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

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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.

This guide contains general interviewing and data submission guidelines, an overview of how consent impacts the structure of the interviews, and what data is required at each assessment.

GENERAL GUIDELINES FOR COLLECTING AND SUBMITTING NOMS DATA

INTERVIEWING GUIDELINES

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

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 be asked all questions as described below in Tables 1 and 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 is a normal mix of upper-case and lower-case (e.g., Central American or Strongly Disagree).

If all response categories are in all 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 option DON'T KNOW is provided for all items with the exception of the questions in Section A. If the consumer does not know the answer to a question, check DON'T KNOW as applicable.
- The REFUSED and DON'T KNOW response options are not available for items that are answered by the grantee.

DATA COLLECTION POINTS

The data collection points and required information are presented in the following tables and summarized below.

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

Data Collection Points	Record Management	Section A	Sections B, C, D, E & G	Section F	Section H (if applicable)	Section I	Section J	Section K	Data Collected	Data Entered into TRAC	System Lock Date
Baseline Assessment[1]	X	X	X		X				Complete interview within 7 calendar days of a consumer entering treatment.	Enter data within 30 days of completing interview	Data cannot be entered or edited after the system lock date (end of the quarter following when the data was collected). Example: If an interview is collected on June 1st it must be entered before October 1st.
Reassessment	X	X (A5 only)	X (Except for B5 thru B8)	X	X	X		X	Conduct an interview 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.	Enter data within 30 days of completing interview	Data cannot be entered or edited after the system lock date (end of the quarter following when the data was collected). Example: If an interview is collected on July 1st it must be entered before October 1st.
Clinical Discharge	X	X (A5 only)	X (Except for B5 thru B8)	X	X		X	X	Conduct interview same day (as discharge)[2].	Enter data within 30 days of completing interview	Data cannot be entered or edited after the system lock date (end of the quarter following when the data was collected). Example: If an interview is collected on August 1st it must be entered before January 1st.

[1] Required for all consumers – new; re-enrolling after a discharge; or returning after a 90 day or longer lapse in treatment; except those who refuse or do not provide consent.

[2] If a reassessment interview was conducted within 30 calendar days of when a consumer is discharged, a Clinical Discharge Interview is not required; however, an Admin Clinical Discharge must be submitted.

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

Data Collection Points	Record Management	Section A	Sections B, C, D, E & G	Section F	Section H (if applicable)	Section I	Section J	Section K[3]	Data Collected	Data Entered into TRAC	System Lock Date
Baseline Assessment[4]	X	X			X				Complete admin within 7 calendar days of a consumer entering treatment. Indicate in #2 (Rec Mgmt.) that an interview was not completed and why.	Enter data within 30 days of when the interview was attempted	Data must be entered in TRAC prior to the system lock date (end of the quarter following when the interview was attempted). Example: If the interview was attempted on June 15th the record must be entered into TRAC before October 1st.
Reassessment	X	X (A5 only)			X	X		X	Complete admin within 30 days of the interview due date if consumer cannot be interviewed. Indicate in #2 (Rec Mgmt.) that an interview was not completed and why.	Enter data within 30 days of the interview due date	Data must be entered in TRAC prior to the system lock date (end of the quarter following when the interview was attempted). Example: If the interview was attempted on June 15th the record must be entered into TRAC before October 1st.
Clinical Discharge	X	X (A5 only)			X		X	X	Complete admin within 30 days of discharge if consumer cannot be interviewed.[5] Indicate in #2 (Rec Mgmt.) that an interview was not conducted and why.	Enter data within 30 calendar days of discharge	Data must be entered in TRAC prior to the system lock date (end of the quarter following when the interview was attempted). Example: If the interview was attempted on June 15th the record must be entered into TRAC before October 1st.

[3] Some grants may have an Institutional Review Board (IRB) 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.

[4] Required for all consumers – new; re-enrolling after a discharge; or returning after a 90 day or longer lapse in treatment; except those who refuse or do not provide consent.

[5] If a reassessment interview was conducted within 30 calendar days of when a consumer is discharged, a Clinical Discharge Interview is not required; however, an Admin Clinical Discharge must be submitted.

Summary of Table 1 and Table 2:

- **Record Management** is completed by the grantee at all data collection points, regardless of whether an interview was conducted.

