs document offers guidelines for how to use the GPRA Tool. The GPRA Tool FAQs[3] document is available on the SOS evaluation website.

SAMHSA CSAT GPRA Tool Question-by-Question Guide

The GPRA Tool QxQ Guide offers detailed instructions for how to collect each question. The GPRA Tool QxQ Guide[4] is available on the SOS evaluation website.

SAMHSA Staying in Touch: A Fieldwork Manual of Tracking Procedures

The Staying in Touch Manual offers grantees strategies for how to stay in touch with and locate participants for program evaluation and reporting purposes. The Staying in Touch Manual[5] is available on the SOS evaluation website.

SPARS CSAT TA Guide: Improving Client Participation in Follow-up Interviews

The Technical Assistance Guide offers strategies for how to contact and conduct follow-up interviews with clients, including after a client may have left a program or expressed reluctance or unwillingness to participate. The Guide on Improving Client Participation in GPRA Follow-up Interviews[6] is available on the SOS evaluation website.

Overview

Field Guide Structure

This field guide contains resources for Ohio awardees who have received funding from the Ohio Department of Mental Health and Addiction Services (OhioMHAS) to deliver treatment and recovery services under the State Opioid and Stimulant (SOS) Response grant program. The SOS grant program has federal reporting requirements under the Substance Use Administration and Mental Health Services (SAMHSA) Center for Substance Abuse Treatment (CSAT). All SOS award recipients must adhere to these data collection and reporting requirements. They include collecting the Government Performance and Results Act (GPRA) data at three points in time (intake, follow-up, and discharge) on clients who receive treatment and recovery services.

As the evaluator of the SOS grant, the Ohio Colleges of Medicine Government Resource Center (GRC) developed this field guide to help local SOS grant managers, GPRA supervisors, GPRA interviewers, and GPRA data entry staff manage the data collection and follow-up requirements. The field guide draws largely from SAMHSA's "Staying in Touch" manual.[5] It includes many strategies for how to conduct interviews, oversee the data collection process, and obtain follow-up and discharge data from clients.

There are various tools, checklists, forms, example letters, sample scripts, and other reference materials throughout. For those who are reading the field guide as a digital PDF, there are clickable hyperlinks that go directly to each resource on the SOS evaluation website (www.OhioSOSEvaluation.org). For those who are reading the field guide as a hard copy, the full URL for each resource has been included in the referenced list of Endnotes. Next to each hyperlink, look for a superscripted numeric reference. Finally, many resources have also been included in the Appendices for easy reference.

The field guide is organized with an Overview Section, followed by a one-page list of Key GPRA Data Collection Activities. Those activities are organized into three groupings: Intake Activities, Keeping in Touch with Clients, and Follow-up/Discharge Activities. The remainder of the field guide offers details about each of those activities. As noted in the acknowledgement, this field guide provides general recommendations and best practices to support CSAT GPRA activities. Users are encouraged to review and comply with their organization's policies and procedures before implementing any of the activities described in this guide. Neither the authors nor the organization responsible for this publication assumes any liability for actions taken based on the content of this guide.

Types of Funded Awardees

OhioMHAS receives funding from SAMHSA CSAT and then funds several types of projects in Ohio. An organization can be funded under multiple program types (e.g., a community organization and a local board project). If funded for multiple programs, it is important to coordinate data collection efforts. For more details, see the OhioMHAS website.[7]

Required GPRA Data Collection

SOS-funded providers who deliver direct services, including support and treatment but not limited to these, must use the CSAT GPRA Tool to collect client outcome data. The tool assesses the impact of SOS services on clients for CSAT programs. According to SAMHSA's GPRA Tool FAQs[3] and GPRA Tool QxQ Guide,[4] the GPRA Tool is collected at the following time points with the following expected outcomes:

- **At intake of services (baseline)**
  SAMHSA requires that GPRA intake interviews be completed within 3 days of the client beginning SOS-funded residential treatment or services and 4 days of the client beginning SOS-funded outpatient treatment or services. GPRA providers are expected to reach a 100% intake rate. Clients may decline the evaluation, and therefore the GPRA process, but this should be a rare occurrence.
- **Six-months following intake (follow-up)**
  The 6-month follow-up interview is an opportunity to measure the impact of SOS-funded services on client outcomes. The GPRA follow-up interview is conducted during a follow-up window. It opens 5 months after the intake interview date and ends the day before 8 months after the intake interview. SOS-funded providers are required to complete 6-month follow-up GPRA interviews on all clients and meet federal funding requirements of a minimum follow-up rate of 80%.
- **Upon discharge from programing (discharge)**
  SOS-funded providers are required to complete GPRA discharge interviews on all

clients to collect data on the services received. Sometimes, providers complete an administrative discharge in cases where clients are not able to be contacted. The discharge interview can be administered before or after the 6-month follow-up interview. All inactive clients are expected to have a discharge interview before the end of the grant period.

Which Sections of the GPRA Tool to Complete

The client outcome measures in the GPRA Tool are client-level data that have been selected from widely used data collection instruments. Per SAMHSA's Question by Question Guide,[4] different sections of the GPRA tool are collected at the intake, follow-up, and discharge interviews. The GPRA Tool is made up of sections A through K. The table below has an overview of the required GPRA sections that need to be collected at each interview. This information is also available on the SOS evaluation website as a handout called Required Sections of the GPRA Tool[8] (see also Appendix A).

Table 1. Required GPRA Tool Sections for Intake, Follow-up, and Discharge

GPRA Tool Sections	Intake	Follow-up*	Discharge*
A. Record Management	Yes		
B. Substance Use	Yes	Yes	Yes
B. Planned Services	Yes		
C. Living Conditions	Yes	Yes	Yes
D. Education, Employment, and Income	Yes	Yes	Yes
E. Legal	Yes	Yes	Yes
F. Mental & Physical Health Problems & Treatment / Recovery	Yes	Yes	Yes
G. Social Connectedness	Yes	Yes	Yes
H. Program-Specific Questions – Always skip this section. Not applicable (N/A) for SOS 3.0 & 4.0	NA	NA	NA
I. Follow-up Status		Yes	
J. Discharge Status			Yes
K. Services Received Under Grant Funding			Yes

*For Administrative Follow-ups, complete Section I. For Administrative Discharges, complete Sections J and K. Administrative interviews are not conducted with the client.

Why Collect the GPRA Interviews on Paper

SAMHSA recommends that GPRA collectors record the client's responses on the paper tool.[3] The iPortal SOR/SOS web-based data entry portal is not optimized for use during interviews. It may time out due to inactivity and can get overloaded. If used live during an interview, data could be lost, which would disrupt the flow of the interview and increase burden for the GPRA collector and client. A computer can negatively impact rapport-building with the client. Likewise, some settings will not allow the use of a laptop and may not have stable internet connection.

Tips for Approaching and Interacting with Clients

According to SAMHSA, how interviewers engage and communicate with clients can influence their willingness to participate in interviews.[6] Specifically, they highlight that clients will be much more receptive when interviewers:

- Greet the client warmly and respectfully
- Create a sense of safety
- Introduce themselves by name and identify the program they represent (and any other necessary details)
- Ask client's permission to conduct the interview
- Explain the purpose of the interview and respond to client's questions
- Show genuine interest in who the client is (not just extract information from them)
- Are calm and patient, not hasty or rushed
- Honor clients' right to make their own decisions, including whether to take part in the interview
- Affirm the client's efforts and strengths

Framework for Conducting Interviews

Borrowing from motivational interviewing, the Elicit-Provide-Elicit (EPE) framework can be helpful to interviewers in thinking about the flow of respectful conversations. A handout with details about the EPE Framework[9] and a script for use with follow-up interviews is available on the SOS evaluation website (see also Appendix B).

"Keeping in Touch" versus "Tracking and Locating"

Throughout the field guide, the terms "staying/keeping in touch" and "tracking and locating" are used.[5] It is acceptable to use them interchangeably; however, there is a distinction. Staying/keeping in touch refers to the process that the follow-up team uses to continue contacting and engaging a client during the intervention and even after the client has completed or left the program. Tracking and locating refers to the process of searching for a client. It also includes the desired outcome: find the client for the follow-up interview.

Key GPRA Data Collection Activities

Below is a summary of key GPRA data collection activities that providers need to conduct related to intaking, keeping in touch, and following-up/discharging clients. This summary offers a one-page overview of those key action items. See each subsection for details.

