

**Transformation Accountability (TRAC)**  
Center for Mental Health Services

**NOMs Client-Level Measures for Discretionary  
Programs Providing Direct Services**

**QUESTION-BY-QUESTION  
INSTRUCTION GUIDE  
For Adult Programs**



May 2011  
*Version 9*

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## GENERAL OVERVIEW

These instructions are for collecting the Center for Mental Health Services (CMHS) NOMs Client-level Measures for Discretionary Programs Providing Direct Services to Adults, **also known as Services Activities**. CMHS grantees that provide direct services to consumers are required to collect data from each consumer who receives grant-funded services. Grantees collect these data from individual consumers using the NOMs Client-level Measures tool, **also known as the Services tool**. Data are collected throughout a consumer's episode of care.

- A *consumer* is defined as a person who is actively in treatment with a CMHS funded program.
- *An episode of care* begins when the consumer enters treatment or services, as defined by the program, and ends when the consumer is discharged and no longer receiving treatment or services with that grantee. A new episode of care begins when a consumer returns for treatment after a lapse of service of 90 calendar days or more or after being discharged.

For each episode of care, an attempt must be made to interview the consumer at baseline, 6-month reassessment intervals (calculated as 180 calendar days), and discharge.

The sections below provide general interviewing guidelines, an overview of the how consent impacts the structure of the interviews, and a table showing which sections are administered at every interview.

## **INTERVIEWING GUIDELINES**

Before starting the interview, consider using a calendar to mark off the last 30 calendar days or asking the consumer if he or she keeps a calendar. Many questions in the Services tool refer to the last 30 calendar days and having a calendar present may assist with the consumer's recall.

You must conduct interviews in-person, unless you obtain a waiver by contacting the TRAC Help Desk. (The waiver must be approved by the TRAC Administrator and your GPO). The consumer should answer all applicable questions as described below in Table 1 and Table 2.

### ***Reading the questions:***

At the beginning of each section, introduce the next set of questions, (e.g., "Now I'm going to ask you some questions about...").

Read each question as it is written. Instructions written in all capitals and italicized should not be read to the consumer. If a consumer has difficulty understanding a question it is acceptable to explain the question to him/her using the descriptions listed in this guide. However, do not change the wording of the question.

Read response categories that appear in sentence-case lettering, which includes upper-case and lower-case (e.g., Central American or Strongly Disagree).

If all response categories are in capital letters, ask the question open-ended; do not read any of the response categories listed.

### ***Recording the answers:***

- NOT APPLICABLE is an available response for appropriate items. For those items, if a consumer does not feel the question applies to them, choose NOT APPLICABLE as his or her response to that question.
- The response option REFUSED is provided for all items that are asked of the consumer. If the consumer refuses to answer a question, check REFUSED.
- The response options DON'T KNOW or UNDECIDED are provided for all items with the exception of the questions in Sections A. If the consumer does not know the answer to a question, check DON'T KNOW or UNDECIDED as applicable.
- The REFUSED and DON'T KNOW response options are not available for items that are supplied by the grantee.

## **DATA COLLECTION POINTS**

The following tables present the data collection points and required information. A summary of the tables follows.

**Table 1. Interviews Completed**  
*Data collection points and required information, for interviews completed*

Data Collection Points	Record Mgmt	Section A	Sections B, C, D, E, & G (and H, when applicable)	Section F	Section I	Section J	Section K	Data Collected	Data Entered into TRAC
Baseline Assessment (Required for all consumers, except those who refuse or do not provide consent)	X	X	X					Complete interview within 7 calendar days of a consumer entering treatment	Within 30 days of completing interview
Reassessment	X		X	X	X		X	Interview conducted every 180 calendar days from the Baseline interview date for the duration of the consumer's treatment  Timeframe for completing the interview is 30 calendar days before and after interview due date  If reassessment interview was conducted within 30 calendar days of a Clinical Discharge, no Clinical Discharge Interview is needed but must submit Admin Clinical Discharge	Within 30 days of completing interview
Clinical Discharge	X		X	X		X	X	Conduct interview same day	Within 30 days of completing interview

**Table 2. Interviews Not Completed**  
*Data collection points and required information, for interviews not completed*

Data Collection Points	Record Mgmt	Section A	Sections B, C, D, E, and G	Section F	Section H (when applicable)	Section I	Section J	Section K*	Data Collected	Data Entered into TRAC
Baseline Assessment (Note: Baseline interviews are required for all consumers; refusal and non consent are the only reasons why the baseline interview should not be conducted.)	X	X			X				Indicate in question 2 that an interview was not completed. Indicate in question 2a why the interview was not completed Indicate in question 2b if an attempt to conduct an interview will be made at next reassessment or if administrative data only or no data will be collected.	Before the start of the next reassessment window
Reassessment	X				X	X		X	Indicate in question 2 that an interview was not completed. Indicate in question 2a why the interview was not completed. If previously indicated at baseline that only administrative data or no data were to be collected then only the appropriate sections are completed (Record Management and Sections I & K). Indicate in question 2b if an attempt to conduct an interview will be made at the next reassessment.	Before the start of the next reassessment window

**Table 2. Interviews Not Completed**  
*Data collection points and required information, for interviews not completed (continued)*

Data Collection Points	Record Mgmt	Section A	Sections B, C, D, E, and G	Section F	Section H (when applicable)	Section I	Section J	Section K*	Data Collected	Data Entered into TRAC
Clinical Discharge	X				X		X	X	<p>Indicate in question 2 that an interview was not conducted.</p> <p>Indicate in question 2a why the interview was not completed. If previously indicated at baseline or a reassessment that only administrative data or no data were to be collected then only the appropriate sections are completed (Record Management and Sections J &amp; K)</p> <p>Indicate in 2c what data will be entered (Record Management and Sections J &amp; K or just Record Management and Section J).</p>	Within 30 calendar days of discharge

\*Some grants may have an Institutional Review Board approval that does not allow collection of Section K data without consent. In those cases, Section K data should not be collected as part of an administrative discharge. For all other administrative discharges, Section K data should be collected and entered into the TRAC system.

## Summary of Table 1 and Table 2:

- **Record Management** is completed by you about the consumer at all data collection points, regardless of whether an interview was conducted.
- **Section A** is asked of the consumer only at baseline. If the grantee is unable to obtain demographic data from a consumer interview, this information may be obtained administratively from other available grant data. If it is unavailable from another source, code it as refused. If the consumer has refused all data collection, and your organization has a policy or IRB decision preventing you from obtaining this information from other records, then these items should be coded as “REFUSED.”
- **Sections B, C, D, E, G, and H (if applicable)** are asked of the consumer during baseline, reassessment and clinical discharge interviews.
- **Section F** is asked of the consumer at reassessment and clinical discharge interviews.
- **Section H** consists of program specific data. Some, but not all, CMHS grant programs require Section H. If applicable to your program, Section H data should be collected for all assessments (Baseline, Reassessment, and Discharge) and for any interview (conducted or non-conducted). If a consumer has specified that “no data” should be collected about them in question 2b or 2c, then Section H is not collected. See Appendix A for a list of CMHS grant programs that require Section H.
- **Section I** is completed by the grantee about the consumer only at reassessment, regardless of whether an interview was conducted (Administrative reassessment).
- **Section J** is completed by you about the consumer only at clinical discharge, regardless of whether an interview was conducted (Administrative clinical discharge).
- **Section K** is completed by you about the consumer at reassessment and clinical discharge, regardless of whether an interview was conducted (Administrative reassessment or clinical discharge).

## CONSENT

The consumer or proxy may indicate that he/she does not want to be interviewed. If this happens the interview should not be conducted. A refusal to the current interview may or may not apply to future interviews or data collection. Upon the start of a new episode of care consumers begin with a “clean slate” and a baseline interview should be attempted.

### *Items to consider:*

- Reassessment interviews should be attempted at each cycle until a consent issue prohibits it or the consumer is discharged.
- At discharge consumers should be interviewed. If they are unavailable the grantee will enter an administrative discharge.
- You should decide whether to make an attempt to conduct reassessment and discharge interviews for consumers who refused an earlier interview based on relevant organizational policies or IRB decisions.
- You should decide whether to provide administrative data at the reassessment based on relevant organizational policies or IRB decisions.

### ***Timeframe for Interview Completion and Submission***

**Baseline:** For consumers that initiate an episode of care after your grant begins using TRAC, baseline interviews must be completed within seven calendar days after the episode of care is initiated.

