AMH Follow-Up Study

Participant Interview Training Manual

Prepared by NPC Research

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I. INTRODUCTION

Welcome to the AMH Follow-Up Study! The office of Addictions and Mental Health (AMH) has contracted with NPC Research to conduct a critically important study to examine the long-term effectiveness of publically subsidized alcohol and drug treatment services. Your collaboration on this effort is central to its success, and we look forward to working with you. The purpose of this study is to be able to provide information to the next legislative session about outcomes for participants in substance abuse treatment. Your agency was invited to participate because it serves a relatively large number of clients, represents a unique geographic area, and/or because it serves a large number of specific target populations, such as Native American or Hispanic clients. Our goal for the project was to have a representative sample of publically funded clients participate in the study. The success of this project is critical to continued funding for alcohol and drug treatment funding in Oregon.

As an agency representative, your role will involve three primary tasks: (1) inviting and recruiting participants into the study (including completing consent and locator forms); (2) conducting baseline interviews with incoming clients; and (3) completing a brief discharge summary for each exiting client. In your role, you will be responsible for protecting clients' confidentiality, ensuring appropriate voluntary consent procedures are followed, and collecting interviews using a standardized research protocol (which may be different from your more usual clinical role). NPC Research staff are here to help you understand how to do these activities, and will be available throughout the study to answer your questions. Today's training, and this manual, are designed to give you the information and tools you need to help this project succeed.

As we move through the training, and begin the project, please feel free to contact NPC Research staff, and in particular, Beth, Scott or Judy (see contact information below) with questions, comments, or suggestions. We are looking forward to working with each of you on this exciting project.

Sincerely,

Beth Green, Principal Investigator, green@npcresearch.com

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II. PROJECT INTRODUCTION

Purpose of the Study

The purpose of this study is to collect data on the long term outcomes of publically subsidized alcohol and drug treatment services in Oregon. Ultimately, results from this study will be provided to the Oregon State Legislature during upcoming sessions in order to bolster support for state-funded substance abuse treatment. Additionally, your agency will be provided with information about the long-term outcomes of participating clients. To collect information for the study, new clients who enroll in publically funded treatment during January and February 2010 will be invited to participate in the study. Those who agree will complete a consent form, a form with "locator information" (so that we can contact the client later to conduct follow-up interviews) and will complete a baseline interview using questions from the Addictions Severity Index (Short Form) that includes questions about their substance use (current and lifetime) as well as employment, housing, mental health, social support, medical, and other issues. This information will be collected by the designated individual(s) at each treatment agency and sent to NPC Research for data entry. Then, when the client leaves or is discharged form services, a designated representative will complete a discharge summary sheet that includes service delivery information about the client. This will also be sent to NPC. NPC Research staff will conduct interviews with clients (also using the ASI) 6 and 12 months after their initial intake interview to document key outcomes.

The table below outlines the major timeline, tasks, and individuals responsible for each for this project.

Specific Study Tasks	Individual(s) Responsible	Associated Study Forms or Tools	Timeline
Identify and invite incoming eligible clients	Agency intake workers or other designated staff	Recruitment tracking form	January 2010-March 2010 or until adequate sample size is reached
Explain the purpose of the study and obtain informed consent & locator information from clients	Agency intake workers or other designated staff	Study Consent Form Study Locator Form	January 2010-March 2010 or until adequate sample size is reached
Conduct baseline (intake) interviews with consenting clients	Agency intake workers or other designated staff	Baseline Interview Protocol	January 2010-March 2010 or until adequate sample size is reached
Send study forms (recruitment tracking, consent, interviews) to NPC	Agency intake workers or other designated staff	Mail transmittal log	January 2010-March 2010 or until adequate sample size is reached
Ongoing quality control and monitoring of incoming data	NPC Research staff	n/a	January 2010-project end
Providing training and	NPC Staff (Scott,	Training manual &	January 2010-March

technical assistance to providers during recruitment and baseline interview stage	Judy)	DVD	2010 or until adequate sample size is reached
Compile information on frequency of treatment sessions and exit status for exiting clients	Designated agency staff	Discharge Summary Form	February 2010-April 2011
Assist NPC Research data collection staff in contacting clients for 6 and 12 month interviews	Agency staff with contact with client	n/a	February 2010-April 2011
Conduct interim contact with clients 3 & 9 months after intake	NPC data collection staff	Contact database	April 2010-Jan 2011
Conduct 6 month follow up interviews with clients	NPC data collection staff	6 month interview protocol	July 2010-Sept. 2010
Conduct 12-month follow up interviews with clients	NPC data collection staff	12 month interview protocol	January 2011-March 2011
Compile and send study data to AMH	NPC staff	n/a	November 2010 May 2011

Topics Covered in this Manual

In the sections below, we present information on the following main topics: Guiding Principles and Interviewing Skills; Eligibility and Recruitment; The Interview Process and the Interview; and the Client Discharge Summary.

III. Guiding Principles and Interviewing Skills

This section of the training manual outlines general guidelines for interviewing. These guidelines ensure that each interview that is done follows a standardized protocol, so that data are collected consistently for each individual client. This standardized format is extremely important in research interviewing to ensure that data are collected reliably and with validity. However, at the same time it is important for research interviewing, just as it is in clinical work, to make the person being interviewed feel comfortable and at ease. Below are some general techniques to help with this.

Research Interviewing Techniques

As a provider conducting interviews for a research study, it is important for you to remember the role that empathy, eye contact, body language, and sensitivity to class and cultural differences plays in our ability to establish rapport with the respondent. It is also very important to be aware of nonverbal cues and how they may affect our interactions with the persons we interview. This information is very similar to the work you already provide in treatment one-on-one sessions and groups, but is somewhat different in the research setting, because therapeutic intervention is not appropriate in the research environment.