Overview of Intake Activities

- Verify eligibility
- Introduce SOS program[10] (see also Sample Intake Script[11]) and obtain consent from client (English Version[12] and Spanish Version[13] or Fillable PDF[14])
- Fill out the Full Locator Form[15] and Gift Card Mailing Form[16]
- Conduct the GPRA intake interview with CSAT GPRA Tool: English[1] or Spanish[2]
- Provide the client with a resource packet and include a GPRA Reminder Card[17]
- Call the client's phone to verify it during the intake interview
- Send an initial Thank You Letter[18] to the client within 2 weeks of intake
- Enter data in iPortal SOR/SOS app within 7 days of collection (see Data Entry Form[19])

Overview of Keeping in Touch with Clients

- Use evidence-based strategies to keep in touch with the client
- Develop and use a Client Tracking Spreadsheet[20] that is updated regularly
- Utilize a Client Tracking Log[21] to list contact attempts for each client
- Prepare interview packets to support GPRA collectors
- Use the Mini-Locator Form[22] to update client contact information when in the field

Overview of Follow-up and Discharge Activities

- Implement a set of routine follow-up reminder activities for every client
- Send Postcard Reminders[23] to client about their follow-up interview at the following times: one month before the follow-up window opens, three weeks before the follow-up opens and one month before the follow-up window closes
- Make reminder phone calls with Phone Follow-up Script[24] to confirm interview details
- Prepare to Overcome Client Hesitancy or Resistance with Scripts[25]
- Continue trying to locate client until follow-up interview is complete, including
    - Mailing a Follow-up Letter[26] one month before follow-up window closes,
    - Following strategies in the Hard-to-Find Client Checklist,[27] and
    - Planning for home visits with Sample Door Knocking Scripts,[28] if allowed
- Conduct the GPRA follow-up interview with the English[1] or Spanish[2] GPRA Tool, refer to Required Sections of GPRA Tool[8] and update the Gift Card Mailing Form[16]
- Conduct the GPRA discharge interview with CSAT GPRA Tool: English[1] or Spanish[2] (remember the discharge can be completed before or after follow-up interview)
- Enter data into the iPortal SOR/SOS app within 7 days of collection

Detailed GPRA Data Collection Activities

Intake Activities

Verify Eligibility of Clients for SOS Services

Providers who deliver treatment and recovery support services are required to collect GPRA interviews. To be eligible for SOS services, a client must self-report at least one of the following during their lifetime:

- A history of opioid use disorder (OUD) or opioid misuse
- A history of stimulant use disorder or stimulant misuse
- A history of opiate related overdose

Obtain Consent

When discussing the SOS project with a client, interviewers will need to ask the client to sign a consent to be part of the evaluation. During this conversation, it is important to establish an ongoing relationship with the client for the SOS program, even if the services are short-term and will last less time than when the follow-up interview window opens (5 months post-intake). This process will include asking the client for permission to be contacted in the future and monitor their progress. The consent form:

- Describes the SOS grant to the client and explains who funds the services
- States that the GRC is the evaluator
- Describes how the SOS data will be used
- Explains the three data collection times: Intake, follow-up, and discharge
- States the voluntary participation and choice to not participate
- Asks for client's consent to share their contact information
- Lists benefit to client of a $30 gift card for completing follow-up interview

Reference this handout on Introducing the GPRA Interview[10] to the client. Similar information is included in Sample GPRA Intake Scripts,[11] available on the SOS website (see also Appendix C). The first script has language to describe the project background, purpose, and procedures to the client. The second script has language for when the client has been referred to the program by someone else.

Consent Form

There are two ways to obtain consent with clients for this grant.

- **Option 1** – Obtain a signed consent. The client physically signs the paper and pen version of the consent form, and then the interviewer marks the box "signed." The consent form must be saved locally with the client records. See the SOS evaluation website for an English version[12] and Spanish version[13] of the consent form.

- **Option 2** – Obtain verbal consent with documentation. Per OhioMHAS legal, the use of verbal consent is approved for initial consent only. The consent form must be read to the client verbatim. Verbal consent must then be documented during the initial contact or meeting with the client AND a signed consent, or other documented proof of consent, must be obtained following verbal consent (e.g., email, text message, Google Doc, Word file from the client acknowledging their consent.)

  On the consent form, mark the boxes of "verbal" and "documented signed." Save the consent form with the client records. See the SOS evaluation website for a digital Fillable PDF[14] of the consent form.

NOTE: A client can refuse to participate in a GPRA interview. They are still eligible for SOS services; however, providers should make every attempt to engage the client to encourage the client's participation. It is anticipated that only about 5 percent of clients would not consent. If it becomes more common than this for clients to not consent, reach out to the SOS evaluation team (SOSeval@osumc.edu) to request coaching.

Fill Out Locator Form

Being able to locate clients after the intake interview is an important part of achieving follow-up outcomes. The best way to do that is to use a locator form to both obtain and maintain client contacts. At intake, and after every touch point with the client, be sure to update the client's contact information. See the SOS evaluation website for copies of the three locator forms:

- The Full Locator Form – At intake, use the Full SAMHSA Locator Form[15] (available at the SOS evaluation website) to collect contact details about the client. It is important to ask clients for as much of the information as possible on this form because these will become leads for helping to locate the client when following-up. On the form, anything marked with an asterisk (*) shows required data that need to be entered in the iPortal SOR/SOS app.

- The Gift Card Mailing Information Form – Use the Gift Card Mailing Form[16] (available at the SOS evaluation website) to collect details about how and where to send the gift card. On the form, anything marked with an asterisk (*) shows required data that needs to be entered in the iPortal SOR/SOS app. It is important to use this form at both the intake and follow-up interview.
- The Mini-Locator Form – Use the SAMHSA Mini-Locator Form[22] (available on the SOS evaluation website) when an interviewer is in the field or does not have access to the full locator form. A mini-locator form can be helpful in keeping the client's contact information updated.

When asking for locator contacts, clients may raise privacy concerns. Their reluctance can usually be overcome by a more thorough explanation of how the program will protect their confidential information. A statement suggested by SAMHSA such as, "We only contact the people on your locator form if we cannot reach you directly" can offer assurance and decrease reluctance.[5] Reach out to the SOS evaluation team (SOSeval@osumc.edu) to request coaching, if there are questions or concerns about obtaining locator information from clients.

Conduct Intake Interview

Use the GPRA Tool to collect data on clients at all three interviews (intake, follow-up, and discharge). See the SOS evaluation website for the English version of GPRA Tool[1] or Spanish version of GPRA Tool.[2] See the handout on Required Sections of the GPRA Tool[8] to know which sections to ask at each interview (Appendix A).

Intake Interviews (Baseline)

At intake, conduct the GPRA interview as soon as possible after SOS services begin.[3] GPRA providers are expected to reach a 100% intake rate. The timing required by SAMHSA depends on the type of treatment or services being delivered:

- Residential facilities: completion is required **within 3 days** of the client beginning SOS-funded residential treatment or services (including inpatient withdrawal management); and
- Nonresidential programs: completion is required **within 4 days** of the client beginning SOS-funded outpatient treatment or services (partial hospitalization program (PHP), intensive outpatient program (IOP), outpatient program (OP)).

Provide Client with a Resource Packet and GPRA Reminder Card

As a best practice, have packets ready to give clients at the end of the intake interview. At a minimum, include the following:

- A referral sheet that contains services and resources in the area
- A copy of the consent form and study information
- Information with next steps about services or discharge info (if applicable)
- An appointment reminder card with their 6-month follow-up interview date. If a laminator is available, or the budget will allow the purchase of one, consider laminating it to protect it for the client. Include the organization's phone number for the client to call, if they change their number. See the SOS website for a template with a Sample Gift Card Reminder[17] (see also Appendix D).

Verify Contact Information

Successful GPRA follow-ups begin at intake. While completing the intake with the client, verify their contact information. Call the client's phone to verify that it is correct and works. Double check that addresses include the full street names and building numbers.

Send Thank You Letter

Within 2 weeks of the intake interview, send a thank you letter to the client. Include a reminder about the study and the client's follow-up interview date. A sample Thank You Letter[18] is on the SOS evaluation website (see also Appendix E).

Enter Data

Per SAMHSA, all GPRA data should be entered in as close to real time as possible.[3] Aim to enter data within 1 day but no later than 7 days after the GPRA interview is conducted into the iPortal SOR/SOS app. If someone is entering data for another interviewer, think about a workflow to make sure they receive the data to meet this requirement. To support data entry, GRC has created a form to accompany the intake interview. It indicates the client's eligibility and funding details. The Eligibility & Data Entry Form[19] is available on the SOS evaluation website (see also Appendix F).

Keeping in Touch with Clients

Use Strategies to Keep in Touch and Locate Clients

According to SAMHSA, certain strategies[6] are helpful for maintaining contact with clients and then being able to find them to conduct follow-up interviews, including the following:

- Using locator forms and tracking logs, and keeping them updated
- Arranging transportation for clients to/from the program for follow-up interviews
- Acquiring phone numbers and contact info of various people connected to clients
- Giving clients appointment cards or pocket calendars
- Mailing, emailing, and texting clients to keep in touch
- Using social media to stay in touch with clients
- Being flexible in terms of timing when conducting follow-up interviews
- Providing childcare and food
- Allocating time and responsibility to selected staff to conduct follow-up interviews in lieu of or in addition to providing direct services
- Doing outreach where clients are most likely to be. Examples: community organizations, drop-in centers, shelters, streets, medical facilities, jails
- Reaching out to clients between intake and follow-up with personalized phone calls, text messages, post cards, and/or emails to remind them when the follow-up is open and due
- Checking jail lists weekly

Doing these types of strategies can help an interviewer know more quickly if contact with a client has been lost. If that happens, begin to escalate efforts to locate the client by doing things like reaching out to all contacts on the locator form and asking if they know how to reach the client, and reviewing returned mail for address updates.