- **Section A Questions 1 through 4** are 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.

- **Section A Question 5** is a new question as of February 2014 and is asked once per episode of care; at Baseline, Reassessment or Discharge for conducted as well as admin records. As of October 1, 2014 question A5 will only be asked at Baseline.

- **Section B Questions 5 through 8 (Military Family and Deployment)** are only asked at Baseline.

- **Sections B (except for questions 5 through 8), C, D, E, and G,** 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. Currently only two programs require Section H data: PBHCI and MAI-TCE. These programs' requirements are:

  <u>PBHCI Grantees – Program Specific Data Requirements</u>
  Your Section H consists of Physical Health Indicators that should be collected at Baseline, Reassessment and Discharge for both interviews and administrative records when an interview cannot be collected.

  <u>MAI-TCE Grantees – Program Specific Data Requirements</u>
  Your Section H data consists of questions that should be collected at Baseline, Reassessment, and Discharge interviews. When an interview cannot be conducted at Baseline (administrative records) only H1 and H2 are required.

- **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 discharges).

- **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; response options for both cases are available. 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 every six months until a consent issue prohibits it or the consumer is discharged.
- Consumers should be interviewed at discharge. If the consumer is unavailable for interview at discharge, the grantee will enter an administrative discharge.
- You should decide whether to provide administrative data at the reassessment based on relevant organizational policies or IRB decisions.

TIMELINES FOR INTERVIEW COMPLETION AND DATA SUBMISSION

The following information is summarized in Tables 1 and 2 above.

Data Collection Timelines

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; all edits must be completed no later than the system lock date for the quarter in which the interview was conducted.

Grantees 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.

Requirements for Collecting Administrative Baseline Data
If a consumer is unable or unwilling to provide consent for the baseline interview, you are required to enter administrative information into the TRAC system within 7 calendar days of a consumer entering treatment; all edits must be completed no later than the system lock date for the quarter in which the consumer initiated treatment. The following administrative information is required:

- Record Management
- Section A: Demographic Data
- Section H: Program Specific Data
    - PBHCI Grantees: All questions
    - MAI-TCE Grantees: Questions 1 and 2 only

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; all edits must be completed no later than the system lock date for the quarter in which the interview was conducted.

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 unless it 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, 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. 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 within 30 days of the interview due date; all edits must be completed no later than the system lock date for the quarter in which the interview was due.

- Record Management. For question 2, which asks whether the interview was completed, select NO and indicate the reason the interview was not completed.
- Section A Question 5 is collected only once per episode of care.
- Section H (PBHCI Grantees only)
- Section I (Reassessment status)
- Section K (Services received)

If administrative information is submitted in place of an interview but you are then able to conduct a reassessment interview before the system lock date, you will need to delete the administrative record prior to entering the interview record.

Examples: Reassessment
The specific dates for a reassessment interview will be determined by the interview date of 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 3rd and completes the baseline interview. The consumer will be due for a 6-month reassessment interview on July 2nd and a 12-month reassessment interview on December 29th of the same year. For any reassessment interview 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; all edits must be completed no later than the system lock date for the quarter in which the interview was conducted.

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 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. All edits must be completed no later than the system lock date for the quarter in which the consumer was discharged.

- Record Management (check NO for the question regarding whether the interview was completed and indicate why the interview was not completed.)
- Section A Question 5 is collected only once per episode of care.
- Section H (PBHCI Grantees only)
- 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 delete the administrative record prior to entering 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.

Examples: 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 Definitions):* A consumer enters a program on June 1st and completes a baseline interview. He/she is discharged by the project according to the grantee's definitions of discharge on September 1st. 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, Section A Question 5 and Sections 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, Section A Question 5, and Sections 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, Section A Question 5, and Sections J and K in the TRAC system within 30 calendar days of the notification.

Data Submission Deadlines

NOMs Client-level Measures (Services Activities) data should be entered into the TRAC system within 30 days of the interview date or due date of the interview (for admins). All edits must be made before the system lock date. The system lock dates are shown below for FFY 2014.