Establishing Rapport: The ability to establish rapport with the respondent will be essential to this study. You must convey empathy and understanding, listen carefully to the respondent, and be nonjudgmental. You must respect the respondents being interviewed and show them that their knowledge, experience, and feelings are important and that they are participating in important and worthwhile research.

Maintaining Neutrality: As the provider interviewer, we ask that you maintain neutrality throughout the interview. Establishing neutrality gives the respondent the ability to say anything without you showing either favor or disfavor. You must also not show shock, anger, or embarrassment. Rather, please accept whatever the respondent says without judgment.

Directness of Conversation: Directness or frankness of conversation is often culturally specific. American culture demands that people "get to the point" or "cut to the chase," but being too direct or frank may be offensive to some cultural groups, such as Native Americans and some groups of Latin descent. This point is important when conducting interviews because research participants may feel isolated and unimportant because they believe that the interviewer has interrupted their comments. With some respondents, it may be important to make small talk, compliment children, accept offers of food, etc., to put the respondent at ease. It is also important that participants understand that you **must** ask questions in a standardized way, even if it sometimes seems formal and unnatural. It is ok to explain this to research participants.

Maintaining Control of the Interview: As an interviewer, you must also maintain control of the interview. In his book, *Qualitative Evaluation and Research Methods*, Michael Q. Patton suggests that the interviewer maintains control by: (1) knowing what one wants to find out; (2) asking the right questions to get the desired answers; and (3) giving appropriate verbal and non-verbal feedback to the person being interviewed. The interviewer must use her best judgment about when to stop the interview and allow the respondent to take a break or suggest that the interview be rescheduled. If a respondent is fidgety and impatient, suggest a ten-minute break. If a respondent is too disoriented or upset to continue the interview, help her reschedule another time to complete the interview.

Role of the Clinician versus Role of the Interviewer: One of the hardest things to do when a respondent becomes distressed is to avoid taking on the role of a counselor or therapist. Remember that regardless of your background your function while conducting interviews is primarily that of an interviewer—someone objectively collecting information, not a counselor or therapist. Try to remember to: (1) Never give advice; (2) Never tell a person that she should or shouldn't feel a certain way; (3) Never tell a person that you are surprised about something she said or did.

Data Integrity: Data acquired during a study such as this are useless if they are not accurate and reliable. You must take care to administer the instruments to all study participants in a uniform way. The goal of uniform administration is that if another interviewer asked the client the same questions in the same way at a second administration, the data from the second administration would match or very nearly approximate the data from the first administration. This training is designed to assist interviewers in conducting their interviews uniformly. Finally, interview data will undergo thorough review by NPC staff to ensure completeness.

Basic Rules for Interviewing (Interviewing 101)

The following are essential skills which when employed help ensure consistent data collection across interviews. You will have plenty of opportunity to practice each of these skills during practice interview sessions during the training.

1. As the interviewer, you must read the questions exactly as they are worded in the questionnaire so as to avoid changing what is intended by the researcher. Questions must be read with no additions, deletions, or substitutions. As you become more experienced with the interview, you may think from time to time that a question is worded poorly and you have a much better way of wording that question. Please bring such questions to the attention of NPC, but it is vital that all interviewers ask each question as it is worded and that the interview is administered in a standardized way each time. The only exceptions to this rule are introductions and conclusions where content should be covered completely, but informally. Also, if it is clear that a client does not understand a question in the way it is worded, it is ok to explain it "in your own words" – however, please note that this was once on the interview, and bring it to the attention of NPC.
2. Ask the questions in the order in which they are presented in the questionnaire. Earlier questions can sometimes affect the answers to subsequent questions. Question order needs to be standardized from respondent to respondent if the interviews are to be comparable.
3. Read each question slowly and clearly. A slow but natural pace gives the respondent time to understand the full scope of the question and to formulate a careful reply. Although you will become very familiar with the interview questions during the course of the study, you must remember that it is new to each respondent, and each should be given an equal chance to understand and respond to all of the questions. For example, if a respondent repeatedly asks you to repeat a question, that could be a sign that you're going too fast. It's usually a safe bet to follow the pace of the respondent, while being sure to not rush through the interview if you find the respondent rushing through their responses.

4. Remember to read the questionnaire carefully, but informally. Speak in a natural, conversational tone. This requires that you be very familiar with the wording of the interview questions and with the transitions between sections. Being informal, however, does not mean that you may be careless in your techniques.

5. Ask every question that applies to the participant in order to avoid missing data. In answering one question, a respondent will sometimes also answer another question which appears later in the interview. Do not skip questions, even if you think that you already know the answer. It is your responsibility to make certain, wherever possible, that the respondent is fully exposed to each question specified in the questionnaire.

   If the respondent gives you information which answers a subsequent question, when you get to that question you may preface it with a remark which shows that you are aware of the earlier response, and ask (if appropriate) the respondent's cooperation in answering again.

   Even if a respondent tells you to provide a certain answer for a series of similar questions (e.g., "just put 'very effective' down for all of those") you must still ask each question. You may say, "We're asking people about each one of these, so I'd like to know how you feel about each one separately." So, always read the entire question before accepting the respondent’s answer.