Develop and Use a Client Tracking Spreadsheet

To easily access the status of clients, GRC strongly recommends that all agencies create a client tracking spreadsheet, and to maintain that spreadsheet outside of the iPortal SOR/SOS app. As a best practice, a client tracking spreadsheet helps keep the data collection process organized and in one place. It also allows for better data management. When using a client tracking spreadsheet, it is easier to see when a client has a follow-up coming up and monitor for inactive clients who need to be discharged.

Below is a screenshot of a sample client tracking spreadsheet. It has 18 column headings that are color-coded to distinguish between four types of things to track, which are described below. The spreadsheet can be customized to local needs. A Blank SOS Client Tracking Spreadsheet[20] (created in Microsoft Excel) is available for download use from the SOS evaluation website.

Figure 1. Sample Tracking Spreadsheet

Client First Name	Client Last Name	Client ID (in iPortal Patient ID)	Locator Form Updated	Status	Status Date	Community Agency working with Client	Contact Info	CM/PO	Status Notes	Intake Date	Follow Up Opens (5 months)	Follow Up Closes (8 months)	Follow Up Date Completed	If Missed - Entered reason in iPortal	Discharge Date Completed
											5/31/1900	8/31/1900			
											5/31/1900	8/31/1900			

- Client information: The first 10 columns (black) are for tracking individual clients by indicating the client's name, client ID (patient ID in the iPortal SOR/SOS app), if the locator form has been updated, the client's status and status date, the community organization working with the client, their contact info, case management / parole officer name and status notes.

- Follow-up Window: The next 3 columns (green) are for tracking when a client's follow-up window occurs. After entering the intake date, the spreadsheet has been programed to automatically show when the follow-up interview opens (5 months after the intake interview date) and when the follow-up window closes (8 months after the intake interview date).

- Follow-up Completion: The next 2 columns (blue) are for tracking when a client's follow-up interview was completed and if missed, the reason why. Knowing why helps with understanding what can be changed to prevent on ongoing issues.

- Discharge Completion: The last column (orange) is for tracking the date the discharge was completed. Tracking this information makes sure that inactive clients are actively being discharged.

Utilize a Client Tracking Tool to Log Contact Attempts

Another tracking tool to use is a client contact attempt log. All GPRA interviewers should log every contact attempt with each client. Over time, the log can help the data collection team understand what methods are the most efficient and effective for client outreach. At a minimum, the log should include when, how, and the number of attempts for each contact. For easier reference, GRC recommends capturing this information manually on a hard copy log. An example of a completed and blank Client Tracking Log[21] is available on the SOS evaluation website (see also Appendix F). Contact attempts may also be recorded in the iPortal SOR/SOS app.

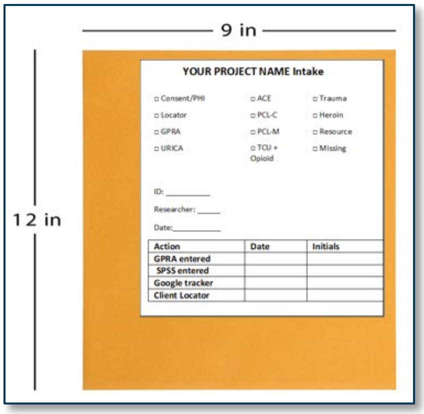
Prepare Interview Packets to Support Interviewers

A way that project coordinators, supervisors, or managers can support GPRA collectors is by preparing interview packets in advance of interviews that will need to be conducted. If financial resources are available, consider creating packets ahead of interviewing. The table below suggests items to include for each interview. These packets can include a tracking and compliance label with relevant local tracking details (see the figure below).

Table 2. Suggested Items to Include in Interviewer Packets

Intake Packet	Follow-up Packet	Discharge Packet
Consent Form and Pen GPRA Tool Required Sections of GPRA GPRA Reminder Card Resource Packet Full SAMHSA Locator Form Gift Card Mailing Form Eligibility and Data Entry Form	Pen GPRA Tool Required Sections of GPRA Mini Locator Form Gift Card Mailing Form	Pen GPRA Tool Required Sections of GPRA Mini Locator Form

Figure 2. Sample Label for interview packets



YOUR PROJECT NAME: INTAKE

▫ Consent/PHI	▫ ACE	▫ Trauma
▫ Locator	▫ PCL-C	▫ Heroin
▫ GPRA	▫ PCL-M	▫ Resource
▫ URICA	▫ TCU + Opioid	▫ Missing

ID: __________

Researcher: ______

Date:___________

Action	Date	Initials
GPRA entered		
SPSS entered		
Google tracker		
Client Locator		

Follow-up and Discharge Activities

Implement a Set of Routine Follow-up Reminder Activities

When tracking clients, begin reviewing those clients whose follow-up window is opening soon. Begin to actively reach out and remind clients about one month to six weeks before the follow-up window opens about their follow-up interview. Reaching out before the interview window opens helps maximize the chances of being able to locate the client. Suggested activities include carrying out more affordable options first (mailing post-cards/letters and making phone calls). If attempts are not successful, more creative, and active outreach attempts may become necessary. Below are descriptions of several strategies, along with links to sample templates, and scripts. As a reminder, be sure to record all contact attempts on a Client Tracking Log[21] (see Appendix G).

A note about confidentiality. Use neutral stationery, a neutral greeting, and a neutral return address. Do not mention drugs, alcohol, mental health treatment, or the name of a treatment agency. “Community Health Study” is a neutral phrase that can be used. Business cards should also be specific to the program and neutral.

Send Postcard Reminders

One month before the client’s follow-up window opens, and then again two weeks before their follow-up window opens, it can be helpful to send reminder post cards. The first postcard would be to let the client know that is almost time for their follow-up interview. Then, a second postcard would be to let them know that it is time for their follow-up interview. On the SOS evaluation website, GRC has a template available with Sample Reminder Postcards,[23] which can be customized with local program information (see also Appendix H).

Make Reminder Phone Calls

Two weeks before the client's follow-up interview date, make a reminder phone call to confirm the date and time of it. Telephone calls are also a helpful strategy for locating clients, and can be made directly to clients, along with others identified on the Full Locator Form. It is good practice to wait a week after mailing a letter or email to give the client a chance to schedule or reschedule their interview appointment. To help guide interviewers when reaching out by phone, a set of Sample Scripts for Telephone Locating[24] are available on the SOS evaluation website (see also Appendix I). These include scripts for when the client still lives at the location being called and one for when the client no longer lives at the location. Feel free to adapt the scripts while keeping in mind two basic rules from SAMHSA:

1. Never mention drugs, substance use treatment, mental health treatment, or mental health until the participant's identity has been validated.
2. Never leave messages that may identify the interviewer or organization as part of a mental health or substance use treatment program.

Sometimes clients may express a hesitancy, including raising a concern or expressing a desire to not participate. It can be helpful to ask about their concerns to see if there is a way to address it or if an assurance would be helpful. Two sample Scripts to Overcome Hesitancy or Resistance[25] are available on the SOS evaluation website (see also Appendix J). In all locating attempts by telephone, always be thankful for the person's time, and strive to end in a courteous manner that will ensure receptivity to future calls.

Mail Reminder Letter to Client

If the client has not completed their six-month follow-up interview by their scheduled date, continue using strategies to reach out and try to locate them. A month before the follow-up window closes, consider mailing a final reminder postcard or a letter to the client. A Example Follow-up Reminder Letter[26] is available on the SOS evaluation website (see also Appendix K).

Follow Strategies in the Hard-to-Find Client Checklist

Around the 6-month anniversary date from the intake interview, begin following strategies in the Hard-to-Find Client Checklist,[27] which is available for download on the SOS evaluation website (see also Appendix L). Harder-to-reach clients include those experiencing homelessness, long-term hospitalizations, or recurrence in jail or prison or have absconded from probation or parole. The checklist includes strategies such as searching for the client in criminal justice databases, death records or obituaries, search engines and social media, and calling other nearby participating sites.

Plan for Home Visits/Door Knocking

A final set of strategies for attempting to locate the client includes re-contacting the intake sites and planning for home visits/door knocking, if allowed by the organization. A set of sample Door Knocking Scripts[28] is available on the SOS evaluation website (see also Appendix M) and can help guide how to contact participants at their place of residence. Feel free to adapt them, while keeping in mind two basic rules from SAMHSA:

1. Never mention drugs, substance use treatment, mental health treatment, or mental health until the participant's identity has been validated.
2. Never leave messages that may identify the interviewer or organization as part of a mental health or substance use treatment program.

Door knocking is seen as a final strategy because it requires extra time and resources. One way to be efficient with this strategy would be to schedule door knocking visits in locations when the interviewer will already be for another purpose. The SAMHSA Staying in Touch: A Fieldwork Manual of Tracking Procedures[5] has more detailed guidelines for door-knocking, which includes:

- Presenting yourself professionally
- Seeking cooperation
- Contacting neighbors and possible associates of the participant

Conduct GPRA Follow-up Interview

To conduct the follow-up interview, use the CSAT GPRA Tool (English[1] or Spanish[2]) to collect data on clients. Refer to the handout on Required Sections of the GPRA Tool[8] (see Appendix A) to know which sections to ask at the follow-up interview.