FFY 2014

Services Data Collected During this Period:	Grantee should enter (interviews and admins):	System Lock Date:
Quarter 1: October 1, 2013 to December 31, 2013	Within 30 days of the interview date or when the interview was due OR Within 30 days of the discharge	April 1, 2014
Quarter 2: January 1, 2014 to March 31, 2014		July 1, 2014
Quarter 3: April 1, 2014 to June 30, 2014		October 1, 2014
Quarter 4: July 1, 2014 to September 30, 2014		January 1, 2015

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 the grantee. 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 The purpose of the Site ID is to associate the consumer data entered for a grant to a specific grant location. It is used by grantees to help them track where the services were provided or where the interview was conducted. **Grants will need to have a Site ID(s) in order to enter records in TRAC.** To request a Site ID(s), the Project Director must go into "My Account" > "Update my Grant" on the TRAC website and complete the questions under the "For Consumer Service Program Grants Only Section". The Help Desk will contact the grant with questions as necessary. The Site ID will be emailed to the grant from the TRAC Help Desk.

1 INDICATE ASSESSMENT TYPE

Intent/Key Points

Indicate the type of assessment that is being completed. **Remember these questions are not asked of the consumer, but are completed by the grantee.** 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 —The initial assessment conducted 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 must be administered using the same consumer ID.

If you choose baseline, answer the follow-up question:

- *Enter the month and year when the consumer first received services under the grant for this episode of care.*

Enter the date [month/year], using numbers. The date the consumer first began receiving grant-funded services for the current episode of care must be after the grant start date. 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.

Reassessment—Periodic reassessments conducted every 6 months for the duration of the consumer's treatment, (calculated as 180 calendar days).

If you choose reassessment, answer the follow-up question:

- *Which 6-month reassessment?*

Fill in the number which corresponds to the reassessment. For example: 06 for the 6-Month Reassessment, 12 for the 12-Month Reassessment, 18 for the 18-Month Reassessment, etc.

Clinical discharge—A final assessment conducted at the time the consumer is discharged from the program.

Cross-Check Items None

Skip Pattern None

2 WAS THE INTERVIEW CONDUCTED?

Intent/Key Points

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

Coding Topics/Definitions

Yes

If you indicate YES, answer the follow-up question:

- *When?*

Enter the month, day, and year when the interview was conducted.

For a Baseline – 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.

For a Reassessment – This date must be after the date of any previous baseline or reassessment record entered in the TRAC system.

For a Clinical Discharge – This date must be after the most recent interview date.

No

If you indicate NO, answer the follow-up question:

- *Why not? Choose only one.*

Select one of the following reasons why the interview was not conducted.

Not able to obtain consent from proxy: The grantee was unable to get consent from the consumer's proxy.

Consumer was impaired or unable to provide consent: The consumer was unable to provide consent; typically due to cognitive impairment.

Consumer refused this interview only: The consumer refused to participate in this interview only and the grantee will try to reach them for the next interview.

Consumer was not reached for interview: For reasons other than consent or refusal issues, the grantee was unable to reach the consumer in order to conduct an interview.

- *Consumer refused all interviews:* The consumer refused to participate in this and all future interviews for TRAC. If this is selected, you will not be required to submit

reassessment data and will not receive notification for future reassessments. However, you will be responsible for submitting an administrative discharge for the consumer. This includes completing the record management section, Section A Question 5, and Sections J & K.

Cross-Check Items None

Skip Pattern

Go to Section A.

SECTION A: DEMOGRAPHIC DATA

OVERVIEW

This section pertains to consumer demographic information. Questions 1 through 4 are only asked at baseline. Question 5 is asked once per episode of care at Baseline, Reassessment, or Discharge. This will enable CMHS to obtain this data for all consumers currently being served. *Note: As of October 1, 2014 Question 5 will only be asked at Baseline.*

Please ask the questions 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 the REFUSED option and go to the next question. Do not read response options in ALL CAPS.

A1 What is your gender?

Intent/Key Points

The intent of the question is to determine the consumer's gender. Ask the question open-ended and 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, transgender, or other. If the consumer identifies a category that is not listed, mark OTHER and record the response in the space provided.

Coding Topics/Definitions None

Cross-Check Items None

Skip Pattern

Questions 1-4 of Section A are only asked at Baseline. For Reassessments or Discharges go to Question 5.

A2 Are you Hispanic or Latino?
[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.

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 himself/herself.