For consumers that were already receiving care when your grant began using TRAC, baseline interviews must be completed the next time your project has contact with the consumer.

The completed interview must be entered into the TRAC system within 30 calendar days of the interview date.

Grants that collect the baseline interview closer to the time the consumer initiates treatment will be advantaged in the reporting of outcomes, since the greatest improvement in outcomes is likely to occur near the start of treatment.

It may not be feasible to conduct a baseline interview for consumers who are seeking treatment after experiencing a crisis or trauma. If it is not possible to conduct the baseline interview right away, you should conduct the interview as soon as possible but no longer than 30 calendar days after an episode of care is initiated.

If a consumer is unable or unwilling to provide consent for the baseline interview, complete Record Management and Section A: Demographic Data. Make sure to indicate what data will be submitted for next reassessment (e.g., interview data, administrative data or no data).

**Reassessment:** Reassessment interviews should be completed every 6 months (calculated as 180 calendar days) after the baseline interview date for the duration of the consumer’s episode of care. The completed interview must be entered into the TRAC system within 30 calendar days of the interview date.

When a new episode of care is initiated because a consumer re-enters treatment after a discharge or a lapse in services of 90 calendar days or more, the timing of the reassessments will be based on the baseline interview date for the new episode of care.

#### **Reassessment Interview Rate**

The goal is to conduct reassessment interviews with 100% of consumers for whom a baseline record is submitted. You are not responsible for finding consumers to conduct the reassessment interview. However, this does not apply if a reassessment interview is a program or grant requirement.

#### **Window or Timeframe Allowed for Completing the Reassessment**

You do not have to complete the 6-month reassessments on the consumer’s exact due date. For interviews to count toward your reassessment interview rate, you must complete the reassessment interviews within a window that starts 30 calendar days before and ends 30 calendar days after the interview due date.

You are not required to conduct interviews outside the reassessment window; however doing so will provide complete data that will be useful to you and to CMHS. Interviews that are conducted and submitted outside the window will be accepted by TRAC and the data will be available in your data download and for use by CMHS. However, interviews that are submitted outside of a window (before or after) will not be counted toward your reassessment interview rate.

#### **Requirements for Collecting Administrative Reassessment Data**

If a reassessment interview is not conducted, you are required to enter the following administrative information into the TRAC system before the start of the next reassessment window.

- Record Management. For question 2, which asks whether the interview was completed, select “No” and indicate in 2a the reason the interview was not completed. Follow the appropriate skip patterns.
- Section H (if applicable)
- Section I (Reassessment status)
- Section K (Services received)

If administrative information is submitted in place of an interview and you are able to conduct a reassessment interview before the window for the next reassessment begins, you will need to contact the TRAC Help Desk to enter the interview record.

### **Example Data Collection Points for Reassessment**

The specific dates for a reassessment interview will be determined by the interview date for a consumer's baseline interview. For example:

- *Reassessment Interview Due (every 180 calendar days for duration of consumer's treatment):* A consumer enters the grant on January 3<sup>rd</sup> and completes the baseline interview. The consumer will be due for a 6-month reassessment interview on July 2<sup>nd</sup> and a 12-month reassessment interview on December 29<sup>th</sup> of the same year. For any reassessment the consumer does not complete, you must submit administrative information, as described above.

**Clinical Discharge:** Clinical discharge interviews must be completed at the time of discharge. The completed interview must be entered into the TRAC system within 30 calendar days of the interview date.

### **Clinical Discharge Defined**

A clinical discharge is defined by the grant. However, if the consumer has not had contact with the project for 90 calendar days or more or the consumer has died; the consumer should be considered discharged. Contact refers to services or referrals provided, phone calls related to a treatment plan (not scheduling), or crises intervention or emergency services.

### **Requirements for Conducting Clinical Discharge Interviews**

It is up to you to identify when discharge interviews are due. If the consumer is present on the day of discharge, a discharge interview must be conducted that day. You are not responsible for finding the consumer to conduct the clinical discharge interview. This does not apply if a clinical discharge interview is a program or project requirement.

### **Requirements for Collecting Administrative Clinical Discharge Data**

If a clinical discharge interview is not conducted, you are required to enter the following administrative information into the TRAC system within 30 calendar days of discharge or of being notified of the consumer's death:

- Record Management (check "No" for the question regarding whether the interview was completed, indicate why the interview was not completed and follow the appropriate skip patterns)
- Section H (if applicable)
- Section J (Clinical Discharge Status)
- Section K (Services Received)

If an administrative clinical discharge is submitted in place of an interview and then a clinical discharge interview is conducted, you will need to contact the TRAC Help Desk to enter the interview record.

If a reassessment interview was conducted within 30 calendar days of a discharge, a separate clinical discharge interview is not required. However, an administrative clinical discharge must be completed.

### **Example Data Collection Points for Clinical Discharge**

The dates for clinical discharge interviews or administrative data will be determined by the date of discharge or consumer's death. For example:

- *Clinical Discharge (Grantee Definition):* A consumer enters a program on June 1<sup>st</sup> and completes a baseline interview. He/she is discharged by the project according to the grantee's definition of discharge on September 1<sup>st</sup>. If possible, a clinical discharge interview should be conducted on September 1st. If the consumer is not interviewed for any reason, you should complete Record Management and Sections H (if applicable), J, and K within 30 days of discharge. Note: Some projects may prohibit the collection of Section K.
- *Clinical Discharge - Lost contact with grantee:* A consumer enters a program on June 1st and completes the baseline interview. He/she is then not in contact with the program for 90 calendar days or more since the last service encounter. You must complete the Record Management and Sections H (if applicable), J, and K in the TRAC system within 30 calendar days after the consumer lost contact (the 91st day he/she was not in contact with the grantee).
- *Clinical Discharge – Consumer death:* A consumer enters a program on June 1st and completes the baseline interview. The grantee is notified of the consumer's death in August. The grantee must complete Record Management and Sections H (if applicable), J, and K in the TRAC system within 30 calendar days of the notification.

This Question-by-Question Instruction Guide is organized according to the sections of the Services tool. For each section there is an overview and definitions that apply to the items in that section. The following information is provided about each question:

- Intent/Key Points** Describes the intent of the question.
- Additional Probes** Offers suggestions for probes that may help prompt the consumer's memory during the interview.
- Coding Topics** Clarifies how to count or record certain responses. Please pay close attention to coding topics because they address questions that could otherwise produce vague answers.
- Cross-Check Items** Alerts the interviewer to items that should be related, and answers that should be verified if a contradiction occurs during the course of the interview.
- Skip Pattern** Indicates which items should be skipped and under what circumstances. There are certain questions that are irrelevant based on how a consumer answered a previous question.

A Spanish version of the paper Services tool is available on the TRAC website for download. In cases where a consumer speaks a language other than English or Spanish, you should follow the same procedures for collecting the data as used to obtain any other information for that consumer.

## RECORD MANAGEMENT

### OVERVIEW

This section pertains to the collection of the consumer's identification for the TRAC system, the grantee information, and consumer's interview information.

The Record Management Section is **not** asked of the consumer, but is supplied by you. The Record Management information must be filled in for each interview, regardless of whether an interview was conducted.

### *Coding Topics/Definitions*

**Consumer ID** A unique consumer identifier that is determined by the grantee. It can be between 1 and 11 characters and can include both numerals and letters. It cannot begin with a dash or contain non-alphanumeric characters, including any of the following: ".[]!@#\$\$%^&\*(.)", with the exception of dashes or underscores. This ID is intended to track a specific consumer through his/her interviews, baseline, clinical discharge, and 6-month reassessments (calculated as 180 calendar days), while maintaining the anonymity of the consumer. The same unique ID is used each time, regardless if the consumer has more than one episode of care (i.e., if he/she is discharged or leaves treatment for 90 days or more and then returns). This consumer ID allows for unduplicated counts across all CMHS service programs. To protect the consumer's identity, do not use any information that could identify the consumer. This includes using, but is not limited to, the consumer's name, initials, date of birth or Social Security Number as all or part of the Consumer ID.

**Contract/Grant ID** The CMHS assigned grant identification number. The identifier begins with a single number between 1 and 5. For example, a grant ID may be 1 SM12345. For the purpose of the TRAC project, the identifying portion of the number is SM12345; the first number is not needed. A maximum of 10 digits may be used.

**Site ID** Sites associated with a CMHS grant will be assigned a site identification number by the TRAC Help Desk. The purpose of the site ID is to associate consumer data entered by a site to the appropriate grant in the TRAC system. This ID will be sent from the TRAC Help Desk to users via email.