As a reminder, the follow-up interviews are conducted during a follow-up window, which occurs **5 to 8 months after** the intake interview. The minimum follow-up completion rate is 80%. When a program cannot conduct a follow-up interview with a client, the program must complete an administrative discharge GPRA to explain why they were not able to follow-up. The administrative discharges do not count towards the 80% completion rate.

Update the Gift Card Mailing Form

Update the Gift Card Mailing Form[16] (available at the SOS evaluation website) to collect details about how and where to send the gift card. It is important to update this form at the follow-up interviews and keep information updated in the iPortal SOR/SOS app. Whatever is in there at the six-month follow-up interview will be where the gift card will be sent.

Data Entry

Enter data into the iPortal SOR/SOS app according to SAMHSA guidelines of entering it in as close to real time as possible. Aim to enter data within 1 day but no later than 7 days after the GPRA interview is conducted.

Conduct GPRA Discharge Interview

Remember that SOS-funded providers are also required to complete GPRA discharge interview on all clients to collect data on the services received. The discharge interview can be administered before or after the 6-month follow-up interview. All inactive clients are expected to have a discharge interview by the end of the grant period.

- **If the client is present**: conduct the discharge interview with the client.
- **If a client has not finished treatment, drops out, or is not present** on the day of discharge:
  - Attempt to find the client for 14 days to conduct the discharge interview.
  - If not found by day 15, complete an administrative discharge GPRA.

Exception: If the client has completed an intake GPRA interview within 7 days of their discharge, complete an administrative discharge GPRA.

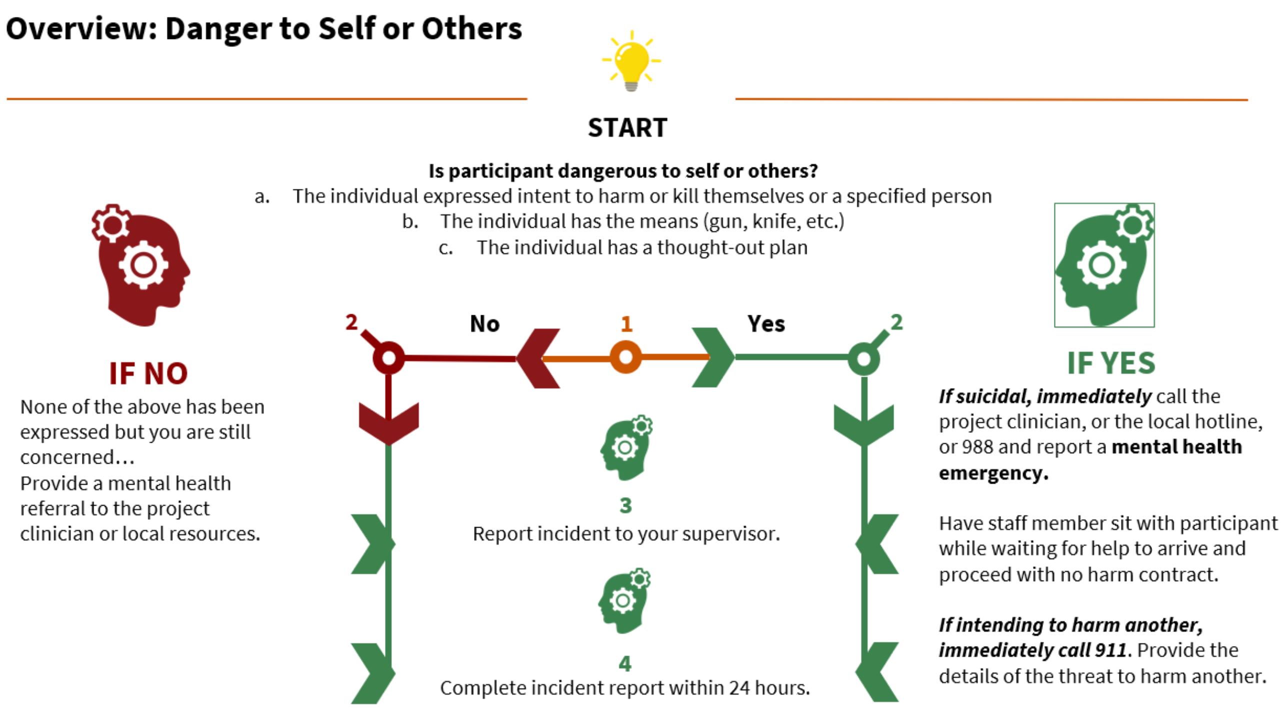
Additional Resources

Red Flags and What to Do if a Client is in Crisis

While protecting the confidentiality of clients is important, "there are certain situations that, by law, we must report to the authorities."[5] Many of the questions being asked to clients include content on sensitive subjects and "a participant might disclose what we are calling a "Red Flag" situation."[5] SAMHSA considers Red Flags any situation where there is abuse or a client is in danger to themselves or others. Be sure staff have received thorough training regarding how to manage Red Flag scenarios.

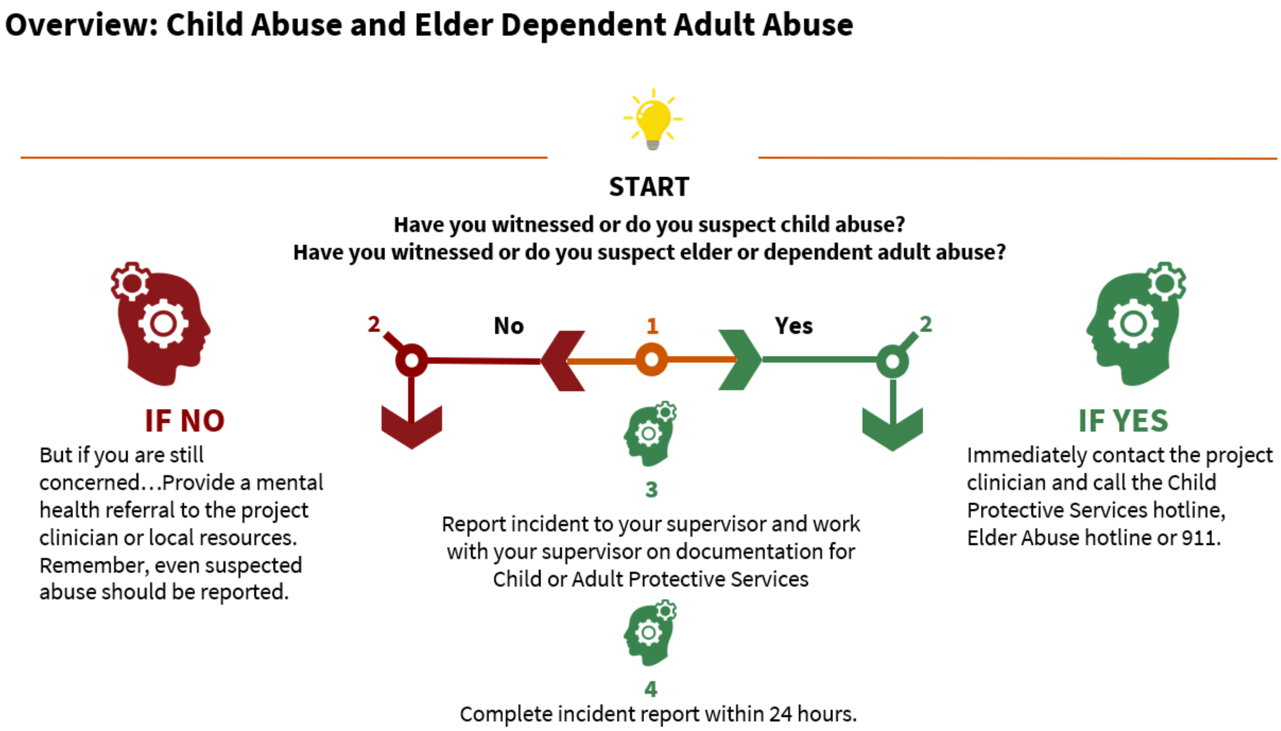
Two sample decision tree tools for Red Flag situations are included on the following pages. They are from SAMHSA and include links to the source document where additional details are available.

Figure 3. SAMHSA CSAT Red Flag Diagram on Danger to Self or Others



For detailed protocols, see: SAMHSA [Staying in Touch: A Fieldwork Manual of Tracking Procedures] (Third Edition). Ref-604.Rockville, MD: SAMHSA, 2016, p. 151-153.

Figure 4. SAMHSA CSAT Red Flag Diagram on Child Abuse and Elder or Dependent Adult Abuse



For detailed protocols see: SAMHSA Staying in Touch: A Fieldwork Manual of Tracking Procedures (Third Edition). Ref-604. Rockville, MD: SAMHSA, 2016, p. 154-158.