Note that this is a two-part question. Read the first question open-ended and record the consumer's response. If the answer is yes, read the follow-up question with the available ethnic response options.

Additional Probes None

Coding Topics/Definitions

If the consumer responds that he/she is Hispanic or Latino, check YES **and** then inquire about which ethnic group the consumer considers himself/herself. Read the available ethnic group response options and allow the respondent to answer YES, or NO to each. If the consumer identifies a group that is not represented on the list, select OTHER and record his/her response in the space provided.

The consumer can indicate YES to as many ethnic groups that he/she wants.

The consumer cannot indicate NO for all ethnic groups.

Cross-Check Items None

Skip Pattern

Skip the follow-up question, "*[IF YES]* What ethnic group do you consider yourself?", if the answer to A2 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 race response options, and allow the respondent to answer YES, or NO to each. Ask this question to all consumers, even those who identified themselves as Hispanic or Latino.

Additional Probes None

Coding Topics/Definitions

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 the 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 None

A5 Which of the following do you consider yourself to be?

Intent/Key Points

The intent is to determine the consumer's sexual identity. Record the response given by the consumer, not the interviewer's opinion. If they are unsure or refuse to answer, select DON'T KNOW or REFUSED as applicable.

Please note: Question A5 is considered to be a very sensitive question. Some consumers may be uncomfortable providing this information.

As a reminder, it is important that you reassure the consumer that his/her answers are confidential, and will not be linked to their name in any way.

If the consumer refuses to answer this question mark "Refused" and continue to the survey instructions below A5.

Additional Probes None

Coding Topics/Definitions

Respondents may be uncomfortable answering this question or may express confusion over which response option to choose. Remind respondents that all answers will be kept private. Ask them to choose the response that best describes them as an individual; there is no right or wrong answer.

Cross-Check Items None

Skip Pattern

Question A5 is only asked one time per episode of care at Baseline, Reassessment, or Discharge. If the consumer has answered this question at a previous interview, do not ask A5 again; follow the skip instructions at the bottom of Section A. As of October 1, 2014, this question is only asked at Baseline.

If an interview was conducted continue to Section B.

If an interview was not conducted:

- Primary and Behavioral Health Care Integration (PBHCI) grantees: go to Section H.
- Grantees in all other programs:

  For Baselines: Stop here.

  For Reassessments: Go to Section I.

  For a Clinical Discharge: Go to Section J.

SECTION B: FUNCTIONING, MILITARY FAMILY AND DEPLOYMENT, AND VIOLENCE AND TRAUMA

OVERVIEW

This section pertains to issues of physical, emotional/mental health, substance use, consumer and family veteran status, and experiences with violence or trauma. 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. Do not read REFUSED, DON'T KNOW or NOT APPLICABLE as options.

FUNCTIONING

The functioning questions (B1 – B4) are asked at all interviews; the GAF score and date are optional but may be submitted for all interviews.

B1 How would you rate your overall health right now?[1]

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.

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/Definitions 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 15th, 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. 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.

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/Definitions

If the consumer refuses to answer a question, check the REFUSED option and continue with the next sub-question in B2.

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 the NOT APPLICABLE option as a possible choice are considered to apply to all consumers and require an answer or refusal.

> *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.

Cross-Check Items None

Skip Pattern None

B3 During the past 30 days, about how often did you feel…

a. Nervous
b. Hopeless
c. Restless or Fidgety
d. So depressed that nothing could cheer you up
e. That everything was an effort
f. Worthless

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."

Additional Probes None

Coding Topics/Definitions

If the consumer refuses to respond to a particular item, check the REFUSED option and go to the next item or question in B3.

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 (e-cigarettes, etc.):**

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[2] 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 B4. 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; for example, misuse of OTC cough syrups, cold medicines, etc. Probe for whether the consumer used marijuana that is not covered by a medical marijuana card or prescription. Probe for whether the consumer has used e-cigarettes.

Coding Topics/Definitions

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.)[3] 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 QUESTION 1	**DATE GAF WAS ADMINISTERED**

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 Not applicable

Coding Topics/Definitions

Enter the 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 and go to B5.

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

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 Not applicable

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.