6. As a general rule, you should give feedback to respondents 30% to 50% of the time. Feedback is only effective if it is varied. Examples of short, neutral feedback phrases includes:

   A. I see

   B. Uh-huh

   C. Thank you

   D. OK

   E. That’s useful for our research

7. It is ok to repeat questions that are misunderstood or misinterpreted. Occasionally, a respondent may misunderstand or misinterpret what is asked. When this happens, the best technique is to repeat the question just as it is written in the measure. If you suspect that the respondent merely needs time to think it over, simply wait for the respondent to respond. However, if the individual still does not understand, it is ok to rephrase or explain the question. However, this deviation from protocol should be noted in the “notes” section of the interview. Neutral probes include:

   A. Which would be closer . . .

   B. What do you think best describes . . .

   C. Could you be more specific?

   D. What is your best estimate?

9. As the interviewer, you must make sure that she has correctly understood an answer and that it is adequate in order to avoid misrepresentation arising from partial or incomplete comprehension of the respondent's answer.

10. You must not answer for the respondent, or "put words in his/her mouth". Always ask each question.
11. You must not seek or give unrelated information as that may distract the respondent from answering the question.
12. If the respondent indicates problems in understanding what is meant by a question or probe or instruction, you must clarify; this must be done without implying or suggesting a particular answer or range of answers so that an alteration of the stimulus condition is avoided. Clarifications include:
    A. Repeating the entire question or part of the question
    B. Repeating the answer categories
    C. Saying, "There are no right or wrong answers to these questions."
    D. "We are just interested in finding out how you feel about this."
    E. As a last resort, clarifying or explaining the question in your own words.

    If specific questions frequently require clarification, please bring this to the attention of NPC Research.
13. When the respondent gives an inadequate answer, such as one that doesn't fully answer the question or doesn't use the answer categories that are provided, you must probe, repeat the question, or clarify the question in order to obtain an adequate answer and to avoid inadequate answers being accepted.

Probing for Information

One of the most challenging and important parts of the interviewer's work is getting the respondent to answer the question that was asked. If the respondent gives you an incomplete or irrelevant answer, misunderstands the questions, if you do not understand her answer, or if she loses track of the question and gets off on another topic, it is <u>your</u> responsibility to get her back on the track through careful, <u>neutral</u> techniques. The quality of the interview depends a great deal on the interviewer's ability to probe and use these techniques successfully. Probes will be provided on the interview and you will be trained to know and use these probes should key issues not be presented during the interview. Probing has two major functions:

1. It motivates the respondent to communicate more fully so that she expands on, clarifies, or explains the reasons behind what she has said.
2. It helps the respondent focus on the specific content of the interview so that irrelevant and unnecessary information can be avoided.

Probes must perform these two functions without introducing bias. An answer may be inadequate because it is only a partial answer and therefore incomplete; it may also be irrelevant, about something other than the subject of the question, or it may be unclear. In order to be an effective prober, you must understand the purposes of each item, and the type of response that is required. In addition, there are several different <u>neutral</u> techniques that can be used to stimulate a fuller, clearer response.

1. <u>Repeating the questions</u>. When the respondent does not seem to understand the question or misinterprets it, when she seems unable to make up her mind or when she

strays from the subject, the most useful technique is to repeat the question just as it was written on the questionnaire. Many respondents, hearing it for a second time, realize what kind of answer is needed. They may not have heard the question fully the first time, or they might have missed the question's emphasis.

2. An expectant pause. The simplest way to convey to a respondent that you know she has begun to answer the question, but that you feel she has more to say, is to be silent. The pause (sometimes accompanied by an expectant look or a nod of the head) gives the respondent time to gather her thoughts. Pauses are often useful in encouraging communication, and they should become a natural part of your interviewing technique. Be sensitive, however, to each individual respondent in using pauses. Some respondents may actually be out of ideas or have expressed all their thoughts on the subject.

3. Repeating the respondent's reply. Simply repeating what the respondent has said as soon as she has stopped talking is often an excellent probe. This should be done as you are writing or recording the response, so that you are actually repeating the respondent's reply and recording it at the same time.

4. Neutral questions or comments. Neutral questions or comments are frequently used to obtain clearer and fuller responses. Verbal encouragement is usually effective when an answer has been given but is incomplete relative to the purposes of the item. Such probes would include comments such as "Uh huh," "I see," "Yes," or "Mm." Following are examples of several commonly used probes:
   - Which answer do you think comes closest? [for choosing between quantitative responses]
   - Which would be closer to the way you feel? [for choosing between quantitative responses]

   You know the question objectives--the respondent does not.

   If a respondent gives an "I don't know" response to an attitude/opinion question, you can say things like:

   - There are no right or wrong answers to these questions.
   - We are just interested in finding out how you feel about this.

5. At the early stages of data collection, some issues may emerge that are not adequately covered through the interview questions, but may be important to ask of each respondent. Please make note of these emerging issues and feel free to email one of NPC team members.

(Adapted from: *Interviewer's Manual,* (1972). Ann Arbor: Institute for Social Research, and Reagles, K. (1979). *A Handbook for Follow-up Studies in the Human Services*. NY: ICD Rehabilitation and Research Center.)

IV. Cultural Competence: A Brief Note

As researchers, we feel strongly about striving for cultural competence in our work. Research is often something that seems strange or unfamiliar (at best) or frightening and invasive (at worst) to some individuals. Being aware of cultural issues and striving for cultural competence during research interviewing can help alleviate some of these concerns. We assume that each of you has had some cultural competency training in your work, so we will not be going into detail about cultural issues. However, it is important that while interviewing clients for the research project that you be aware of cultural issues and bring to the attention of NPC any issues that may be difficult, challenging, or particularly sensitive because of the cultural backgrounds of the clients you are working with. The study instruments that are being used have been used with clients with a wide variety of ethnic and cultural backgrounds, however, the as with many standardized instruments, issues of cultural relevance and sensitivity can still emerge. Please bring these to NPC's attention if they arise in the current study.