Appendix A

Required Sections of GPRA Tool

See the following page

Ohio's State Opioid and Stimulant Response (SOS) Grant: Required Sections of GPRA Tool by Interview Type

Directions: Use this reference tool to know which sections the GPRA tool need to be completed for each interview type: intake, follow-up, and discharge.

Table 1. Required Sections of GPRA Tool for Intake, Follow-up, and Discharge

GPRA Tool Sections	Intake	Follow-up*	Discharge*
A. Record Management	Yes		
B. Substance Use	Yes	Yes	Yes
B. Planned Services	Yes		
C. Living Conditions	Yes	Yes	Yes
D. Education, Employment, and Income	Yes	Yes	Yes
E. Legal	Yes	Yes	Yes
F. Mental & Physical Health Problems & Treatment / Recovery	Yes	Yes	Yes
G. Social Connectedness	Yes	Yes	Yes
H. Program-Specific Questions – Always skip this section! Not Applicable (NA) for SOS 3.0 & 4.0	NA	NA	NA
I. Follow-up Status		Yes	
J. Discharge Status			Yes
K. Services Received Under Grant Funding			Yes

*Administrative interviews are not conducted with the client. For Administrative Follow-ups, complete Section I. For Administrative Discharges, complete Sections J and K.

Source: SAMHSA. CSAT. Government Performance and Results Act Client Outcome Measures for Discretionary Programs Tool (GPRA Tool). GPRA Tool Question-by-Question Guide. Feb. 2024, v. 3.1. Available at: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/20240213%20OE%20SPARS%20CSAT%20GPRA%20Tool%20QxQ_508_0.pdf

Appendix B

EPE Framework for Conducting Follow-up Interviews

Sample Script for Follow-up Interviewing

See the following page

Ohio's State Opioid and Stimulant Response (SOS) Grant

Elicit-Provide-Elicit Framework for Conducting Follow-up Interviews

Borrowing from motivational interviewing, the Elicit-Provide-Elicit (EPE) framework can be helpful for interviewers in thinking about the flow of respectful conversations.

Elicit: Upon greeting the client warmly, introduce oneself and engage briefly with the client. Focus the conversation on conducting the interview.

- It may be helpful to explain the context or reasons why you are requesting this information.
- It can also be useful to give permission to clients to not participate, or to not feel compelled to respond to questions that they feel uncomfortable answering.
- Some clients will likely have questions about how the agency will use the information, whether their responses are anonymous, and others.

Provide: For those clients who are willing to participate, begin conducting the interview.

- Your role is not only to collect data, but also to provide a safe, personable presence to make it as easy as possible for clients to "tell their story" with your questions serving as prompts.
- Ensure that clients understand the interview questions, "Do you have any questions about what is being asked?"
- Be aware that some clients may want to please you by answering the questions as they think you would want them to answer. Encourage clients to tell you how things are without fear of judgment or reprisal. "Please tell me what has been happening in your life—both the good and not so good. Whatever you share will be kept confidential and will not be used against you in any way."
- **Minimize distractions when conducting interviews.** Avoid taking/making phone calls, looking at text messages, or doing anything else that could be distracting to the flow of the interview. On the other hand, try to accommodate clients if they need to interrupt the interview for any reason.

Elicit: Upon completion of asking all the questions in the interview, it is important to think about how to wrap up the interview. "How was that for you?" "What, if anything, did I miss that you think would be important for me to know?"

- Confirm the address where the client wants the incentive to be mailed (update iPortal SOR/SOS app post-interview)
- Thank clients for participating. "Thank you very much for taking the time to do this interview. Your responses will be very helpful to [NAME OF AGENCY]."

Throughout the interview and when bringing it to a close, consider affirming one or more strengths that you see in the person. Affirmations often help people see strengths they possess that they may have a hard time seeing for themselves. Offer affirmations in a sincere, genuine manner for them be meaningful and resonate with clients.

- “Thank you for taking the time to talk with me today.”
- “Your actions show you have a lot of compassion for others.”

Sample Script for Follow-up Interviewing: Clients Engage Readily & Appear Willing to Participate

Possible ways to begin:

- “You may remember being asked a few specific questions when you first began coming to [NAME OF AGENCY] and when you left. If it’s okay with you, I’d like to be able to get some follow-up information...”
- “I’d like your permission to do a follow-up interview with you. This information helps us improve the care and services we provide.”
- “Would you be willing to answer a few questions related to . . .?” “If you don’t mind, I’d like to ask you a few questions about how things have been going since the time you were discharged/ stopped receiving services at [NAME OF AGENCY].

Source: SAMHSA. SPARS CSAT Technical Assistance Guide: Improving client participation in GPRA follow-up interviews. Ref-604. Rockville, MD: SAMHSA, no date, p. 3. Available at: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/SPARS%20CSAT%20TA%20Guide_Improving%20Followups_ref-679.

Appendix C

Sample Scripts for Program Introduction

See the following page

Ohio's State Opioid and Stimulant Response (SOS) Grant

Sample Script on SOS Program Background & Procedures

Background & Purpose

You were selected as a possible participant in this evaluation because you have been referred to and enrolled in LOCAL SOS PROJECT NAME. The evaluation will collect information to determine if the services you will receive in LOCAL SOS PROJECT NAME are effective and improve your health and well-being. Ohio Department of Mental Health and Addiction Services/ LOCAL BOARD OR YOUR AGENCY received a grant from the federal Substance Abuse and Mental Health Services Administration (SAMSHA) to offer these enhanced services.

Procedures

If you agree to be a participant in this evaluation, you will be interviewed for about twenty-minutes three times: at beginning of LOCAL PROGRAM AT YOUR AGENCY OR PROGRAM NAME, six-months after enrollment and at the end of the LOCAL AGENCY program. These interviews will include questions about your drug and alcohol use, past and current treatment, general health, employment, housing status, criminal justice involvement, and social connectedness. Before I get started do you have any questions that I can answer for you?

Sample Script on SOS Program Introduction – Client Referred to Program

Good Morning/Afternoon,
My name is _______________ and one of the Assessors, Probation Officers or Case Managers may have mentioned that I would be meeting with you to ask you some questions (or mention the referral source). You were selected as a possible participant in this evaluation because you have been referred to and enrolled in SOS grant program here at LOCAL AGENCY NAME. The evaluation will collect information to determine if the services you will receive in SOS PROGRAM NAME are effective and improve your health and well-being. Your agreement to participate in the evaluation is voluntary and confidential. If you choose not to participate in the evaluation your ability to receive any and all SOS services are the same. No services will be affected if you do not participate.

If you agree, I am now going to ask you a few questions and get some contact information from you for our follow-up interviews (about 6-months from now and when you are done with your SOS program and please remember you will receive a $30 gift card after you complete your 6-month follow-up interview). Before I get started do you have any questions? I am happy to answer any questions you may have.

Appendix D

GPRA Laminated Follow-up Reminder Card

See the following page

Ohio’s State Opioid and Stimulant Response (SOS) Grant

GPRA Follow-up Reminder Card

Optional – consider laminating, if funding is available

YOUR PROGRAM NAME/LOGO Your next interview is MM/DD/YY. If you move or change #’s call [YOUR PHONE NUMBER] and let us know. You will receive a $30 gift card for your time!

Appendix E

Example Thank You and Reminder Letter

See the following page

Ohio's State Opioid and Stimulant Response (SOS) Grant

Example Thank You and Reminder Letter

[Project Name and Logo]

[Date]

Dear [Name],

Thank you for participating in the [Name of your project] health study. We enjoyed talking with you and look forward to meeting with you again.

We are writing to remind you that your follow-up interview is set for [Month, date, year]. As we discussed, when you come in for the interview, [Name of your project] will provide you with a $30 gift card in appreciation for your time and effort. Remember, we want to talk to you about anything that has happened in your life since our last interview.

If your address or telephone number changes or if you need to reschedule the interview, please call us soon so that we can stay in touch. You can call us toll-free at [fill in number] or if you prefer, call collect at [fill in number]. You can also stop by our office Monday through Friday from [open time] to [close time].

As always, the information you provide is completely confidential. [Name of your project] is committed to protecting the privacy of the personal information we collect during the health study. We can only use your information for evaluation purposes and, if you wish, we can provide a legal statement that guarantees your right to privacy. We look forward to hearing from you.

Sincerely,

[Include the names of everyone who will be answering the project phones]

Source: SAMHSA. Staying in Touch: A Fieldwork Manual of Tracking Procedures (Third Edition). Ref-604. Rockville, MD: SAMHSA, 2016, p. 160. Available at: https://ohiososevaluation.org/sites/grc_opioid_response/files/SAMHSA_Staying%20in%20Touch%20Manual_Third%20Edition.pdf

Appendix F

Eligibility Checklist and Information for Data Entry

See the following page

Ohio's State Opioid and Stimulant Response (SOS) Grant Eligibility Checklist and Information for Data Entry

Directions: Use this form with GPRA intake interviews to support data entry of new interviews in the iPortal SOR/SOS app.

Eligibility Checklist for SOS Services

Providers who deliver treatment and recovery support services need to make sure their clients are eligible for SOS-funded services. A client must respond yes to at least one of the following three questions. Eligibility is over the client's lifetime. If none are yes, the client would not be considered eligible for SOS services.