1

**ASSESSMENT TYPE**

***Intent/Key Points***

Indicate the type of interview that is being completed. **Remember these questions are not asked of the consumer, but are completed by you.** Please refer to the Introduction for more information about the timing of assessments, and the requirements for conducted and administrative interviews.

***Coding Topics/Definitions***

*Baseline Assessment*—The initial interview conducted for at the start of an episode of care. If a consumer ends one episode of care and begins another, as described in the Introduction section, a new baseline interview must be administered using the same consumer ID. **Baseline interviews are required for all consumers.**

*Reassessment interviews*—Periodic reassessment interviews conducted every 6 months, (calculated as 180 calendar days). Required for all consumers.

*Clinical discharge*—A final interview conducted at the time the consumer is discharged from the program. Required for all consumers.

***Cross-Check Items***     None

***Skip Pattern***             None

<b>2</b>	<b>INTERVIEW CONDUCTED?</b>
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***Intent/Key Points***

The intent of this question is to indicate whether or not an interview with the consumer is going to be conducted at this time.

***Additional Probes***                      None

***Coding Topics/ Definitions***   None

***Cross-Check Items***                None

***Skip Pattern***

If “YES”, the interview will be conducted then go to Question 3 of Record Management.

**2a Why was the interview not conducted? Choose only one.**  
**[PLEASE MARK YOUR ANSWER UNDER THE COLUMN RELATING TO THE ASSESSMENT TYPE]**

	Baseline Assessment	Reassessments	Clinical Discharge
Consumer refused interview	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Not able to obtain consent from proxy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Consumer was impaired/unable to provide consent	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Consumer cannot be reached for interview		<input type="radio"/>	<input type="radio"/>
Staff previously indicated “Administrative data only” or “No data” would be submitted		<input type="radio"/> <b>[IF THIS ANSWER IS SELECTED, GO TO SECTION I]</b>	<input type="radio"/> <b>[IF THIS ANSWER IS SELECTED, GO TO SECTION J]</b>

### ***Intent/Key Points***

The intent of this question is to indicate why an interview was not conducted with the consumer. The table rows are the responses and the table columns are the interview type. Record the response for the appropriate interview type.

***Additional Probes***                      None

***Coding Topics/ Definitions***    None

***Cross-Check Items***                    None

### ***Skip Pattern***

Shaded parts of the table indicate that an answer in that cell is not a valid answer.

***For Reassessments:*** If the response recorded is “Staff previously indicated ‘Administrative data only’ or ‘No data’ would be submitted” then go on to Section I. For all other Reassessments, go to question 2b.

***For Clinical Discharge:*** If the response recorded is “Staff previously indicated ‘Administrative data only’ or ‘No data’ would be submitted” then go on to Section J. For all other Clinical Discharges, go to question 2c.

**2b What data will be submitted for the next reassessment?**

***Intent/Key Points***

The intent of this question is to determine what data (interview, administrative data or no data) will be submitted at the next reassessment.

***Additional Probes***                      None

***Coding Topics/ Definitions***

*Interview data.* Most of the time, you will plan on submitting interview data at the next reassessment, unless the consumer refused to complete all future interviews as well as the current interview.

*Administrative data only – [Record Management, Sections H (if applicable), then I or J, & K] – will not attempt any subsequent interviews.* Select this response if the consumer refuses to complete the current interview **and** all of the following apply:

- The consumer also refuses all future interviews; and
- Your project **does not** have an organizational policy or IRB decision that prevents submission of administrative data.

You will still be responsible for completing the record management section and Sections H (if applicable) and I (for reassessments) or Sections H (if applicable) J, & K (for a clinical discharge).

*No data – will only provide discharge status [Record Management & Section J] when discharged.* Select this response if the consumer refuses to complete the current interview *and* all of the following apply:

- The consumer also refuses all future interviews; and
- Your project **does** have an organizational policy or IRB decision that prevents submission of administrative data.

***Cross-Check Items***                      None

***Skip Pattern***                              None

**2c [CLINICAL DISCHARGE ONLY] What data will be submitted for this Clinical Discharge?**

***Intent/Key Points***

The intent of this question is to determine whether Sections H (if applicable) and K will be completed at discharge.

***Additional Probes*** None

***Coding Topics/ Definitions*** None

***Cross-Check Items*** None

***Skip Pattern*** None

**3 WHEN WAS THE INTERVIEW CONDUCTED OR ATTEMPTED?**

***Intent/Key Points***

The intent of this question is to record when the current interview was conducted or attempted.

*Baseline (Administrative or Interview)* – enter the date [month/day/ year], using numbers, the consumer interview was attempted or completed. This date should be on or after the grant start date and the grant target start date *and* on or before the current date. The baseline interview date will determine when subsequent reassessment interviews are due.

*Reassessment (Administrative or Interview)* – enter the date [month/day/year], using numbers, the interview was attempted or completed. This date must be after any previous interview date or date an administrative record was entered in the TRAC system (excluding Clinical Discharges). Note: If answered “Consumer cannot be reached for interview” in 2a, do not answer 3 go to instructions below 4.

*Clinical Discharge (Administrative or Interview)* – enter the date [month/day/year], using numbers, the interview was attempted or completed. This date must be after the most recent reassessment interview date or on or after the date an administrative reassessment was entered into the TRAC system. Note: If answered “Consumer cannot be reached for interview” in 2a, do not answer 3 go to instructions below 4.

***Additional Probes*** None

***Coding Topics/ Definitions*** None

***Cross-Check Items*** None

***Skip Pattern***

If this is a baseline go to Question 4, if this is a reassessment or a discharge then go to the instructions provided below Question 4.

<b>4</b>	<b>WHEN DID THE CONSUMER FIRST RECEIVE SERVICES UNDER THE GRANT FOR <u>THIS</u> EPISODE OF CARE?</b>
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***Intent/Key Points***

The intent of this question is to ascertain when the consumer first began receiving grant-funded services for the current episode of care.

Enter the date [month/year], using numbers, that the consumer first received services under the grant.

***Additional Probes***                      None

***Coding Topics/ Definitions***

An episode of care begins when the consumer enters treatment or services, as defined by the program, and ends when the consumer is discharged and is no longer receiving treatment or services with that grantee. A new episode of care begins when a consumer returns for treatment after a lapse of service of 90 calendar days or more or after being discharged.

***Cross-Check Items***

The date the consumer first began receiving grant-funded services for the current episode of care must be after the grant start date.

***Skip Pattern***

Baseline: If this is a baseline, go to Section A.

Reassessment: If an interview was conducted, go to Section B.

If an interview was not conducted and Section H is required for your grant program, go to Section H. If an interview was not conducted and Section H is not required for your grant program, go to Section I.

Clinical Discharge: If an interview was conducted, go to Section B.

If an interview was not conducted and Section H is required for your grant program, go to Section H, and then to Section J and K. If an interview was not conducted and Section H is not required for your grant program, go to Section J and K.

See Appendix H for a list of programs for which Section H is required.

## SECTION A: DEMOGRAPHIC DATA

### OVERVIEW

This section pertains to consumer demographic information. These questions are only asked at baseline. **Please ask the question and mark the response given by the consumer.** While some of the information may seem apparent, **ask all questions** for verification. Do not complete a response based on the consumer's appearance. If the consumer refuses to answer a question, check "REFUSED" and go to the next question.

<b>A1</b>	<b>What is your gender?</b>
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### *Intent/Key Points*

The intent of the question is to determine the consumer's gender. Enter the consumer's response, even if the consumer's response does not match his/her obvious appearance.

### *Additional Probes*

If the consumer does not understand or asks what is meant by gender you may clarify the question by asking if they prefer to be seen or if they see themselves as a man or male, woman or female, as a transgender, or other. If the consumer identifies a category that is not listed, mark "OTHER" and record the response in the space provided.

*Additional Probes*                      None

*Coding Topics/ Definitions*      None

*Cross-Check Items*                      None

*Skip Pattern*                              None

<b>A2</b>	<b>Are you Hispanic or Latino?</b>
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***Intent/Key Points***

The intent of the question is to determine whether the consumer is Hispanic or Latino, and, if Hispanic/Latino, of which ethnic group he/she considers him/herself.

**Note that this is a two-part question.** If the consumer responds that he/she is not Hispanic or Latino, check “NO” and continue with question A3. If the consumer refuses to answer this question, check “REFUSED” and go to the next question (A3). If the consumer responds that he/she is Hispanic or Latino, check “YES” **and** then inquire about which ethnic group the consumer considers him/her-self.