V. CONFIDENTIALITY AND EXCEPTIONS TO CONFIDENTIALITY

NPC Research takes confidentiality and the protection of research participants very seriously. As part of the research project, you will be asked to sign a statement of confidentiality that indicates your commitment to keeping the research information collected for this study confidential. Also, we will need your help to ensure that all study paperwork is properly treated and transmitted to NPC.

You will be asking all research participants to sign consent forms prior to participating in the research. These consent forms inform study participants of their right to refuse to participate in the study, to refuse to answer a question, or stop their participation at any time. Participants are also told that the interview is confidential and their identities will not be revealed or linked to their individual responses. The consent form also asks participants whether NPC can access administrative data for the Follow-up Study (e.g., services received).

The identity of clients who are participating in the study must remain strictly confidential, as well as all information given by the client during the course of the research interview. To ensure this, all respondents will be assigned identification numbers. The table below describes how identified confidential information will be handled by both agency staff and NPC Research.

Form Name	Identifiers	Transmission & Storage
Consent Form	Client name	Mailed to NPC each week Original kept with agency file
Locator Form	Client name and contact information, names of other individuals and contact information	Mailed to NPC each week Stored at NPC in secure file cabinets Originals kept with agency file
Interview Protocols	Face sheet with client name Protocol with ID number only	Originals mailed to NPC weekly Face sheets separated from interview on arrival and stored in secure files. Packets covered with Mail Transmittal Log. Copy kept with agency file.
Recruitment tracking form	No client identifiers	Mailed to NPC weekly
Discharge summary sheet	Client identification number only	Faxed to NPC as they are completed. Please use confidential fax cover sheet. Stored in NPC secure files Copy kept in agency file

At NPC, files linking identification numbers and names, whether hard copy or electronic, will be kept separate from other participant data. All data forms will be stored in locked files at NPC with no names attached. Databases containing locator information will be designed with limited password access, and all computerized data will be password protected. Similarly, all hard copy data will be kept in locked file cabinets. Only certified research staff with confidentiality statements on file will have access to data. All of NPC's data collection and research staff complete the National Institutes of Health certification in the ethical treatment of research participants and sign confidentiality agreements as a condition of employment. Further NPC Research has a Federal Certificate of Confidentiality that protects all study data from subpoena.

VI. ELIGIBILITY & RECRUITMENT

The next section of the manual provides strategies for successful participant recruitment. You will be asking all eligible clients to participate in the study. Eligible clients are those who:

1. Are having their treatment services paid for by any publically funded sources (e.g., publically subsidized treatment clients);
2. Are completing intake into services January or February 2010;
3. Are NOT being enrolled into outpatient services directly after completing residential services;
4. Are not completing an intake with the SOLE purpose of obtaining an assessment;
5. Are not completing an intake for detoxification services only;
6. In addition, all Driving Under the Influence of Intoxicants (DUII) clients are eligible for the study (even if not publically funded).

→Persons who pay for treatment privately or through non-public funds are not eligible for this study (except for DUII clients).

Gaining Cooperation and Refusal Prevention Strategies

Because this is a voluntary study maintaining a high recruitment rate (and a low number of refusals) is critically important to the success of the study. It is important that the research sample – that is, people who agree to participate in the study – are a good representation of all the kinds of persons who enter publically subsidized treatment. Ideally, everyone entering treatment during the enrollment window for the study would participate. However, it is likely that some people will decline to participate. However, the fewer people who refuse or decline to participate, the better the study is in terms of representing the full spectrum of individuals who participate in treatment services. Therefore, successful participant recruitment will be the first step in collecting valid and reliable data.

The majority of the time, you will encounter respondents who are more than willing and ready to participate. However, in a small number of cases, you will speak with a respondent who says that he or she does not wish to participate in the study. This section summarizes some actions you should take in these situations, and gives you some suggested responses you can give a respondent who is hesitant to participate in the study. Most often, participants may have questions about what they will be asked to do, how much time it will take, and why they should participate. In responding, make sure to:

- Familiarize yourself with the project and use this information effectively.
- Show your enthusiasm for the project. Let them hear how important this study is for everyone who uses publically funded treatment services.
- Validate their concerns. Don't act like their concerns aren't important. Listen to what they have to say.
- Address every question, issue, or concern with a short and convincing response.

- Be respectful of their situation, comments, and wishes.
- Try to understand their reasons for not wanting to participate and address these directly.
- Be willing to take no for an answer after you've tried to address their concerns.

The Most Important Question – Why?

Some respondents have very definite and strong reasons why they don't want to participate. It is difficult to address those concerns in a convincing manner if we don't understand what they are. The most important thing you can do for the project when you encounter a hesitant respondent is ask why they don't wish to participate. It's easy. A respondent says, "I don't want to do this!" You say:

> "Oh, I understand. May I ask why you don't want to participate?"

Then, offer solutions and creatively problem solve.

Remember to be creative with the options you offer. If you understand the respondent's concerns, then you can work together to find solutions. If the respondent has a difficult situation, and you think of a creative way to deal with it, let them know you want to help.

When to Back Off

A general rule of thumb for an adamant "NO!" is to stay calm yourself. If after discussing a potential participants' concerns, s/he is still unwilling to participate, it is okay! This is a voluntary study and clients have a right to decline to participate. Accept their refusal graciously, and make sure they understand that this will in no way affect their treatment services.

Main Talking Points

Here are the main things that will be important for you to review with clients when you talk to them about participating in the AMH Follow-Up Study:

1. We are inviting clients to participate in a project that will help to better understand the long-term outcomes of alcohol and/or drug treatment. Results will be used by the State of Oregon (specifically, the Addictions and Mental Health Division of Oregon's Department of Human Services) to continue to improve services. All clients who participate in alcohol and/or drug treatment that is funded by the state of Oregon are being invited to participate.