1. Does the client have an opioid use disorder (OUD) diagnosis or a history of opioid misuse? ☐ **Yes** ☐ **No**
2. Does the client have a stimulant use disorder diagnosis or a history of stimulant misuse? ☐ **Yes** ☐ **No**
3. Does the client have a history of opiate related overdose? ☐ **Yes** ☐ **No**

Information Needed to Create a New Client in iPortal SOR/SOS app

Funding Source: ____SOS 3.0 NCE (only) or ___SOS 4.0 (only)
Indicate which grant the services are being paid from.

Client First Name: ____

Client Last Name: ____

Client Date of Birth: ____/____/______
MM DD YYYY

Patient ID: ____
Create a unique identifier for the client. Ask a supervisor or coordinator about local practices to create the patient ID. Do not use any personal identifiers, including any part of the client's name, date of birth, or social security number.

Location: ____
Use the address that was entered when registering agency in the iPortal SOR/SOS app.

Board: ____
Use the name of the board who funded the SOS services.

County: ____
Use the county where services are provided.

What date was the client admitted to SOR SOS funded services? ____/____/______
MM DD YYYY

Use the date the client began receiving SOS-funded services.

GPRA Required Programs: Mark the program funding type based on the notice of subaward from OhioMHAS or board. More than one can be selected; however, only the funding awarded for the grant should be selected. Ask a local supervisor/manager or check your notice of sub-award (NOSA) to clarify the program funding type.

- ☐ **Local Board Projects:** Funding from a local county-based ADAMH board
- ☐ **Community Organization:** Funding directly from OhioMHAS
- ☐ **MOMS Programs (SOS 3.0 NCE only):** Funding directly from OhioMHAS
- ☐ **Innovation (SOS 3.0 NCE only):** Funding directly from OhioMHAS

Complete the Client Consent Form

To be eligible for the $30 follow-up gift card, a client must consent to be part of the evaluation and share their contact information.

Did the client provide consent (either verbal consent with documentation or signed consent)? ☐ **Yes** ☐ **No**

GPRA Intake Interview Date

Date the GPRA intake interview was completed with the client: ___/___/_______
MM DD YYYY

Collect the SAMHSA Locator Form Information

Use the Full Locator Form and Gift Card Mailing Information Form to gather contact information about the client. Enter that data into the iPortal SOR/SOS app.

Next Steps

- ☐ Log onto the OhioMHAS iPortal SOR/SOS app. Start a new interview and enter the GPRA data. You will need this form, the GPRA Tool, Consent Form, Full Locator Form, and Gift Card Mailing Information Form.
- ☐ Data should be entered in as close to real time as possible. Aim to enter data within 1 day but no later than 7 days after the GPRA interview is conducted. If you have someone else entering the GPRA interview, think about a workflow that allows them to receive the data in enough time for this data entry requirement.

Appendix G

Tracking Log for Client Contact Attempts

See the following page

Ohio’s State Opioid and Stimulant Response (SOS) Grant

Sample Completed Participant Tracking Log

Below are two samples of participant tracking logs: one from SAMHSA and one adapted from it. See the following two pages for blank logs that can be customized to local needs.

Sample 1

Participant Tracking Log

DATE	TIME	ACTIVITY	RESULT	TRACKER ID
01/14/16	10am	Searched online whitepages (Anywho and Superpages)	Found possible address at 555 Ohio St. Sent letter to address.	HB
01/20/16		Reverse lookup for Ohio St.	No listing. Requested DMV report	HB
01/28/16	1 pm	letter to Ohio St. returned	Undeliverable as addressed	HB
02/01/16		Searched LexisNexis	Two new addresses. 555 Stelter Ave. and 555 Monica Blvd. sent letters to both addresses	HB
02/08/16		Reverse lookup for both addresses	No listing for Stelter Ave. Monica Blvd. address belongs to possible relative. Phone number is 310 555 8555	HB
02/09/16	11 am	Phone call to new number	No answer	HB
02/15/16		Letter to Stelter St. returned	Undeliverable as addressed	HB
02/21/16		Received DMV report. T/C to (310) 555-8555. Sent letter to Monica Blvd.	Monica Blvd. latest address for John according to report. Still no answer to new #	HB
02/28/16	12 pm	T/C to 310 555-8555	No answer	HB
03/05/16	4 pm	T/C to 310 555-8555	No answer	HB
03/10/16	1 pm	T/C to 310 555-8555	No answer	HB
03/16/16	10am	More phone calls. No answers. No returned letter	Planning to doorknock over the weekend	HB
03/20/16	3pm	Spoke with John's father at Monica Blvd. address. Received cell # (310) 555-1234	Spoke with John. Set up interview appointment for Monday.	HB
03/25/16	2 pm	Completed follow-up interview		HB

Sample 2

DATE	CLIENT ID	TIME	ACTIVITY	OUTCOME	INITIALS
11/12/24	SOS001	11AM	FU CALL	LM	MB
11/11/24	SOS300	430PM	DIS CALL	VM FULL	MB

Source: SAMHSA. Staying in Touch: A Fieldwork Manual of Tracking Procedures (Third Edition). Ref-604. Rockville, MD: SAMHSA, 2016, p. 143. Available at: https://ohiososevaluation.org/sites/grc_opioid_response/files/SAMHSA_Staying%20in%20Touch%20Manual_Third%20Edition.pdf

SAMSHA CSAT GPRA Client Contact Attempt Log

Client/Patient ID: _______________

Date	Time	Activity	Result	Interviewer Initials

Tracking Log for Client Contact Attempts

DATE	ID for CLIENT	TIME	ACTIVITY	OUTCOME	INITIALS

Appendix H

GPRA Reminder Postcards

See the following page

Ohio's State Opioid and Stimulant Response (SOS) Grant

GPRA Follow-up Reminder Postcards

Directions: This document has sample language for creating postcard reminders for clients about upcoming follow-up interviews. Customize the template to suit the needs of your agency, including using appropriate local logo and agency contact information.

As a reminder, for confidentiality reasons, you will want to use neutral stationery, a neutral greeting, and a neutral return address. You do not want to mentioning drugs, alcohol, mental health treatment, or the name of a treatment agency. "Community Health Study" is a neutral phrase you can use. Consider including an 800-number.

For printing the postcards, here are guidelines from the United States Postal Service regarding the mailing dimensions for post cards.

There are two versions of reminder postcards:

- **Almost Time for Your Follow-Up Interview**
  - Send this postcard one month before the client's follow-up interview window opens, which is 4 months after the date of their intake interview
- **Time for Your Follow-Up Interview**
  - Send this postcard after the follow-up window opens, which is 5 months after the date of their intake interview

Almost Time for Your Follow-Up Interview

YOUR PROGRAM NAME would like to schedule your follow-up interview that is due soon. Please call us at YOUR PHONE NUMBER to schedule this quick interview.
This confidential interview takes less than 30 minutes, and you will get a $30.00 gift card for your time.

YOUR AGENCY NAME & CONTACT INFO

Time for Your Follow-Up Interview

YOUR PROGRAM NAME has been trying to contact you for a <u>QUICK telephone interview</u>. Please call us as YOUR PHONE NUMBER.
This confidential interview takes less than 30 minutes, and you will get a $30.00 gift card for your time.

YOUR AGENCY NAME & CONTACT INFO

Appendix I

Sample Scripts for Telephone Locating

See the following page

Ohio's State Opioid and Stimulant Response (SOS) Grant

SAMHSA CSAT Sample Scripts for Telephone Locating

Directions: Feel free to use the following scripts as guides for contacting participants by telephone or in person at their places of residence. Customize them to suit the needs of your agency with the following two basic rules from SAMHSA:

1. Never mention drugs, substance use treatment, mental health treatment, or mental health until you have validated the participant's identity.
2. Never leave messages that may identify you or your agency as part of a mental health or substance use treatment program.

Scripts for Locating Participants by Telephone

- Script #1: Reaching the Participant
- Script #2: Reaching a Family Member, Roommate, or Other Contact
- Script #3: Leaving a Voice Mail

Source: SAMHSA. Staying in Touch: A Fieldwork Manual of Tracking Procedures (Third Edition). Ref-604. Rockville, MD: SAMHSA, 2016, p. 144-48. Available at: https://ohiososevaluation.org/sites/grc_opioid_response/files/SAMHSA_Staying%20in%20Touch%20Manual_Third%20Edition.pdf

Scripts for Locating Participants by Telephone

Script #1: Reaching the Participant

- **Interviewer**: “Hello, my name is _____________ and I am calling from [name of project].” [Make certain the project name does not reference drugs or substance use treatment, or mental health or mental health treatment.]
- **Interviewer**: “May I speak with [participant’s name]?”
- **Participant**: “This is [name].”
- **Interviewer**: “You may remember that you took part in a health study with us about [time] ago. It’s time for the follow-up interview that we discussed, and we would like to schedule the interview at a time that’s convenient for you.”

  [At this point, the participant may volunteer information about the previous interview, such as the location or interviewer’s name, or may mention receiving correspondence from the project.]