Read the available response options. If the consumer identifies a group that is not represented on the list, select “OTHER” and record his/her response in the space provided.

***Additional Probes***                      None

***Coding Topics/Definitions***

Response options for the first part of the question: Are you Hispanic or Latino are “YES”, “NO”, and “REFUSED”.

The follow-up question is: *[IF YES]* “What ethnic group do you consider yourself? Please answer yes or no for each of the following. You may say yes to more than one.” Read the available ethnic group response options, and allow the respondent to answer “YES” or “NO” to each; do not read the “YES”, “NO”, or “REFUSED” option. At least one “YES” must be indicated by the consumer. If the consumer identifies an ethnicity that is not on the list, select “OTHER”, and record his/her response in the space provided.

The consumer can indicate “YES” to as many as apply.

The consumer cannot indicate “NO” for all ethnic groups.

***Cross-Check Items***                      None

***Skip Pattern***

Skip the second half of the question (*[IF YES]* What ethnic group do you consider yourself?) if the answer to the first part of the question (Are you Hispanic or Latino) is “NO” or “REFUSED”.

**A3      What race do you consider yourself? Please answer yes or no for each of the following. You may say yes to more than one.**

***Intent/Key Points***

The intent of the question is to determine what race the consumer considers himself or herself. Record the response given by the consumer, not the interviewer’s opinion.

Read the available response options, and allow the respondent to answer “YES” or “NO” to each; do not read the “REFUSED” option.

***Additional Probes***                      None

***Coding Topics/Definitions***

Ask this question to all consumers, even those who identified themselves as Hispanic or Latino.

The consumer can choose “YES” to as many as apply.

The consumer may respond “NO” to all races.

***Cross-Check Items***                      None

***Skip Pattern***                              None

**A4      What is your month and year of birth?**

***Intent/Key Points***

The intent is to record the consumer’s month and year of birth. Only the month and year will be entered and saved in the TRAC system.

***Additional Probes***                      None

***Coding Topics/Definitions***

Enter date as mm/yyyy. The TRAC system will only save the month and year. Day is not asked nor saved in the TRAC system to protect the identity of the consumer.

***Cross-Check Items***                      None

***Skip Pattern***

If a baseline interview was not conducted, stop here. No additional information is required.

## SECTION B: FUNCTIONING

### OVERVIEW

This section pertains to issues of physical, emotional/mental health, and substance use. The scales in this section ask the consumer to report on their perception of their current general health (physical and emotional), daily functioning, and use of tobacco, alcohol, and other substances.

<b>B1</b> <b>How would you rate your overall health right now?<sup>1</sup></b>
--

#### *Intent/Key Points*

The intent is to determine information about the consumer’s overall health status at the time of the interview. This question applies to both physical and emotional/mental health.

For this item, read the question and response choices ranging from “excellent” to “poor” and record the consumer’s answer. Do not read “REFUSED” or “DON’T KNOW” as options.

#### *Additional Probes*

If needed, clarify that the question refers to physical, emotional and/or mental health. If you have direct knowledge about the client that appears to contradict their answer or if the answer does not seem consistent with how the client is presenting (e.g., doing an interview after serious injury or illness)—you may ask the client to clarify their answer based on this information. However, if the client chooses to remain with their original answer—record their original response and continue to the next item.

*Coding Topics/Definition*      None

*Cross-Check Items*              None

*Skip Pattern*                      None

**B2** In order to provide the best possible mental health and related services, we need to know what you think about how well you were able to deal with your everyday life during the past 30 days. Please indicate your disagreement/agreement with each of the following statements.

- a. I deal effectively with daily problems.
- b. I am able to control my life.
- c. I am able to deal with crisis.
- d. I am getting along with my family.
- e. I do well in social situations.
- f. I do well in school and/or work.
- g. My housing situation is satisfactory.
- h. My symptoms are not bothering me.

### ***Intent/Key Points***

The intent is to determine information about the consumer’s recent functioning. Ask specifically about how the consumer was able to deal with everyday life during “the past 30 calendar days”. Do not use “in the past month” as a substitute—this may lead to confusion and inaccurate responses. For example, if the interview occurs on May 15<sup>th</sup>, the last 30 calendar days covers April 15 to May 15.

Read the instructions and then each statement followed by the disagreement/agreement categories to the consumer; do not read the “REFUSED” option.

It is important to read all of the functioning statements (items B2a-h) regardless of whether the consumer refuses to respond to one of the statements. ***If the consumer refuses to answer question B2a, for example, check “REFUSED” and proceed to question B2b.***

### ***Additional Probes***

If needed, clarify that the mental health and related services refer to services, treatment, and/or medications that are provided as a result of the grant.

### ***Coding Topics/Definition***

*Mental health and related services:* Services provided as the result of this grant that pertain to people with mental illness or at risk of mental illness. When people with mental illness are the population of focus, a wide array of subject areas may be considered to be mental health-related by virtue of the connection with this population. Under such circumstances, mental health-related areas may include, for example, (but are not limited to) those pertaining to physical health, housing, employment, criminal or juvenile justice involvement, child welfare, education, social and family relationships, independent living skills, peer support, financial well-being, etc.

If the consumer indicates the question or an answer does not apply, mark “NOT APPLICABLE” in those cases where it is provided. Otherwise ask the consumer to choose

an answer; those answers that do not provide “NOT APPLICABLE” as a possible choice are considered to apply to all consumers and require an answer or refusal.

***Cross-Check Items***                      None

***Skip Pattern***                              None

<p><b>B3</b>                      <b>During the past 30 days, about how often did you feel...</b></p> <p><b>a.</b>                      <b>Nervous</b></p> <p><b>b.</b>                      <b>Hopeless</b></p> <p><b>c.</b>                      <b>Restless or Fidgety</b></p> <p><b>d.</b>                      <b>So depressed that nothing could cheer you up</b></p> <p><b>e.</b>                      <b>That everything was an effort</b></p> <p><b>f.</b>                      <b>Worthless</b></p>
---

***Intent/Key Points***

The intent is to assess how frequently the consumer experienced psychological distress within the past 30 days.

Read the instructions, then each question followed by the response options ranging from “all of the time” to “none of the time.” Do not read “REFUSED” or “DON’T KNOW” as options. If the consumer refuses to respond to a particular item, check “REFUSED” and go to the next item or question.

***Additional Probes***                      None

***Coding Topics/Definition***      None

***Cross-Check Items***                      None

***Skip Pattern***                              None

- B4 (a-l) In the past 30 days, how often have you used...**
- a. tobacco products
  - b. alcoholic beverages
    - b1. *[IF B >= ONCE OR TWICE, AND RESPONDENT MALE]* How many times in the past 30 days have you had five or more drinks in a day?
    - b2. *[IF B >= ONCE OR TWICE, AND RESPONDENT NOT MALE]* How many times in the past 30 days have you had four or more drinks in a day?
  - c. cannabis
  - d. cocaine
  - e. prescription stimulants
  - f. methamphetamine
  - g. inhalants
  - h. sedatives or sleeping pills
  - i. hallucinogens
  - j. street opioids
  - k. prescription opioids
  - l. other--specify

***Intent/Key Points***

The intent is to record information about the consumer’s recent tobacco, alcohol and other substance use in the past 30 days. Read each question<sup>2</sup> followed by the response options ranging from “never” to “daily or almost daily” and record the response. It is important to ask all of the substance use items (a-l) in question B4. Do not read “REFUSED” or “DON’T KNOW” as options. If a consumer answers “never” or refuses to answer an item, continue by asking the next item in the list.

***Additional Probes***

Probe for non-medical use of prescription-type drugs (e.g., taking more than what is prescribed, taking someone else’s prescription medication). Probe for misuse of over-the-counter (OTC) products (e.g., misuse of OTC cough syrups, cold medicines, etc.). Probe for marijuana use that is not covered by a medical marijuana card or prescription.

***Coding Topics/Definition***

Unprescribed use of prescription medication or misuse of prescribed medication, misuse of over-the-counter products should be counted and coded under the appropriate class of drug in the list. (e.g., misuse of OTC cough syrups or cold medicines can be coded as “other,” misuse of prescribed medication, such as Vicodin, should be coded under prescription opioids, etc.)<sup>3</sup> Marijuana use that is not covered by a medical marijuana card or prescription should be counted and coded as “cannabis.”