MILITARY FAMILY AND DEPLOYMENT

Questions B5 and B6 (and all sub-questions) are only asked at baseline. NOTE: You may designate an alternate/appropriate provider to collect this section of responses from the consumer as the consumer may have a sensitive or traumatic reaction. At the very least, be prepared to have an appropriate provider available if the consumer needs additional support when responding to these questions. Do not read response options that are shown in ALL CAPS.

B5 Have you ever served in the Armed Forces, the Reserves, or the National Guard?
***[IF YES],* In which of the following have you ever served? Please answer for each of the following. You may say yes to more than one.**

Armed Forces, Reserves, National Guard

Intent/Key Points

The intent is to determine whether the consumer ever served in the U.S. military, and if so, for which type of service. This information will allow CMHS to better serve military families through service coordination between SAMHSA and other Federal agencies.

Note that this is a two-part question. Read the first question open-ended and record the consumer's response. If the answer is yes, read the follow-up question with the available military group response options and allow the respondent to answer YES or NO to each.

Additional Probes None

Coding Topics/Definitions

If the consumer responds that he/she served in the U.S. military, check YES **and** then inquire in which military group(s) the consumer served.

If the consumer refuses to answer the question "Armed Forces," for example, check the REFUSED option and proceed to the next military group listed.

The consumer can indicate YES, or NO to as many as apply.

> *ARMED FORCES*: all branches of the U.S. military including the Army, Air Force, Navy, Marines, and Coast Guard.[4]
>
> *THE RESERVES*: armed forces that are not on active duty but can be called in an emergency.[5]
>
> *THE NATIONAL GUARD*: state-organized units of the U.S. Army and Air Force composed of citizens who undergo training and are available for service in emergencies.

Cross-Check Items None

Skip Pattern

Questions B5 and B6 (and all sub-questions) are only asked at baseline. Skip to B9 if this is a reassessment or discharge interview.

For baseline interviews, skip the follow-up question, *[IF YES]*, "In which of the following have you ever served?", if the answer to the first part of B5 was NO, REFUSED, or DON'T KNOW.

B5a Are you currently serving on active duty in the Armed Forces, the Reserves, or the National Guard?
***[IF YES],* In which of the following are you currently serving? Please answer for each of the following. You may say yes to more than one.**

Armed Forces, Reserves, National Guard

Intent/Key Points

The intent is to determine the consumer's current U.S. military status (at time of interview).

Note that this is a two-part question. Read the first question open-ended and record the consumer's response. If the answer is yes, read the follow-up question with the available military group response options and allow the respondent to answer YES or NO to each. It is important to read all of the active duty military groups regardless of whether the consumer refuses to respond to one of them.

Additional Probes None

Coding Topics/Definitions

If the consumer responds that he/she is serving on active duty in the U.S. military, check YES, **and** then ask in which specific military group he/she is serving.

If the consumer refuses to answer the question "Armed Forces," for example, check the REFUSED option and proceed to the next military group listed.

The consumer can indicate YES, or NO to as many as apply.

> *ACTIVE DUTY:* does not include training for the Reserves or National Guard, but DOES include activation, for example, for the Persian Gulf War.
>
> *ARMED FORCES*: all branches of the U.S. military including the Army, Air Force, Navy, Marines, and Coast Guard.
>
> *THE RESERVES*: armed forces that are not on active duty but can be called up in an emergency.
>
> *THE NATIONAL GUARD:* state-organized units of the U.S. Army and Air Force composed of citizens who undergo training and are available for service in emergencies.

Cross-Check Items None

Skip Pattern

Skip the follow-up question, *[IF YES]* "In which of the following are you currently serving? Please answer for each of the following" if the answer to the first part of B5a was NO, REFUSED, or DON'T KNOW.

B5b Have you ever been deployed to a combat zone?
***[IF YES],* To which of the following combat zones have you been deployed? Please answer for each of the following. You may say yes to more than one.**

Iraq or Afghanistan (e.g., Operation Enduring Freedom/Operation Iraqi Freedom/Operation New Dawn)
Persian Gulf (Operation Desert Shield or Desert Storm)
Vietnam/Southeast Asia
Korea
WWII
Deployed to a combat zone not listed above (e.g., Somalia, Bosnia, Kosovo)

Intent/Key Points

The intent is to determine whether the consumer was ever deployed to combat.