2. The study is an opportunity for the client to contribute to the first-ever statewide effort to document how successful the treatment agency is in helping people to overcome their alcohol and/or drug issues.

3. Participation in the study is voluntary; they do not have to participate if they don't want to.

4. If they do agree, they will be invited to participate in three interviews. The first will be conducted by someone from the treatment agency at the beginning of treatment. They will also be contacted by staff from NPC Research, who are independent contractors, and invited to participate in two interviews, 6 and 12 months following the first interview. Make sure to tell clients that they can decline to participate later if they change their mind about being in the study.

5. The interviews will include questions about employment, alcohol and/or drug use and recovery, criminal involvement, family, and psychological and physical health.

6. Interviews will take about an hour, and they will receive a $10 Fred Meyer gift card upon completion of the 6 and 12 month interviews. Interviews will be scheduled at the clients' convenience and at the treatment provider's location for the first interview, and at a location that is convenient for the client (e.g., at their home, a coffee shop) for interviews conducted by NPC staff.

7. Staff from NPC and the treatment providers will never share individual information outside of this study, so information that individuals provide will always be kept confidential.

Recruitment Tracking Form

Because it is very important for us to be able to know how many of the potentially eligible clients actually agreed to participate (known as the "recruitment rate"), we will need you to keep track of the people who are eligible for the study and whether or not they agree to participate. This information will NOT be identifiable, although we will ask you to complete a little basic demographic information for each client. To do this, we ask you to keep a Recruitment Tracking Form, essentially a log that contains important information regarding client demographics and provides the opportunity for NPC Research to track persons who agree or decline participation in the study. The recruitment tracking form is located in Appendix A.

Recruitment tracking forms should be sent with other project forms by mail to NPC Research on a weekly basis.

VII. Interview Process

The baseline interview should be completed at the time that the client completes intake for treatment, or within the first 2 weeks of entering treatment. Preparing for the interview involves the following steps: preparing for the interview, obtaining consent, completing locator forms, conducting the interview, cleaning the data, sending data to NPC, and sending thank-you cards. Each of these steps is discussed below.

For the steps below, it is assumed that the person who has invited the client to participate in the study (e.g. done the recruitment of the participant) is completing the interview at the same time. This may not be the case at all treatment agencies. However, it is assumed that the person recruiting the participant obtains the participant consent form, regardless of who then follows up to complete the baseline/intake interview.

Prepare for the Interview

Preparing for the interview involves receiving the interview packets and reviewing the interview instrument. The interview packets you will receive from NPC Research for the baseline interview **(conducted at intake)** contain all of the materials you need to complete the interview. The interview packet will contain the following materials:

1. Consent Form (Appendix B)
2. Consent Form Summary (Appendix C)
3. Locator Form (Appendix D)
4. Interview (Appendix E)
5. Show Card (Appendix F)
6. Mail Transmittal Log (Appendix G)

Step 1: Invite the Client to Participate in the Study.

Tell the participant about the study using the talking points provided. If the person agrees to participate, read through the informed consent form with him or her, making sure to answer any questions (see below). Complete the recruitment tracking form indicating “yes” or “no” and completing other information.

Step 2: Complete the Consent Form

Each interview packet includes two copies of the consent form, one for the client and one for you/NPC. Give a copy to the client, and read through it. It is ok to summarize the main points in the consent form, but make sure to go through each part of it to make sure they understand what they are agreeing to do. Answer any questions that the client has. If they agree to participate, have them sign and date BOTH COPIES of the form, and indicate their permission for data sharing. You will need to sign and date BOTH FORMS as a witness. Give one copy to the participant, and keep one to send to NPC in the weekly mailing. Also give the client a copy of the Consent Form Summary, which provides the consent information in an easy-to-read, brief format.

Step 3: Complete Locator Forms

The locator form is extremely important to the success of this project. Treatment clients, especially if they have dropped out of services, are often quite mobile, moving frequently. Locator forms provide NPC will people who can help us locate the client for the follow up interviews. In order for the research to be valid, we need to be able to follow up with all or almost all of the clients who complete a baseline interview.

Please complete the locator form with the participant before starting the interview. Don't forget to probe with the respondent, should s/he be vague about the information, so that we can obtain the most complete locator information possible. Although participants should not be forced to complete this form, stress to them that the information shared in the interview will be kept confidential and not shared with anyone. We will only be asking these people whether they know where the respondent is currently living so that we can find them, and conduct their follow-up interviews. **It is very important to get the client to be as complete with contact information on the locator form as possible.**

Step 4: Conduct Interview

You are now ready to conduct the interview. The interview has some structured questions that require a response on a Likert-type scale. For this section, you will use a show card. You will hold up the show card to help participants answer the questions on the designated scale.

Step 6: Data Cleaning

Before ending the interview, please take a moment to review the entire interview and all forms. Please make sure that you asked each and every question, and that all forms are signed. Before returning the interview and forms to NPC, review all documents once more to be sure everything is complete. NPC Research staff will also be checking the interviews upon receipt, and your conscientious attention to making sure everything is completed will avoid them having to follow up with you later to get additional information.

Step 7: Data Submission and Storage

At the conclusion of each interview lock the interview, and corresponding forms (consent and locators forms) in a locked filing cabinet. Once each week (on Friday) please ship the interview packets to NPC using the Mail Transmittal Log as a summary of your shipment (Appendix G) (NPC will provide shipping labels and materials). Each week we will inform you as to when we receive your materials. To make sure that study materials are not lost, please keep a copy of everything sent to NPC in the client's file. Also, we will provide a mail transmittal log for recording information that is mailed to NPC.