***Cross-Check Items***                      None

***Skip Pattern***                                None

**OPTIONAL      DATE GAF WAS ADMINISTERED**  
**QUESTION 1**

***Intent/Key Points***

The intent is to record the date the Global Assessment of Functioning (GAF) Scale was administered (if applicable). This information is submitted at the discretion of your project and obtained from the consumer's record. Do not ask the consumer the date of his/her GAF assessment.

***Additional Probes***                      None

***Coding Topics/Definitions***

Enter date as mm/dd/yyyy. The GAF date must be prior to the current interview date but cannot be more than 6 months older than the current interview date. Partial dates are not allowed.

***Cross-Check Items***

If the date the GAF was administered is recorded, the GAF score must also be recorded.

***Skip Pattern***

Skip the optional question regarding date the GAF was administered if the GAF score is not known or recorded; proceed to Section C in this case. Do not enter a date for GAF assessments that were conducted 6 months or more before the interview date. Do not enter partial dates.

**OPTIONAL      WHAT WAS THE CONSUMER'S SCORE?  
QUESTION 2**

***Intent/Key Points***

The intent is to record the consumer's GAF score. This information is submitted at the discretion of your project and obtained from the consumer's record. Do not ask the consumer his/her GAF score.

***Additional Probes***                      None

***Coding Topics/Definitions***

Enter the GAF score as a number between 0 and 100.

***Cross-Check Items***

If the GAF score is recorded, the date the GAF assessment was conducted must also be recorded.

***Skip Pattern***

Do not enter the GAF score if the GAF was administered more than 6 months prior to the current interview date or if the complete date (mm/dd/yyyy) the GAF was administered is not known.

## SECTION C: STABILITY IN HOUSING

### OVERVIEW

This section pertains to the consumer's housing situation in the past 30 calendar days.

<b>C1</b>	<b>In the past 30 days how many...</b>
	<b>a. nights have you been homeless?</b>
	<b>b. nights have you spent in a hospital for mental health care?</b>
	<b>c. nights have you spent in a facility for detox/inpatient or residential substance abuse treatment?</b>
	<b>d. nights have you spent in a correctional facility including jail, or prison?</b>
	<b>e. times have you gone to an emergency room for a psychiatric or emotional problem?</b>

### *Intent/Key Points*

The intent of these questions is to determine the consumer's ability to maintain life within the community during the past 30 days. Read each question and record the number of days spent in each type of setting. Do not read "REFUSED" or "DON'T KNOW" as options.

### *Additional Probes*

If the consumer is having trouble remembering, start with the past week and work backward in small increments.

### *Coding Topics/Definitions*

*HOMELESS*—defined as living in a shelter, on the street (in cars, vans, or trucks), outdoors, or in a park.

*HOSPITAL FOR MENTAL HEALTH CARE*—defined as a hospital for the care and treatment of patients affected with acute or chronic mental illness; includes a stay in the psychiatric ward of a general hospital. Do not count veteran's hospitals.<sup>4</sup>

*DETOX/INPATIENT OR RESIDENTIAL SUBSTANCE ABUSE TREATMENT FACILITY*—defined as a medically supervised treatment program for alcohol or drug addiction designed to purge the body of intoxicating or addictive substances.<sup>5</sup>

*CORRECTIONAL FACILITY INCLUDING JAIL OR PRISON*—defined as living in lockup and/or holding cells in courts or other locations, in addition to living in a prison facility.<sup>6</sup> [*Healthy Transitions Grantees*: Include juvenile detention in this category.]

### ***Cross-Check Items***

Add up the total number of nights spent homeless, in hospital for mental health care, in detox/inpatient or residential substance abuse treatment, or in a correctional facility (the total of items a-d cannot exceed 30 nights).

### ***Skip Pattern***

If the consumer indicates in items a-d that they have spent 16 or more nights in any one setting—you may skip question 2 (which asks the consumer to indicate where they have been living “most of the time” in the past 30 days).

<b>C2</b>	<b>In the past 30 days, where have you been living most of the time?</b>
-----------	--

### ***Intent/Key Points***

The intent is to determine information about the consumer’s housing situation in the past 30 calendar days. Read the item as an open ended question and then code the consumer’s response in the appropriate category.

Fifteen or more calendar days is considered most of the time.

### ***Additional Probes***

If the consumer asks what is meant by where he/she has been living most of the time, explain that it means where he/she has been staying or spending his/her nights. If the consumer is having trouble remembering, start with the past evening and work backward in small increments, i.e., “Where did you sleep last night?” “Where did you sleep most of last week?”

### ***Coding Topics/Definitions***

Check only one response. If the consumer has been living in more than one place for the past 30 calendar days, count where he/she has been living for 15 or more calendar days, or where he/she has been living the longest.

If the consumer reports that he/she has been living in 2 different places for 15 calendar days each, record the most recent living arrangement.

*OWNED OR RENTED HOUSE, APARTMENT, TRAILER, ROOM*—count living in a room, house, boarding house, dorm, public or subsidized housing, hotel/motel, room at the YMCA/YWCA, and living in an RV or trailer. Also count living in permanent supportive housing.

*SOMEONE ELSE’S HOUSE, APARTMENT, TRAILER, ROOM*—count living in the home of parent, relative, friend, and guardian.

*HOMELESS (SHELTER, STREET/OUTDOORS, PARK)*—count living in a shelter, on the street (in cars, vans, or trucks), outdoors, or in a park.

*GROUP HOME*—count living in moderately staffed housing arrangements for consumers.<sup>7</sup>

*ADULT FOSTER CARE*—count living in facilities and foster care family homes for adults who are aged, mentally ill, developmentally disabled, or physically disabled who require supervision on an ongoing basis but who do not require continuous nursing care.<sup>8</sup>

*TRANSITIONAL LIVING FACILITY*—count living in facilities focused on moving the consumer to a more independent housing arrangement; excludes living in a group home. Often includes rehabilitative services, community reentry training, and aids for independent living.<sup>9</sup>

*HOSPITAL (MEDICAL)*—count living in any hospital environment (state, county, or private) that primarily provides medical services. Do not count veterans or psychiatric hospitals.<sup>10</sup>

*HOSPITAL (PSYCHIATRIC)*—count living in a hospital for the care and treatment of patients affected with acute or chronic mental illness; includes a stay in the psychiatric ward of a general hospital. Do not count veteran’s hospitals.<sup>11</sup>

*DETOX/INPATIENT OR RESIDENTIAL SUBSTANCE ABUSE TREATMENT FACILITY*—count living in a medically supervised treatment program for alcohol or drug addiction designed to purge the body of intoxicating or addictive substances.<sup>12</sup>

*CORRECTIONAL FACILITY (JAIL/PRISON)*—count living in lockup and/or holding cells in courts or other locations, in addition to living in a prison facility.<sup>13</sup> [*Healthy Transitions Grantees*: Include juvenile detention in this category.]

*NURSING HOME*—count living in a private residential institution equipped to care for persons unable to look after themselves, as the aged or chronically ill; the difference between a group home and a nursing home is the group home is moderately staffed.<sup>14</sup>

*VA HOSPITAL*—count living in hospital facilities that the U.S. Department of Veterans Affairs operates jointly or independently.<sup>15</sup>

*VETERAN’S HOME*—count living in a nursing home, domiciliary and/or adult day health care facilities that are run by the Department of Affairs State Home Program.<sup>16</sup>

*MILITARY BASE*—count living at facilities maintained as part of a military installation or other military facility.

*OTHER HOUSED*—If the consumer’s housing situation is not included in the previous categories check “OTHER” and describe the consumer’s response in the space provided. Do not simply record the name of their housing situation; instead describe the type of housing it is. [*Healthy Transitions Grantees*: Include foster care (specialized therapeutic treatment) here and specify as *therapeutic foster care*.

Include parent or caregiver's home and specify as *parent's home* or *caregiver's home*.]

***Cross-Check Items***                      None

***Skip Pattern***                              None

## SECTION D: EDUCATION AND EMPLOYMENT

### OVERVIEW

This section pertains to the respondent's education and employment status. **Only read and explain the choices if necessary.**

**D1** Are you currently enrolled in a school or a job training program?  
[If Enrolled], Is that full time or part time?

### *Intent/Key Points*

The intent is to determine whether the consumer is currently involved in any educational or job training program.

**Note that this is a two-part question.** If the consumer responds that he/she is not enrolled, check "NOT ENROLLED". If the consumer responds that he/she is enrolled, ask if that enrollment is full- or part-time or other.

### *Additional Probes*

Job training programs can include apprenticeships, internships, or formal training for a trade.