Note that this is a two-part question. Read the first question open-ended and record the consumer's response. If the answer is yes, read the follow-up question with the available combat zone response options and allow the respondent to answer YES or NO to each. It is important to read all of the combat zones regardless of whether the consumer refuses to respond to one of them.

Additional Probes None

Coding Topics/Definitions

If the consumer responds that he/she was deployed to a combat zone, check YES, **and** then inquire about to which specific combat zone the consumer was deployed.

If the consumer refuses to answer the question "Korea," for example, check the REFUSED option and proceed to the next combat zone listed.

The consumer can indicate YES or NO to as many as apply.

> *COMBAT ZONE:* An area designated by the President of the U.S. as a zone where troops are or have engaged in combat during a specified period.[6]

Cross-Check Items

The system will run a cross-check between the year of the consumer's date of birth and the combat zone selected for this question. This check will give the interviewer an opportunity to confirm the consumer's response if the consumer was not at least 18 years of age during the combat timeframe. This is a soft-edit check, meaning that the interviewer or data entry coder may proceed to the next question regardless of the consumer's answer.

Skip Pattern

Skip the follow-up question, *[IF YES]* "To which of the following combat zones have you been deployed?", if the answer to the first part of B5b was NO, REFUSED, or DON'T KNOW.

B6 Is anyone in your family or someone close to you currently serving on active duty in or retired/separated from the Armed Forces, the Reserves, or the National Guard?

Intent/Key Points

The intent is to determine whether the consumer has a family member or close friend, etc., that is either currently serving on active duty or has formerly served in the U.S. military, and if so, for which type of service.

Read the question followed by the response options, "Yes, only one person," "Yes, more than one person," and "No."

Additional Probes None

Coding Topics/Definitions

If the consumer responds that he/she has a relative or someone close to him/her currently serving on active duty or who formerly served in the U.S. military, check either "Yes, only one person," or "Yes, more than one person.".

Cross-Check Items None

Skip Pattern

Question B6 is only asked at baseline. Skip to B9 if this is a reassessment or discharge interview.

TRAUMA AND VIOLENCE

Questions B7 and B8 are only asked at baseline; B9 is asked at all interviews.

NOTE: Trauma Questions B7 through B9 are considered to be very sensitive questions. Some consumers may be uncomfortable providing this information. As a reminder, it is important that you reassure the consumer that his/her answers are confidential, and will not be linked to their name in any way.

You can explain that the information is used to understand how the grant-funded project is working. However, if the consumer refuses to answer this question mark "Refused" and proceed to the next question.

You may designate an alternate/appropriate provider to collect this section of responses from the consumer as the consumer may have a sensitive or traumatic reaction. At the very least, be prepared to have an appropriate provider available if the consumer needs additional support when responding to these questions. Do not read response options that are shown in ALL CAPS.

B7 Have you ever experienced violence or trauma in any setting (including community or school violence; domestic violence; physical, psychological, or sexual maltreatment/assault within or outside of the family; natural disaster; terrorism; neglect; or traumatic grief)?

Intent/Key Points

The intent is to determine if the consumer has experienced any violence or trauma. This information will help in CMHS' overall goal of reducing the behavioral health impacts of violence and trauma.

Additional Probes None

Coding Topics/Definitions

Read the question open-ended to the consumer and record the response.

TRAUMA—mental health professionals define a traumatic event as a situation where both of the following occurred:

- The person experienced, witnessed, or was confronted with an event where there was the threat of actual death or serious injury. The event may also have involved a threat to the person's physical well-being or the physical well-being of another person.
- The person responded to the event with strong feelings of fear, helplessness or horror.[7]

Some examples of trauma may include: experiencing or witnessing childhood or adult physical, emotional, or sexual abuse; experiencing or witnessing physical assault; adult experiences of sexual assault, accidents, drug addiction, or illnesses complications; employment in occupations

exposed to war (such as soldiers) or disaster (such as emergency service workers); and/or getting a diagnosis of a life-threatening illness.

Cross-Check Items None

Skip Pattern

Questions B7 and B8 are only asked at baseline. Skip to B9 if this is a reassessment or discharge interview.

For baselines, if the answer to B7 was YES, go to B8; otherwise skip to B9.