- **Interviewer**: “In order to protect confidentiality, I need to confirm that I’m speaking to the right [name]. Can you please tell me your date of birth?”
- [Participant responds].
- **Interviewer**: “Thank you, and can you also tell me the location of our intake [or last] interview?”
- [Participant responds].
- **Interviewer**: “Thank you.” [Proceed to provide details about the follow-up and schedule the interview.]

  [If participants are unable to provide adequate validation of their identity, stop the conversation at this point. Explain that you can only discuss the study with an identified participant. You can provide a phone number for the participant to call for more information.]

Script #2: Reaching a Family Member, Roommate, or Other Contact

Important: Many participants are hesitant to respond to unsolicited phone calls and may use household members as gatekeepers over the phone. If the participant is available, refer to script #1. Record on the Client Contact Attempt Log any relevant information that arises during a telephone conversation, such as work hours, the name of someone who might know the participant's location, the amount of time since the participant moved away, and other details.

Scenario A – Client still lives at location called

- **Interviewer**: "Hello, my name is ______________ and I am calling from [name of project]. [Make certain the project name does not reference drugs or substance use treatment, or mental health or mental health treatment.]
- **Interviewer**: "May I speak with [participant's name]?"
- **Answer**: "What's this about?"
- **Interviewer**: "[Name] has been participating in a health study and we are trying to contact him for a follow-up interview. Is he available?"
- **Answer**: "No, he's not here."
- **Interviewer**: "Can you tell me when is the best time for me to call back and talk to him?"
- **Answer**: "I don't know when he'll be around."
- **Interviewer**: "Can I leave a message for him? He agreed to participate in our health study and it's important that we reach him. We will compensate him for his time." [Leave a message that only mentions the health study follow-up interview, the compensation that will be paid, and the number for the participant to call for more information.]
- **Interviewer**: "Thank you for your time."

Scenario B – Client no longer lives at location called

- **Interviewer**: "Hello, my name is _____________ and I am calling from [name of project]. [Make certain the project name does not reference drugs or substance use treatment, or mental health or mental health treatment.]
- **Interviewer**: "May I speak with [participant's name]?"
- **Answer**: "He doesn't live here anymore." Interviewer: "Can you tell me how I might reach him? He gave us this number so we could get in touch with him."
- **Answer**: "I can't tell you anything more than that."
- **Interviewer**: "Could you please take a message for him? He agreed to continue to participate in our study and it's important that we reach him. We will compensate him for his time." [If the respondent still has contact with the participant, leave a message using the guidelines recommended above. If there is no longer any contact, refer to other phone numbers and sources on the Locator Form.]

Script # 3: Leaving a Voice Message

Often, the participant's locator phone number will be valid, but the participant is not home when called.

- **Interviewer**: "Hello, this message is for [name]. This is _____________ and I'm calling from [name of project]. You participated in our health study about [time ago]. We would like to schedule the follow-up interview with you and we will pay you for your time. To schedule an interview, or to receive more information, please call us at [number]. That is a toll-free number and you can reach us between [hours]. Thank you, and we look forward to hearing from you."

Appendix J

Scripts to Overcome Hesitancy or Resistance

See the following page

Ohio’s State Opioid and Stimulant Response (SOS) Grant

Scripts to Overcome Hesitancy or Resistance

Interviewing: Client Seems Hesitant or Concerned About Participating

Possible ways to begin:

- “I sense that you’re not so sure about doing this interview. What would be helpful to you in making a decision?”
- “Is there anything I haven’t mentioned that you’d like to know about taking part in this interview?” “What concerns, if any, do you have about participating?”
- “Would it be helpful if I explained in more detail why this information is useful for [NAME OF AGENCY] and the people we serve?”
- “It’s entirely up to you whether you choose to do this interview. Obviously, I’d like it if you would, but it’s totally your decision.”

Interviewing: Client Express a Desire Not to Participate

Possible ways to begin:

- “Although you don’t wish to participate now, would you be willing to consider doing the interview at another time?”
- “It’s totally up to you, of course, whether you participate. Is there something in particular that concerns you?”
- “Other people I’ve met with for interviews sometimes have expressed concerns about participating due to... [FOR EXAMPLE, PRIVACY CONCERNS, NOT SEEING THE POINT OF THE INTERVIEW]. I wonder if any of those things are of concern to you?”
- “I respect your decision. Thank you for considering it.”
- “Thank you for letting me know that you don’t wish to participate. Take good care.”

Appendix K

Example Follow-up Reminder Letter

See the following page

Ohio's State Opioid and Stimulant Response (SOS) Grant

Example of Follow-up Reminder Letter

[Project Name and Logo]

[Date]

Dear [Name],

You may recall that [six months ago, a year ago], [Name of your project] interviewed you as part of a health study. At that time, you expressed willingness to participate in our project follow-up.

[Name of your project] is scheduling follow-up interviews and would like to arrange for you to participate.

In appreciation for your time and effort, you will receive a $30 gift card for participating in the follow-up interview. We can set up appointments during days, evenings, or weekends. Please call us toll-free at [fill in number] or if you prefer, call collect at [fill in number] to schedule an interview at a day and time most convenient for you.

As always, the information you provide is completely confidential. [Name of your project] is committed to protecting the privacy of the personal information we collect during the health study. We can only use your information for evaluation purposes and, if you wish, we can provide a legal statement that guarantees your right to privacy.

You have made an important contribution to our project, and we look forward to hearing from you.

Sincerely,

[Include the names of everyone who will be answering the project phones]

Source: SAMHSA. Staying in Touch: A Fieldwork Manual of Tracking Procedures (Third Edition). Ref-604. Rockville, MD: SAMHSA, 2016, p. 161. Available at: https://ohiososevaluation.org/sites/grc_opioid_response/files/SAMHSA_Staying%20in%20Touch%20Manual_Third%20Edition.pdf.

Appendix L

Hard-to-Find Client Checklist

See the following page

Ohio’s State Opioid and Stimulant Response (SOS) Grant

Hard-to-Find Client Checklist for Tracking and Locating SOS Clients

Directions: Use this checklist to help track and locate clients for their follow-up interview.

- ☐ Mail letters to all addresses on the locator form. Use a mail merge function to get letters out each month as participants become due for follow-up.
- ☐ Send e-mails to the participant’s and contacts’ e-mail addresses.
- ☐ Check your participant’s criminal justice status via phone or online resources.
  - ☐ Check jail status for all active participants (that is, all participants due for follow-up). If the participant is in jail, be certain to mail the participant a letter and send an interviewer to the jail as soon as possible. If you get information that the participant is incarcerated but is not listed on the jail or the state department of corrections list, search jail lists of other counties.
  - ☐ Check probation status for all active participants. If on probation or community release, gather information on status, including region or office and phone number for the probation or community supervision office. Call and obtain the probation officer’s name, then contact them.
  - ☐ Check the state department of corrections system status for all active participants. If the participant is incarcerated, be certain to mail the participant a letter. If on parole, get information on status, including the region or office and phone number for participant’s parole officer. Get parole officer’s name, then contact them.
  - ☐ Check the Federal Bureau of Prisons Inmate locator website at http://www.bop.gov/inmateloc to determine if a participant is housed in a federal prison.
- ☐ Call/text message all numbers on the locator form and any named contacts. Try evening and weekend calls. Write down all contact attempts in the client contact log. Record which numbers you called and if you talk to someone, write down the person’s name and what was said.
- ☐ Send private messages via social media sites (using confidentiality protection strategies).
- ☐ Search online white page websites, public record websites, and online commercial data services to get possible numbers for the participant, relatives, and friends.
- ☐ Review any returned correspondence for address updates. Make sure to log all addresses on the contact log about which letters you sent, when sent, and from where they were returned.
- ☐ Check vital records such as the Social Security Death Index (SSDI), the National Death Index (NDI), and court records.
- ☐ Check specialized institutional information systems such as the U.S. Department of Veterans Affairs and the Homeless Management Information System.
- ☐ Go door knocking.

Source: SAMHSA. Staying in Touch: A Fieldwork Manual of Tracking Procedures (Third Edition). Ref-604. Rockville, MD: SAMHSA, 2016, p. 134. Available at: https://ohiososevaluation.org/sites/grc_opioid_response/files/SAMHSA_Staying%20in%20Touch%20Manual_Third%20Edition.pdf.

Appendix M

Door Knocking Scripts

See the following page

Ohio’s State Opioid and Stimulant Response (SOS) Grant

Directions: Feel free to use the following scripts as guides for contacting participants in person at their places of residence, if door knocking is allowed by agency. Customize them to suit the needs of your agency with the following two basic rules from SAMHSA:

1. Never mention drugs, substance use treatment, mental health treatment, or mental health until you have validated the participant’s identity.
2. Never leave messages that may identify you or your agency as part of a mental health or substance use treatment program.

Scripts for Door Knocking

- Script #1: Participant Contact
- Script #2: No Participant Contact

Source: SAMHSA. Staying in Touch: A Fieldwork Manual of Tracking Procedures (Third Edition). Ref-604. Rockville, MD: SAMHSA, 2016, p. 144-48. Available at: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/SAMHSA-Staying-in-Touch-Manual_Third-Edition.pdf

Sample Scripts for Door Knocking

When door knocking, it is always best to have your identification visible. It is also useful to have a card or call back form to give out that contains only the project's name and telephone number.