### *Coding Topics/Definitions*

Full- or part-time definitions will depend on the institution where the consumer is enrolled.

*ENROLLED, FULL TIME*—The consumer is enrolled in an undergraduate program for 12 or more credit hours per week or a graduate program for 9 or more credit hours per week. Full-time job training programs may include those programs that are for 20 hours per week or more.

*ENROLLED, PART TIME*—The consumer is enrolled in an undergraduate program for 11 credit hours per week or less, a graduate program for 8 credit hours per week or less, or a job training program for 19 hours per week or less.

*OTHER*—The consumer is enrolled in school or a job training program, but not full or part time. Check "OTHER" and specify the terms of his/her enrollment in the space provided.

If a consumer is incarcerated, code as "NOT ENROLLED". However, if there are credits and/or a degree earned, include these in item D2.

*Cross-Check Items* None

*Skip Pattern* None

**D2            What is the highest level of education you have finished, whether or not you received a degree?**

***Intent/Key Points***

The intent is to ascertain basic information about the consumer’s formal education. Check the appropriate response to indicate the grade or year of school that the consumer has **finished, whether or not he/she received a degree**. This can include education received while incarcerated.

***Additional Probes***                      None

***Coding Topics/Definitions***

Response options for this question are as follows:

*LESS THAN 12TH GRADE*—The consumer never attended school or dropped out prior to completing 12<sup>th</sup> grade.

*12<sup>TH</sup> GRADE COMPLETED/HIGH SCHOOL DIPLOMA/EQUIVALENT(GED)*—The consumer completed 12<sup>th</sup> grade, graduated from high school, or completed a general equivalence degree.

*VOC/TECH DIPLOMA*—The consumer received his/her vocational or technical diploma training after high school.

*SOME COLLEGE OR UNIVERSITY*—The consumer completed one full year of college or university coursework or received his/her associates degree. This typically corresponds with completing between 30 and 59 credit hours of college or university coursework, or moving on to, but not completing “Sophomore” status at a college or university.

*BACHELOR’S DEGREE (BA, BS)*—The consumer received his/her undergraduate degree.

*GRADUATE WORK/GRADUATE DEGREE*—The consumer completed some graduate work or received a Master’s or Doctorate-level degree.

***Cross-Check Items***                      None

***Skip Pattern***                              None

**D3**      **Are you currently employed?**

***Intent/Key Points***

The intent is to determine the consumer’s current employment status. Focus on the consumer’s status during most of the previous week to determine whether he/she worked at all or had a regular job but was off work. Only legal employment (i.e., the job activity is legal) is counted as employment.

**Note: This is a two-part question.** First determine whether or not the consumer is employed, then his/her status. If the consumer indicates that he/she is employed you must then determine whether it is full- or part-time. If the consumer indicates that he/she is unemployed, you must then determine his/her current status as it relates to his/her unemployment.

Four or more days is considered most of the previous week.

***Additional Probes***

If the consumer responds “EMPLOYED”, ask if the job is full-or part-time.

If the consumer responds “UNEMPLOYED”, ask if he/she is currently looking for employment. You may read the response categories as a probe. Check the appropriate category. Do not make assumptions about the consumer’s reason for unemployment.

Gambling, even if it is in a legal casino is not counted as employment, unless the consumer is an employee of the casino as a dealer or in some other capacity.

***Coding Topics/Definitions***

***EMPLOYMENT***—Includes work performed even if the consumer is paid “under the table” or is working without a permit (in the case of undocumented persons) **as long as the work would be considered legal otherwise**. Employment also includes consumers who are self-employed and those who are receiving services in exchange for their work, e.g., housing, schooling or care.

***FULL TIME***—The consumer works 35 hours or more a week, regardless of how many jobs make up this time. Full time also includes day work or day labor for 35 or more hours per week. “Or would have been,” means that the consumer usually works 35 hours or more per week but in the past 30 days he/she may have taken time off due to illness, maternity/paternity leave, or a vacation. In this situation, the consumer should be intending to continue to work 35 hours or more per week.

***PART TIME***—The consumer works 1 to 34 hours per week. Part time also includes day work or day labor for fewer than 35 hours per week.

***UNEMPLOYED***—If the consumer indicates that he/she is unemployed, ask if he/she is currently looking for employment. If necessary, read all unemployed response options. Check the appropriate unemployed category.

*OTHER*—If the consumer’s work status covers more than one category, (e.g., is retired, disabled and does volunteer work) code “OTHER” and record his/her response in the space provided.

***Cross-Check Items***

Cross check the consistency of the consumer’s response for this question with the response for D1. For example, if the consumer indicates that he/she is employed full-time and enrolled full-time in school or a job-training program, ask for clarification.

***Skip Pattern***

If the consumer indicates he/she is “UNEMPLOYED”, skip to Section E.

<p><b>D3a</b>      <b>If Employed:</b></p> <ul style="list-style-type: none"><li>• Are you paid at or above the minimum wage?</li><li>• Are your wages paid directly to you by your employer?</li><li>• Could anyone have applied for this job?</li></ul>
---

***Intent/Key Points***

The intent is to collect detailed information about the type of the consumer’s employment. More specifically, the questions asked in D3a are used to determine if the consumer’s type of employment is generally considered “competitive” (e.g., working in an integrated setting and compensated at or above the minimum wage) or “sheltered” (e.g., working, but not in the labor force, possibly working for therapeutic purposes in conjunction with a mental health agency/program, in a closely supervised or protective setting.)

***Additional Probes***                      None

***Coding Topics/Definitions***

The minimum wage is the lowest wage that employers may legally pay to employees. The federal minimum wage is set by the U.S. congress. Many states also have minimum wage laws. In cases where an employee is subject to both state and federal minimum wage laws, the employee is entitled to the higher minimum wage.

- The federal minimum wage can be found on this website:  
<http://www.dol.gov/whd/flsa/index.htm>
- The states’ minimum wages can be found on this website:  
<http://www.dol.gov/whd/minwage/america.htm>

***Cross-Check Items***                      None

***Skip Pattern***                              None

## SECTION E: CRIME AND CRIMINAL JUSTICE STATUS

### OVERVIEW

This section asks basic information about the consumer's involvement with the criminal justice system. It addresses information about arrests. Even if the consumer is court mandated to treatment, these questions must be asked, and the consumer's answers recorded. There may be additional information that was not part of the court mandate. Some consumers may be reluctant to offer this information. Reassure the consumer that their identity will be protected when providing this information.

<b>E1</b> <b>In the past 30 days, how many times have you been arrested?</b>
--

### *Intent/Key Points*

The intent is to determine how many **times** the consumer has been formally arrested and official charges were filed in the last 30 calendar days. These instances should only include formal arrests, not times when the consumer was just picked up or questioned.

*Additional Probes*                      None

### *Coding Topics/Definitions*

*ARREST*—An instance when a person is seized or forcibly restrained by a law enforcement officer and is in the custody of legal authorities for a criminal charge. This does not include times when the consumer was just picked up, roused, or questioned<sup>17</sup>.

Count multiple arrests for the same charge as separate arrests.

If there is more than one charge for a single arrest, only count the arrest once.

If the consumer refuses to answer or does not know, check the appropriate box.

*Cross-Check Items*                      None

### *Skip Pattern*

For baseline interviews, skip to Section G.

## SECTION F: PERCEPTION OF CARE

### OVERVIEW

Section F is only asked at the reassessment and clinical discharge interviews. This section pertains to the consumer's perception of the services he/she received during the past 30 calendar days. Ask specifically about the consumer's perceptions during "the past 30 calendar days". Do not use "in the past month" as a substitute—this may lead to confusion and inaccurate responses. For example, if the interview occurs on May 15<sup>th</sup>, the past 30 calendar days covers April 15 to May 15. The source of these questions is the (MHSIP) survey.<sup>18</sup>

- F1**      **In order to provide the best possible mental health and related services, we need to know what you think about the services you [your child] received during the past 30 days, the people who provided it, and the results. Please indicate your disagreement/agreement with each of the following statements.**
- a.    **Staff here believe that I can grow, change and recover.**
  - b.    **I felt free to complain.**
  - c.    **I was given information about my rights.**
  - d.    **Staff encouraged me to take responsibility for how I live my life.**
  - e.    **Staff told me what side effects to watch out for.**
  - f.    **Staff respected my wishes about who is and who is not to be given information about my treatment.**
  - h.    **Staff were sensitive to my cultural background (race, religion, language, etc.)**
  - j.    **Staff helped me obtain the information I needed so that I could take charge of managing my illness.**
  - k.    **I was encouraged to use consumer run programs (support groups, drop-in centers, crisis phone line, etc.)**
  - l.    **I felt comfortable asking questions about my treatment and medication.**
  - m.    **I, not staff, decided my treatment goals.**
  - n.    **I like the services I received here.**
  - o.    **If I had other choices, I would still get services from this agency.**
  - p.    **I would recommend this agency to a friend or family member.**

### *Intent/Key Points*

The intent is to ascertain information about the consumer's perception of care for services recently received. Read the instructions and then each statement followed by the disagreement/agreement categories to the consumer; do not read the "REFUSED" option. You may designate an alternate to collect this section of questions from the consumer in cases where the information collected pertains to care given by the interviewer (in many cases the provider may also be the interviewer).