Once the data is received by NPC will, we will create a unique identification number for the client, and separate the name from the client's information. At NPC study materials are kept in two sets of files, one set includes the project ID only, and here is where NPC will place the interview. Another set includes the participant name, and this is where all other forms will be kept.

Again, while the interviews and related forms (consent forms, locator forms, etc.) are in your office (prior to sending them to NPC), you must store them in a locked filing cabinet.

Interview data will be entered into an SPSS database using the participant's ID number (no other identifying information).

Step 8: Sending Thank-You Cards

NPC Research will send respondents "thank you" cards following each interview as a way to both send our appreciation for the respondent's participation, and keep the study in the forefront of their mind.

VIII. THE INTERVIEW AND FREQUENTLY ASKED QUESTIONS

The client interview includes items from the Addictions Severity Index " Lite" (short form) medical, employment, substance use, legal status, family/social status, and psychiatric status subscales. It also includes some additional employment and criminal justice questions, as well as questions about treatment motivatin, social connections, and the Clinically Informed Outcomes Management Questions (CIOM). In this training we will review how to conduct the interview, and answer some "frequently asked questions" about the ASI. As stated earlier it is important to remember to ask interview questions exactly as they are worded. Below is a guideline for each section of the ASI contained in the interview instrument. The full interview instrument can be found in Appendix E.

Overall things to remember:

1. Leave no questions blank
2. Ask each question of each participant
3. Mark all that apply for each question that require mark all that apply responses; and
4. Carefully follow skip patterns so that questions are asked appropriately.

FAQ: "What do they mean by "problems"? A number of questions ask about "problems". Whether something is a problem is the subjective determination of the client. ASI guidelines state "It is important to note that the ASI states the following "rating is based upon the patient's history of problem symptoms, present condition and subjective assessment of his/her treatment needs in a given area." In other words, it is the **respondent's determination** whether the situation is problematic, or troubling. It is your role to ask the question; it is the respondent's responsibility to determine severity". So, you can clarify, "a problem is something that is a problem for you, personally".

Family & Living Situation (B4-B16)

No special instructions for this section.

Employment and Education (E1-E11)

When asking about level of education (question E1), please record one response. Regarding question E9, employment problems, the ASI Manual defines employment problems as the "inability to find work (only if patient has tried), or problems with present employment (if employment is in jeopardy or unsatisfactory, etc.)."

Medical Status (M1-12)

The general guidelines apply to the Medical section of the ASI. According to the ASI Manual, interviewers are instructed to define medical problems in the medical status section as follows: "Ask the patient how many days in the past 30 he/she experienced physical/medical problems. Do not include problems directly caused **only** by alcohol or drugs. This means problems such as hangovers, vomiting, or lack of sleep that would be removed if the patient were abstinent. However, if the patient has developed a continuing medical problem through substance abuse that would **not** be eliminated simply by abstinence, include the days on which he/she experienced these problems, such as cirrhosis, phlebitis, or pancreatitis. Do i**nclude** symptoms of minor ailments such as a cold or the flu."

Drug and Alcohol Use Section (DA1-Da22)

In addition to the general guidelines, there are specific directions to keep in mind in the Drug and Alcohol Use section. First, with regards to questions DA9 and DA10 we are interested in the number of days the participant had problems *directly related to their use.* Clarify with the participant that "problems" may include cravings for alcohol or drugs, withdrawal symptoms or any other effects of intoxication, including wanting to stop using, but not being able to stop. Problems may also include social or legal consequences, such as DUIIs or other court consequences, or family members that are upset with their use, and emotional consequences on them as a result of their use.

One of the most challenging sections is the ASI frequency of use section, which many of you may have experience administering. Remember that, in general, the rule of thumb for regular use is a **frequency of 3 or more times per week**. However, it is true that cocaine, alcohol, and even some other drugs can be regularly and severely abused in two-day binges. Therefore, the interviewer should probe for evidence of regular, problematic use, usually to the point of intoxication and to the point where it compromises other normal activities. Also, six months or more of regular or problematic use will be considered one year.

Note: The ASI does direct that you ask route of administration for each substance even if the participant did not list the substance in the previous question. While the respondent may say, "I do not use substance X," tell the respondent, "I know, please be patient as I need to ask each question of each respondent." Sometimes the respondent may actually answer affirmatively to a substance they did not previously report, and you may probe regarding the substance and therefore uncover that the substance is in fact used by the respondent.

CIOM Items (DA22a-n).

Please use Showcard B for these items. If the respondent has difficulty picking a response option, tell them to pick the "one that they feel like most of the time". These questions focus on how the respondent feels RIGHT NOW (at the time of the interview).

Criminal Information (CJ1-CJ18)

There are no special instructions for this section. Please follow the general guidelines and remind the respondent that all information is confidential.

Psychological Distress (P1-P7)

Please follow the general guidelines. Remember, as stated in the instrument, please clarify with the participant that psychological problems are those not associated with substance use. Also, remind the participant that, as with the entire interview, everything they share is confidential (with the exception of a planned attempt at suicide).

Reference

Treatment Research Institute (1990). Addiction Severity Index Manual and Question by Question (Fifth Edition). The University of Pennsylvania/Veterans Administration Center for Studies of Addiction.

IX. Client Discharge Summary

To track the exit status for each study participant, we have created a Client Discharge Summary Sheet. This sheet should be completed for each study client who exits or is discharged from treatment services, and for clients who transition from residential treatment to outpatient services *within your agency*. Pleases FAX the discharge summary sheets with a confidential cover page to NPC Research as they are completed.