Script # 1: Participant Contact

- **Interviewer**: "Hello, my name is ____________, and I am looking for [name]."
- **Answer**: "What do you want? Who are you?"
- **Interviewer**: "I'm _____________ and I work for [name of project]. I'm trying to locate [name], who is a participant in our health study. [Present your program-branded card.]
- **Answer**: "Yeah, I'm [name]. I remember now. It was the [name of] project about six months ago, right?"
- **Interviewer**: "In order to protect confidentiality, I need to confirm that you are a [name of project] participant before I go into more detail. Could you please give me your birth date?"
- **Answer**: "Yes, it's _____________."
- **Interviewer**: "Great, thank you. Yes, this is a follow-up interview to the one we did with you last [time frame]. We will pay you as we did the last time and I can conduct the interview right now, if you have the time. Would you like to do it here or would you prefer that we go somewhere else?"

Note: If you are at the door-knocking stage with this participant, it is important that you make all attempts to conduct the interview immediately. Do not conduct the interview in the participant's home, however, unless you are certain of privacy and safety! Parks are a good choice, weather permitting, and outdoor venues such as coffee shops and restaurants work well if there is enough privacy. Libraries and other public spaces are suitable locations.

Script # 2: No Participant Contact

- **Interviewer**: “Hello, my name is ______________. I am looking for [name].”
- **Answer**: [May be suspicious.] “There isn’t anyone here by that name. What do you want?”
- **Interviewer**: “Sorry. I work for [name of project]. [Present your program-branded card.] We are trying to locate [name] to follow up on a health study that he is participating in, and this is the address he gave us when we saw him last year.”
- **Answer**: “He doesn’t live here now. I don’t know anything about him.”
- **Interviewer**: “I understand. Could you please tell me the manager’s name [if this is an apartment or condo complex]? Do you know if any of the neighbors have been here over a year or so? They may have known him and might be able to help me locate him. I really appreciate your help.”
- **Answer**: “The manager’s in apartment number 2 and I don’t know my neighbors, but the people living next door were here when I moved in.”
- **Interviewer**: “Thank you very much for your time. Goodbye.” [Proceed to other sources.]

Ohio's State Opioid and Stimulant Response (SOS) Grant

Sample Scripts for Door Knocking

Directions: Feel free to use the following scripts as guides for contacting participants in person at their places of residence, if door knocking is allowed by agency. Customize them to suit the needs of your agency with the following two basic rules from SAMHSA:

1. Never mention drugs, substance use treatment, mental health treatment, or mental health until you have validated the participant's identity.
2. Never leave messages that may identify you or your agency as part of a mental health or substance use treatment program.

Scripts for Door Knocking

- Script #1: Participant Contact
- Script #2: No Participant Contact

Source: SAMHSA. Staying in Touch: A Fieldwork Manual of Tracking Procedures (Third Edition). Ref-604. Rockville, MD: SAMHSA, 2016, p. 144-48. Available at: https://ohiososevaluation.org/sites/grc_opioid_response/files/SAMHSA_Staying%20in%20Touch%20 Manual_Third%20Edition.pdf

SAMHSA CSAT Scripts for Door Knocking
When door knocking, it is always best to have your identification visible. It is also useful to have a card or call back form to give out that contains only the project's name and telephone number.

Script # 1: Participant Contact

- **Interviewer**: "Hello, my name is ____________, and I am looking for [name]."
- **Answer**: "What do you want? Who are you?"
- **Interviewer**: "I'm _____________ and I work for [name of project]. I'm trying to locate [name], who is a participant in our health study. [Present your program-branded card.]
- **Answer**: "Yeah, I'm [name]. I remember now. It was the [name of] project about six months ago, right?"
- **Interviewer**: "In order to protect confidentiality, I need to confirm that you are a [name of project] participant before I go into more detail. Could you please give me your birth date?"
- **Answer**: "Yes, it's _____________."
- **Interviewer**: "Great, thank you. Yes, this is a follow-up interview to the one we did with you last [time frame]. We will pay you as we did the last time and I can conduct the interview right now, if you have the time. Would you like to do it here or would you prefer that we go somewhere else?"

Note: If you are at the door-knocking stage with this participant, it is important that you make all attempts to conduct the interview immediately. Do not conduct the interview in the participant's home, however, unless you are certain of privacy and safety! Parks are a good choice, weather permitting, and outdoor venues such as coffee shops and restaurants work well if there is enough privacy. Libraries and other public spaces are suitable locations.

Script # 2: No Participant Contact

- **Interviewer**: “Hello, my name is _____________. I am looking for [name].”
- **Answer**: [May be suspicious.] “There isn’t anyone here by that name. What do you want?”
- **Interviewer**: “Sorry. I work for [name of project]. [Present your program-branded card.] We are trying to locate [name] to follow up on a health study that he is participating in, and this is the address he gave us when we saw him last year.”
- **Answer**: “He doesn’t live here now. I don’t know anything about him.”
- **Interviewer**: “I understand. Could you please tell me the manager’s name [if this is an apartment or condo complex]? Do you know if any of the neighbors have been here over a year or so? They may have known him and might be able to help me locate him. I really appreciate your help.”
- **Answer**: “The manager’s in apartment number 2 and I don’t know my neighbors, but the people living next door were here when I moved in.”
- **Interviewer**: “Thank you very much for your time. Goodbye.” [Proceed to other sources.]

Endnotes

[1] See: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/CSAT_GPRA_Tool_Revised_2023.pdf

[2] See: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/CSATGPRAToolSpanish.pdf

[3] SAMHA CSAT GPRA TOOL: Frequently Asked Questions, July 2024, V5. Available at: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/20240731_OE_SPARS_CSAT_GPRA_General_FAQs__version5.0.pdf

[4] SAMHSA. CSAT. Government Performance and Results Act Client Outcome Measures for Discretionary Programs Tool (GPRA Tool) Question-by-Question Guide. Feb. 2024, V3.1. Available at: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/20240213-OE-SPARS-CSAT-GPRA-Tool-QxQ_508_0.pdf

[5] SAMHSA. Staying in Touch: A Fieldwork Manual of Tracking Procedures (Third Edition). Ref-604. Rockville, MD: SAMHSA, 2016. Available at: https://www.ohiososevaluation.org/sites/grc_opioid_response/ files/documents/SAMHSA-Staying-in-Touch-Manual_Third-Edition.pdf

[6] SAMHSA. SPARS CSAT Technical Assistance Guide: Improving client participation in GPRA follow-up interviews. Rockville, MD: SAMHSA, no date. Available at: https://www.ohiososevaluation.org/sites/ grc_opioid_response/files/documents/SPARS-CSAT-TA-Guide_Improving_Followups_ref-679.pdf

[7] See: https://mha.ohio.gov/know-our-programs-and-services/state-opioid-and-stimulant-response/resources/resources

[8] See: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/SOS-Required-Sections-GPRA-Tool__02-2025.pdf

[9] See: https://ohiososevaluation.org/docs/SOS-EPE-Framework.PDF

[10] See: https://ohiososevaluation.org/docs/SOS-Scripts-Introduce-Program.pdf

[11] See: https://ohiososevaluation.org/docs/SOS-GPRA-Intake-Script.pdf

[12] See: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/SOS-Consent-Form-Revised-11.8.23.pdf

[13] See: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/SOS-Client-Consent-Form-Spanish.pdf

[14] See: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/SOS-Consent-Form-Revised_fill.pdf

[15] See: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/SAMHSA-Locator-Form.pdf

[16] See: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/Gift_Card_Mailing_Information_Form-12-2024.pdf

[17] See: https://ohiososevaluation.org/docs/SOS-GPRA-Laminated-Reminder-Card.pdf

[18] See: https://ohiososevaluation.org/docs/SOS-Example-Thank-You-Letter.pdf

[19] See: https://ohiososevaluation.org/docs/SOS-Eligibility&Data-Entry-Form.pdf

[20] See: https://ohiososevaluation.org/docs/SOS-BLANK-Client-Tracking-Spreadsheet.xlsx

[21] See: https://ohiososevaluation.org/docs/SOS-Client-Tracking-Log.pdf

[22] See: https://www.ohiososevaluation.org/sites/grc_opioid_response/files/documents/SAMHSA-Mini-Locator-Form.pdf

[23] See: https://ohiososevaluation.org/docs/SOS-GPRA-Reminder-Postcard.pdf

[24] See: https://ohiososevaluation.org/docs/SOS-Telephone-Scripts.pdf

[25] See: https://ohiososevaluation.org/docs/SOS-Scripts-Overcome-Hesitancy.pdf

[26] See: https://ohiososevaluation.org/docs/SOS-Example-Follow-up-Letter.pdf

[27] See: https://ohiososevaluation.org/docs/SOS-Hard-to-Find-Client-Checklist.pdf

[28] See: https://ohiososevaluation.org/docs/SOS-Door-Knocking-Scripts.pdf