It is important to read all of the perception of care statements (items F1a-n) regardless of whether the consumer refuses to respond to one of the statements. ***If the consumer refuses to answer question F1a, for example, check “REFUSED” and proceed to question F1b.***

If the consumer indicates the question or answers do not apply, leave the question unanswered and select “MISSING DATA” in the TRAC system.

***Additional Probes***

If needed, clarify that the statements refer to mental health or related services, treatment, and/or medications. Consider preparing a list of grant-funded services that can be read to the respondent if necessary.

***Coding Topics/Definitions***

*Mental health and related services:* Services provided as the result of this grant that pertain to people with mental illness or at risk of mental illness. When people with mental illness are the population of focus, a wide array of subject areas may be considered to be mental health-related by virtue of the connection with this population. Under such circumstances, mental health-related areas may include, for example, (but are not limited to) those pertaining to physical health, housing, employment, criminal or juvenile justice involvement, child welfare, education, social and family relationships, independent living skills, peer support, financial well-being, etc.

If the consumer indicates the question or an answer does not apply, mark “NOT APPLICABLE” in those cases where it is provided. Otherwise ask the consumer to choose an answer; those answers that do not provide “NOT APPLICABLE” as a possible choice are considered to apply to all consumers and require an answer or refusal.

***Cross-Check Items***                      None

***Skip Pattern***                              None

<b>F2</b>	<b>Indicate who administered Section F - Perception of Care to the consumer for this interview</b>
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***Intent/Key Points***

The intent is to record information about who administered Section F—Perception of Care—to the consumer for each interview. This item contains information provided by you and is not asked of the consumer.

***Additional Probes***                      None

***Coding Topics/Definitions***

Please use the “other” category only in cases where no other category provided adequately describes who completed this portion of the tool with the consumer.

***Cross-Check Items***                      None

***Skip Pattern***                              None

## SECTION G: SOCIAL CONNECTEDNESS

### OVERVIEW

This section pertains to the consumer’s recent social support by persons other than his/her mental health care providers. Ask specifically about the consumer’s social connections over “the past 30 days.” Do not use “in the past month” as a substitute—this may lead to confusion and inaccurate responses. For example, if the interview occurs on May 15<sup>th</sup>, the last 30 calendar days covers April 15 to May 15. The source of these questions is the MHSIP survey.

- G1**      **Please indicate your disagreement/agreement with each of the following statements. Please answer for relationships with persons other than your mental health provider(s) over the past 30 days.**
- a. I am happy with the friendships I have.**
  - b. I have people with whom I can do enjoyable things.**
  - c. I feel I belong in my community.**
  - d. In a crisis, I would have the support I need from family or friends.**

### *Intent/Key Points*

The intent is to determine information about the consumer’s perception of his/her recent social support other than that given by a mental health provider. Read the instructions and then each statement followed by the disagreement/agreement categories to the consumer; do not read the “REFUSED” option.

It is important to read all of the social connectedness statements (items G1a-d) regardless of whether the consumer refuses to respond to one of the statements. For example, if the consumer refuses to answer question G1a check “REFUSED” and proceed to question G1b.

*Additional Probes*                      None

*Coding Topics/Definitions*      None

*Cross-Check Items*                      None

### *Skip Pattern*

**If your program does not require Section H, use the following skip pattern:**

If this is a baseline interview, stop now, the interview is complete.

If this is a reassessment interview go to the next page, Section I.

If this is a clinical discharge interview, skip to Section J.

**If your program does require Section H, use the following skip pattern:**

If this is a baseline interview, please complete Section H then stop. The interview will be complete.

If this is a reassessment interview, go to the next page, Section H, then I, and continue.

If this is a clinical discharge interview, proceed to Section H, skip Section I and go to Section J.

See Appendix H for a list of programs for which Section H is required.

## **SECTION H: PROGRAM SPECIFIC QUESTIONS**

Some programs have program specific data that is submitted to TRAC. If your program requires Section H, you will receive guidance about how and when to collect that data from CMHS.

If your program does not require Section H, you may skip this section.

See Appendix H for a list of programs for which Section H is required.

## SECTION I: REASSESSMENT STATUS

### REPORTED BY GRANTEE STAFF ABOUT THE CONSUMER AT REASSESSMENT

#### OVERVIEW

This section pertains to the consumer's status 6-months (180 calendar days) after the baseline interview or subsequent reassessment interview(s). This information is only completed at reassessment, and is reported by the grantee staff without asking the consumer. This information is required regardless of whether a reassessment interview was conducted with the consumer.

<b>I1</b>	<b>Have you or other grant staff had contact with the consumer within 90 days of the last encounter?</b>
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#### *Intent/Key Points*

The intent is to document whether the consumer's episode of care has ended.

*Additional Probes*                      None

#### *Coding Topics/Definitions*

This is a "Yes" or "No" question. For this item, you would answer NO, if:

- **The grant has not had contact with the consumer for 90 calendar days or more** and knows nothing more about the consumer's status. For the purposes of this item "contact" refers to actual services provided, referrals/phone calls made related to a treatment/service plan (not for scheduling appointments), crisis intervention, or emergency services. When this response category is checked, you will be required to conduct either a new baseline interview or a clinical discharge for the consumer at the next encounter.

*Cross-Check Items*                      None

*Skip Pattern*                              None

<b>I2</b>	<b>Is the consumer still receiving services from your project?</b>
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***Intent/Key Points***

The intent is to record whether CMHS funded services are ongoing for the consumer at your agency at the time of the reassessment interview.

***Additional Probes***                      None

***Coding Topics/Definitions***

This is a “Yes” or “No” question.

***Cross-Check Items***                      None

***Skip Pattern***

Go to Section K.

## SECTION J: CLINICAL DISCHARGE STATUS

REPORTED BY GRANTEE STAFF ABOUT THE CONSUMER AT CLINICAL DISCHARGE.

### OVERVIEW

This section is only completed at the clinical discharge, as determined by the grantee. The information in this section pertains to the consumer's clinical discharge status and is reported by the grantee without asking the consumer. This information is required regardless of whether a clinical discharge interview was conducted with the consumer.

<b>J1</b> <b>On what date was the consumer discharged?</b>
--

### *Intent/Key Points*

The intent of the question is to document when the consumer was clinically discharged from the treatment. Enter the date (month and year only) the consumer was discharged, not the date of the discharge interview.

*Additional Probes*                      None

### *Coding Topics/Definitions*

Enter date as mm/yyyy. The TRAC system will only save the month and year. Day is not saved in the TRAC system to protect the identity of the consumer. The clinical discharge date recorded must be greater than or equal to the dates of all other interviews and/or administrative records (month and year only) that precede it for the current treatment episode.

A clinical discharge is defined by the grant. However, if the consumer has not had contact with the project for 90 calendar days or more or the consumer has died; the consumer should be considered discharged. Contact refers to services or referrals provided, phone calls related to a treatment plan (not scheduling), or crises intervention or emergency services.

The completed interview (or administrative data) must be entered into the TRAC system within 30 calendar days of the interview, clinical discharge, or notification of consumer's death.

Administrative clinical discharge information for a deceased consumer is required. This information should not be entered in the reassessment status section.

*Cross-Check Items*                      None

*Skip Pattern*                              None

<b>J2</b>	<b>What is the consumer's discharge status?</b>
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***Intent/Key Points***

The intent of this question is to determine the consumer's clinical discharge status. If more than one response category applies, choose the primary reason the consumer is being discharged.

***Additional Probes***                      None

***Coding Topics/Definitions***

*Mutually agreed cessation of treatment*—consumer was compliant with the project/treatment plan and either completed or graduated or left before completion with the agreement of the treatment staff.