The Client Discharge Summary is located at Appendix H.

APPENDIX A: RECRUITMENT TRACKING LOG

CONFIDENTIAL

AMH Treatment Follow-Up Study Recruitment Tracking Form

Instructions: Please record the following information about each publically funded, eligible treatment client who enters services during the study enrollment period. When this form is full, please start a new form.

Mail all completed forms to: NPC Research AMH Follow-up Study.

Client Name	Date introduced to the study	Gender (check one)	Age (years)	Race (Mark all that apply)	Intake Type (Outpatient or Residential)	Agreed to participate	If decline, reason declined
		☐ M ☐ F		☐ African American ☐ Asian/Pacific Islander ☐ Caucasian ☐ Hispanic ☐ Native America	☐ O ☐ R	☐ Yes ☐ No	
		☐ M ☐ F		☐ African American ☐ Asian/Pacific Islander ☐ Caucasian ☐ Hispanic ☐ Native America	☐ O ☐ R	☐ Yes ☐ No	
		☐ M ☐ F		☐ African American ☐ Asian/Pacific Islander ☐ Caucasian ☐ Hispanic ☐ Native America	☐ O ☐ R	☐ Yes ☐ No	

APPENDIX B: CONSENT FORM

Consent to Participate: AMH Treatment Follow-Up Study

You are invited to participate in a study being conducted by NPC Research, in cooperation with the Oregon Department of Human Services, Addictions and Mental Health Division (AMH). The purpose of the study is to better understand what happens to people after they leave alcohol and/or drug treatment. You were selected as a possible participant because you are receiving publically funded treatment services. This study will help to provide information to improve the quality and availability of services for others who need them.

Study Participation: What will I be asked to do?

If you agree to participate, you will be interviewed by your treatment provider once and be invited to participate in two additional interviews conducted by NPC Research staff. The first interview will take place as soon as possible; the second interview is 6 months from the first interview; and the third interview is 12-months from the first interview. Interviews will take about one hour, and will include questions about employment, substance use and recovery, criminal involvement, family, and psychological and physical health. For the 6 and 12 month interviews, you will be given a $10 gift card from Fred Meyer. Interviews will be scheduled at a time and day that is convenient to you. Additionally, by signing this form you are agreeing to let NPC Research staff have access to information about you that was collected by the treatment provider during your participation in the program. Because people sometimes move frequently, if you agree to participate NPC staff will also be contacting you (by phone, email and/or mail) about once every 3 months to see if your address or contact information has changed. In addition, we ask that you complete the attached "How to Get in Touch with Me" form so that NPC staff can reach you when it is time for the interview. Finally, we ask that you provide permission to allow researchers to obtain information about your employment status from the Oregon Employment Division.

Study Participation: Are There Any Risks or Benefits?

The study does not have any physical or medical risks to you or your family. However, some people may feel nervous or embarrassed about answering personal questions. Interviewers are trained to help you with the interview, but you can skip a question if it is too uncomfortable. NPC Research and the participating treatment agencies take every precaution to make sure that information that you share is kept confidential; however, there is always the small risk that the information you provide could become known by others. Below we describe how we protect your information to guard against this risk.

Information Privacy: How Do You Protect My Information?

Everyone conducting interviews for this study, including the treatment providers and interviewers who work with NPC Research, have signed statements of confidentiality and have completed the National Institute of Health's certification on the protection on study participants. NPC Research is responsible for all information collected for this study. Information that identifies you personally will not be shared outside the NPC Research team. We will release identifying information only if you request that in writing, or if we need to take steps to protect you or someone else from serious harm.

All paper records (like this consent form) are carefully stored in locked file cabinets, and your identifying information is stored separately from the interview. All data are protected using passwords and secure computers that no one outside the study can access. Information used for analysis or reports will have no personal identifiers (like names), and reports will not describe you in any way that could identify you. Also, reports are improved by real-life examples or comments; you may be quoted, but no names will be used, and no one will identify you as the person quoted.

Voluntary Participation

Your participation in this study is voluntary. You do not have to participate, and you may choose not to complete any of the interviews, even if you agree to participate today. You also do not have to answer any question for any reason, and you may decide to drop out of the study at any time. Your decision to participate in the study will not affect any services that you may be receiving from the alcohol and/or drug treatment provider or other agencies.

Who do I call if I move or have questions?

If you have any questions about the research study, call Dr. Beth Green, Ph.D., NPC Research, Inc., at 503-243-2436, ext. 107 or at 1-888-520-3844. Also, if you move to a new address or get a new phone number, you can call Beth at the number above and let us know so that we can more easily reach you when it's time for your interview. If you have any questions about your rights as a study participant, please contact the Human Subjects Research Review Committee at Portland State University, 600 Unitus Building, at 503-725-4288 or 1-877-480-4400.

Your signature below indicates that you have read and understand the above information, and agree to take part in this study. Please understand that you may withdraw your consent at any time without penalty, and that by signing you are not waiving your rights to any legal claims, rights, or remedies. You will receive a copy of this form for your records.

____ _________________________

Your Signature Date

____

Print Name

____ ______________________________

Witness (AMH FOLLOW-UP STUDY staff) Signature Date

Please complete the following questions:

1. Please check one of the following:

☐ Yes, I give my permission for the research team to obtain my employment information.

☐ No, I do not give the research team permission to obtain my employment information.

2. I am:

☐ Male

☐ Female

3. What is your date of birth? _____________/_____________/__________________

Month Day Year

4. Your Home Address:

____

Street Address, including Apt number

_________________________________ _______ ______________________________

City State Zip Code

______________________ ______________________ ______________________________

Home Phone Cell Phone Email address

Below is for Program use only. Please check each box when you complete each task:

☐ Copy made and given to participant.