B8 Did any of these experiences feel so frightening, horrible, or upsetting that in the past and/or the present you:

a. Have had nightmares about it or thought about it when you did not want to?
b. Tried hard not to think about it or went out of your way to avoid situations that remind you of it?
c. Were constantly on guard, watchful, or easily startled?
d. Felt numb and detached from others, activities, or your surroundings?

Intent/Key Points

The intent is to determine what effect or impact the violent or traumatic experience has had on the consumer.

Note that this question has four sub-questions. Read the initial question stem, then the sub-questions (B8a, B8b, B8c, and B8d) as open-ended questions.

Additional Probes None

Coding Topics/Definitions

If the consumer responds YES or NO to any of the questions, check YES or NO, and continue with the next question in B8.

If the consumer doesn't know the answer or refuses to answer any of the questions in B8, check DON'T KNOW or REFUSED, and go to the next question in B8.

Cross-Check Items None

Skip Pattern

Question B8 is only asked at baseline. Skip to B9 if this is a reassessment or discharge interview.

B9 In the past 30 days, how often have you been hit, kicked, slapped, or otherwise physically hurt?

Intent/Key Points

The intent is to determine if the consumer has suffered any physical violence in the past 30 days.

Additional Probes None

Coding Topics/Definitions

Read the question followed by the response options "Never," "Once," "A few times," and "More than a few times."

> *(Physical) violence* is defined by the World Health Organization as the intentional use of physical force or power, threatened or actual, against oneself, another person, or against a group or community that either results in or has a high likelihood of resulting in injury, death, maldevelopment or deprivation. This definitions associates intentionality with the committing of the act itself, irrespective of the outcome it produces.[8]
>
> *"A few times"* can be considered up to five times, but it is ultimately left to the consumer's interpretation.

Cross-Check Items None

Skip Pattern None

SECTION C: STABILITY IN HOUSING

OVERVIEW

Section C is asked at all interviews. This section pertains to the consumer's housing situation in the past 30 calendar days. Do not read options that are shown in ALL CAPS.

C1 In the past 30 days how many…

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

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.

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.[9]

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. [10]

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. [*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

Skip to Section D if the consumer indicates in items a-d that they have spent 16 or more nights in any one setting.

C2 In the past 30 days, where have you been living most of the time?

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. This also includes SRO, more commonly referred to as a **single room occupancy** or **single resident occupancy** (a multiple-tenant building that houses one or two people in individual rooms). Also count living in permanent supportive housing.
>
> *SOMEONE ELSE'S HOUSE, APARTMENT, TRAILER, ROOM*—count living in the home of parent, relative, friend, or 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.[11]

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.[12]

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 [13]

HOSPITAL (MEDICAL)—count living in any hospital environment (state, county, or private) that primarily provides medical services. Do not count veterans or psychiatric hospitals.[14]

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.[15]

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. [16]

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. [*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.[17]

VA HOSPITAL—count living in hospital facilities that the U.S. Department of Veterans Affairs operates jointly or independently.[18]

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.[19]

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

Section D is asked at all interviews. 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. Read the first question and if the consumer responds that he/she is enrolled, ask the follow-up question.

Additional Probes

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

Coding Topics/Definitions

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.

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

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

> *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.

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.

Additional Probes None

Coding Topics/Definitions

Read the question open-ended and 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.

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

12TH GRADE COMPLETED/HIGH SCHOOL DIPLOMA/EQUIVALENT(GED)—The consumer completed 12th 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 that 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.

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

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

> *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

Skip to Section E if the consumer indicates he/she is "UNEMPLOYED".

D3a If Employed:

- **Are you paid at or above the minimum wage?**
- **Are your wages paid directly to you by your employer?**
- **Could anyone have applied for this job?**

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

Read each sub-question open-ended and record the consumer's responses.

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

Section E is asked at all interviews. 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. Do not read response options shown in ALL CAPS.

E1 In the past 30 days, how many times have you been arrested?

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.

Read the question open-ended and record the consumer's response.

Additional Probes None

Coding Topics/Definitions

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.

> *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, rousted, or questioned.[20]

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 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 15th, the past 30 calendar days covers April 15 to May 15. The source of these questions is the MHSIP survey.[21] Do not read the response options shown in ALL CAPS.