*Withdrew from/refused treatment*—consumer ended or did not follow the treatment against medical advice.

*No Contact within 90 days of last encounter*—consumer was not in contact with the grant for 90 calendar days or more since his/her last encounter. No other information is known about his/her status. Contact refers to services/referral provided, phone calls related to a service plan (not scheduling), or crises intervention or emergency services.

*Clinically referred out*—consumer was referred to another program or services; this includes referrals to non-CMHS funded services.

*Death*—consumer died prior to completing treatment.

*Other*—consumer's status does not meet any of the above noted conditions. For example, the consumer was **not** compliant with the treatment plan and was terminated by the grantee. Check "Other" and specify the reason for the clinical discharge the space provided.

NOTE: If a clinical discharge record (interview or administrative data) is submitted, you will have to conduct a new baseline interview for the consumer if the consumer reenters treatment at the same grantee project.

***Cross-Check Items***

If the clinical discharge interview was completed by the consumer (i.e., you checked "Yes" for conducted clinical discharge interview), then "Death" or "No contact" are not valid options for clinical discharge status.

***Skip Pattern***

If a discharge interview was conducted, continue to Section K.

If a discharge interview was not conducted and staff previously indicated that “administrative data only” would be submitted, continue to Section K.

If a discharge interview was not conducted and staff previously indicated that “no data” would be submitted, stop here.

## SECTION K: SERVICES RECEIVED

REPORTED BY GRANTEE STAFF AT REASSESSMENT AND DISCHARGE UNLESS STAFF PREVIOUSLY INDICATED “NO DATA” WOULD BE SUBMITTED

### OVERVIEW

This section describes the services provided to the consumer since his/her last interview. Services recorded in this section should include those funded or not funded by this CMHS grant. This information is not asked of the consumer, but filled in by the grantee. This information is required regardless of whether a reassessment or clinical discharge interview was conducted with the consumer.

<b>K1</b> <b>On what date did the consumer last receive services?</b>
---

### *Intent/Key Points*

The intent is to document the date (month and year only) the consumer last received services from the grantee, including CMHS-funded and non-funded services. Only the month and year is recorded to protect the identity of the consumer.

*Additional Probes*                      None.

### *Coding Topics/Definitions*

Enter date as mm/yyyy. The date provided must be on or before the reassessment or the clinical discharge date (month and year only), as applicable. The date provided must be on or after the baseline interview date (month and year only). The date provided must be on or after the most recent date recorded for the last date services were received (month and year only) if a reassessment interview or administrative data were previously recorded.

### *Cross-Check Items*

The date the consumer last received services must be on or before the current interview date and the clinical discharge date (for consumers who were discharged).

*Skip Pattern*                              None

## Core Services and Support Services

### *Coding Topics/Definitions*

**Core Services** include **mental health** services (or integrated services that include mental health) that have been provided to the consumer. The specific core services items listed below all refer to services related to mental health.

1. Screening – A gathering and sorting of information used to determine if an individual has a mental health problem, and if so, whether a detailed clinical assessment is appropriate. Screening is a process that identifies people at risk for a “disease” or disorder. As such, screening refers to a brief procedure used to determine the probability of the presence of a problem, substantiate that there is a reason for concern, or identify the need for further evaluation. In a general population, screening for a mental health problem or illness would focus on determining the presence or absence of a disorder, whereas for a population already identified at risk, the screening process would be concerned with measuring the severity of the problem and determining need for a comprehensive assessment.<sup>19</sup>
2. Assessment – To examine systematically in order to determine suitability for mental health treatment.<sup>20</sup>
3. Treatment Planning or Review – A program or method worked out beforehand to administer or apply remedies to a patient for mental health treatment.<sup>21</sup>
4. Psychopharmacological Services – The use of any pharmacological agent to affect the treatment outcomes of consumers with a mental health problem or illness; includes medication evaluation and management services.<sup>22</sup>
5. Mental Health Services – Services include individual, group, and family psychotherapy, psychiatric crisis and/or emergency services. If mental health services were provided, estimate how frequently mental health services were delivered by entering the number of times they were delivered in a given unit of time (day, week, month, year, etc.)
6. Co-occurring Services – Assistance and resources provided to consumers who suffer from both mental illness disorder(s) and substance use disorder(s).
7. Case Management – Assisting consumers with accessing services and making choices about opportunities and services; these services assist consumers and their families in making effective use of formal and informal helping systems to gather resources to live in the community.<sup>23</sup>

8. Trauma-specific Services – Designed to treat the sequelae of actual physical or sexual abuse. Examples include: grounding techniques, which help trauma survivors manage dissociative or feeling “out of body” symptoms; desensitization therapies to help to render unwanted and recurrent painful images more tolerable; and certain behavioral therapies which teach skills for the managing and modulating powerful emotions such as anger and fear. For a consumer to participate in trauma-specific services, he or she must be aware of a trauma history and recognize that current symptoms as a consequence of that trauma.
9. Was the consumer referred to another provider for any of the above core services? – Check “Yes” if the consumer was referred for any of the Core Services listed above. The intent is to determine whether the grantee networked with other service providers in the provision of Core Services.

### **Support Services**

1. Medical Care – Medical care includes a variety of activities for the promotion, prevention, and maintenance of health that is provided in various health care settings. This includes primary care and other physical health services (such as physical health screenings).<sup>24</sup>
2. Employment Services – Resources provided to help consumers to find and keep jobs, and to advance in their careers. Employment services may include vocational assessment/evaluation, job development, collaboration with an employer, vocational support groups, collaboration with family/friends regarding work issues, vocational treatment planning/career development, skills training/education, off-site vocational counseling, on-site job support or coaching, making arrangements for transportation to and from work, and/or benefits counseling and assistance regarding the impact of work on benefits receipt.<sup>25</sup>
3. Family Services – Resources provided by the state to assist in the well-being and safety of children, families and the community; includes marriage education, parenting, and child development services, and evidence-based family psychoeducation.<sup>26</sup>
4. Child Care – Care provided to children for a specified duration of time.
5. Transportation – Providing a means of transport for consumers to travel from one location to another; excludes transportation to and/or from employment.
6. Education Services – Services aimed at supporting and assisting consumers in their educational pursuits.<sup>27</sup>
7. Housing Support – Providing assistance for living arrangements to consumers.

8. Social Recreational Activities – Organizing and chaperoning community or social activities with the purpose of renewing consumers’ health and spirits through enjoyment, relaxation, and socialization. Examples include organizing the attendance of consumers to a musical concert, sporting event, social club, picnic, etc.
9. Consumer Operated Services – Peer-run service that is administratively controlled and operated by mental health consumers and emphasizes self-help as its operational approach. Consumers constitute the majority (at least 51%) of the board or group that decides all policies and procedures. With limited exceptions, the staff consists of consumers who are hired by and operate the consumer-operated services. The term ‘consumer’ for the purposes of this is defined as people who currently receive mental health services, have received mental health services in the past, or are eligible to receive mental health services but choose not to.<sup>28</sup>
10. HIV Testing – HIV Antibody Testing conducted by your project since the last interview. This test includes a HIV positive or negative status only; it does not include regular testing for antibody levels for persons with HIV. Please note this response category does not refer to testing done during screening or baseline, only since the last interview was conducted.
11. Was the consumer referred to another provider for any of the above support services? Check “Yes” if the consumer was referred for any of the Support Services listed above. The intent is to determine whether the grantee networked with other service providers in the provision of Support Services.

## **ACCESSING HELP**

For technical support or questions about TRAC, please contact the TRAC Help Desk, located at Westat. The Help Desk is open Monday through Friday.

**Telephone:** 1-888-219-0238

**Email:** [TRACHELP@westat.com](mailto:TRACHELP@westat.com)

## **APPENDIX A: SECTION H REQUIREMENTS**

CMHS grant programs have the option of adding program-specific questions to Section H of TRAC. Some programs will have questions in Section H and some will not.

### **Grant programs that require Section H:**

- Primary and Behavioral Health Care Integration (PBHCI) grants

### **Grant programs that do not require Section H:**

- Comprehensive Community Mental Health Services for Children and their Families Program (CMHI)
- Earmark grants
- Healthy Transitions Initiative (HTI)
- Jail Diversion TCE grants
- Mental Health HIV Services Collaborative (MHHSC) Projects
- Mental Health Transformation Grants (MHTG)
- NCTSI-TX Community Treatment Centers (Cat. III)
- Older Adults Targeted Capacity Expansion (TCE) grants
- Services in Supportive Housing (SSH) grants

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