F1 In order to provide the best possible mental health and related services, we need to know what you think about the services you 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.
g. Staff were sensitive to my cultural background (race, religion, language, etc.)
h. Staff helped me obtain the information I needed so that I could take charge of managing my illness.
i. I was encouraged to use consumer run programs (support groups, drop-in centers, crisis phone line, etc.)
j. I felt comfortable asking questions about my treatment and medication.
k. I, not staff, decided my treatment goals.
l. I like the services I received here.
m. If I had other choices, I would still get services from this agency.
n. 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. The grantee 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.

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.

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

If the consumer refuses to answer F1a, for example, check the REFUSED option and proceed to F1b.

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 questions that do not provide this option as a possible response choice are considered to apply to all consumers and require an answer or refusal.

> *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.

Cross-Check Items None

Skip Pattern None

F2 Indicate who administered Section F - Perception of Care to the consumer for this interview

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 the grantee and is not asked of the consumer.

Additional Probes Not applicable

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

Section G is asked at all interviews. 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 15th, the past 30 calendar days covers April 15 to May 15. The source of these questions is the MHSIP survey. Do not read the response options shown in ALL CAPS.

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. 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.

Coding Topics/Definitions

For example, if the consumer refuses to answer G1a check the REFUSED option and proceed to G1b.

Additional Probes 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 Section I.

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

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

If this is a baseline, reassessment or discharge interview, go to Section H.

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 the specific definitions and/or skip patterns from CMHS.

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

Refer to Appendix A: Section H Requirements for a list of programs that require Section H data.

SECTION I: REASSESSMENT STATUS

THIS SECTION IS 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.

I1 Have you or other grant staff had contact with the consumer within 90 days of the last encounter?

Intent/Key Points

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

Additional Probes Not applicable

Coding Topics/Definitions

This is a YES or NO question. For this item, the grantee 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, the grantee 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

I2 Is the consumer still receiving services from your project?

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 Not applicable

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

THIS SECTION IS 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.

J1 On what date was the consumer discharged?

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 Not applicable

Coding Topics/Definitions

Enter the 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 on or after the most recent interview and/or administrative record (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

J2 What is the consumer's discharge status?

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 Not applicable

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., the grantee checked YES, for conducted clinical discharge interview), then "Death" or "No contact" are not valid options for clinical discharge status.

Skip Pattern

Continue to Section K.

SECTION K: SERVICES RECEIVED

THIS SECTION IS REPORTED BY GRANTEE STAFF AT REASSESSMENT AND DISCHARGE UNLESS THE CONSUMER REFUSED THIS INTERVIEW OR ALL INTERVIEWS, IN WHICH CASE IT IS OPTIONAL.

OVERVIEW

This section describes the services provided to the consumer since his/her last NOMs 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 completed by the grantee. This information is required regardless of whether a reassessment or clinical discharge interview was conducted with the consumer except when the consumer has either refused this interview or all interviews. In those cases, if your grant's IRB does not allow you to report any information on the consumer, Section K is optional.

K1 On what date did the consumer last receive services?

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 Not applicable

Coding Topics/Definitions

Enter the 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

Yes—The service was provided to the consumer.

No—The service was not provided to the consumer.

Unknown—It is unknown if the service was provided to the consumer.

Service Not Available—Your organization does not provide this service to consumers.

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.[22]

2. *Assessment* – To examine systematically in order to determine suitability for mental health treatment.[23]

3. *Treatment Planning or Review* – A program or method worked out beforehand to administer or apply remedies to a patient for mental health treatment.[24]

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.[25]

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.[26]

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 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).[27]

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.[28]

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.[29]

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.[30]

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.[31]

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.

Telephone: 1-888-219-0238
Email: TRACHELP@westat.com
Hours: M-F 8:30 AM – 7:00 PM (EST/EDT)

APPENDIX A: SECTION H REQUIREMENTS

CMHS grant programs have the option of adding program-specific questions to Section H of the TRAC NOMs Client-Level Measures (Services Activities) Tool. Some programs will have questions in Section H and some will not.

Grant programs that require Section H:

- Minority AIDs Initiative – Targeted Capacity Expansion (MAI-TCE) grants
- 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)
- 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)
- Services in Supportive Housing (SSH) grants
- Systems of Care Expansion Implementation Grants

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