☐ Copy of consent and locator forms sent to NPC 503-243-2454, Attention: AMH Follow-Up Study

APPENDIX C: CONSENT FORM SUMMARY

NPC Research
4380 SW Macadam Ave., Ste. 530
Portland, OR 97239-6408
Voice: (503) 243-2436
Fax: (503) 243-2454
www.npcresearch.com

Consent Form Summary

Key Points for the AMH Treatment Follow-Up Study

You are invited to participate in a study being conducted by NPC Research (NPC), in cooperation with the Oregon Department of Human Services, Addictions and Mental Health Division (AMH).

1. What is the study? The purpose of the study is to understand what happens to people after they leave alcohol and/or drug treatment. This study will provide information to improve and/or expand the services for others.

2. What will I have to do? If you agree to participate, you will be asked to:

- Complete a 1-hour interview with your treatment provider
- Complete two additional 1-hour interviews with NPC staff, and be given $10 gift cards for each of these 2 interviews.
- Agree to let NPC staff have information about you that was collected by the treatment provider, and allow researchers to get your employment information from the Oregon Employment Division.
- Complete the "How to Get I Touch with Me" form, and allow the researchers contact you every 3 months to verify your contact information.

3. The study is voluntary! You do not have to participate in the study to receive treatment services. You can skip any questions you don't want to answer. You can also tell us later that you want to stop participating.

4. Everything you tell us is confidential and won't be shared with anyone outside the research team-- UNLESS you tell us that you intend to harm yourself or others.

5. We take many precautions to ensure that your data are handled appropriately so that your privacy is maintained. All data are always stored in locked, secure locations, and your name is separated from the information we collect as soon as it is processed at our secure research office.

6. You can contact the research team if you have questions about the research study.

7. Your signature on the consent form means that you have read and understand the above information, and agree to take part in this study. You may withdraw your consent at any time without penalty.

8. You will get a copy of this consent form to keep.

APPENDIX D: LOCATOR FORM

How to Get in Touch with Me

CONSENT FOR RELEASE OF LOCATOR INFORMATION

I, ________________________________ (Participant's name) authorize the following agencies and persons to give NPC Research information such as: mailing and/or street address, telephone number, and other information that will be helpful in locating me for follow-up interviews.

The purpose of this information is to help the research team locate me to conduct interviews 6-month and 12-months after the start of treatment services. Counselors, probation officers, employers, lawyers, and others I list below may know where I am living and how to get in touch with me over the next 12 months. Friends or family listed below may also provide such information. **Important: Individuals contacted in an attempt to locate you will not be informed of the purpose or nature of the study.**

NPC Research may obtain my locator information from the following persons or agencies.

Best Treatment Agency Contact:	
Name:	Relationship:
Phone number:	

Other Agency Contact:	
Name:	Relationship:
Agency:	
Phone number:	

Personal Contact #1 (Family Member, Friend):	
Name:	Relationship:
Current Address:	
City:	State: Zip:
Home phone:	Cell phone:
E-mail address:	
Best time to contact:	

Personal Contact #2 (Family Member, Friend):

Name:	Relationship:
Current Address:	
City:	State: Zip:
Home phone:	Cell phone:
E-mail address:	
Best time to contact:	

Personal Contact #3 (Family Member, Friend):	
Name:	Relationship:
Current Address:	
City:	State: Zip:
Home phone:	Cell phone:
E-mail address:	
Best time to contact:	

Below is a list of public departments and other organizations. By placing my initials next to an agency name, I give NPC Research permission to ask that agency or organization for my contact information, or to contact me directly if I reside at their institution. The purpose for this information is to locate me to conduct follow-up interviews. Organizations contacted will not be told the purpose of the study:

__________ County or other substance abuse services department or agency

__________ County or other health department

__________ Jails, penitentiaries, or other criminal justice institutions

Consent: I give my consent to members of the research team who will use the information provided by the individuals and agencies listed above <u>only</u> to locate me for follow-up interviews**. I understand that the information recorded above is confidential and unavailable to anyone outside the study.** I may cancel this consent at any time, in part or in full, by calling Beth Green at 503-243-2436 ext. 107. This consent expires automatically FOUR YEARS AFTER THE DATE THIS FORM IS SIGNED.

Project ID _____________ Participant Name __________________________

Participant Signature Date

Interviewer Witness Signature Date

Thank you very much for agreeing to take part in this study!

APPENDIX E: INTERVIEW

APPENDIX F: SHOW CARD

Possible responses to:

B14, B15a, B15c, B15d

E10, E11

M7, M8

DA 11, DA 12

CJ10a, CJ10c

F6, F7

P4, P5

5=EXTREMELY

4=MODERATELY

3=CONSIDERABLY

2=SLIGHTLY

1=NOT AT ALL

Possible responses to: DA 22

1=DISAGREE

2=SOMEWHAT AGREE

3=AGREE

4=STRONGLY AGREE

APPENDIX G: MAIL TRANSMITTAL LOG

AMH Mail Transmittal Log: Please complete this form for each shipment transmitted to NPC Research

Please return all completed forms to: NPC Research, Attention: AMH Follow-up study; 4380 SW Macadam Ave, Suite 530; Portland, OR; 97239; phone: 503-243-2436.

1. Date of shipment;________/________/___________

2. Number of interview packets in shipment:_________ **Important!** An interview packet includes: (1) Consent form; (2) locator form, and (3) interview instrument.

3. Number of recruitment logs in shipment: _________

4. Number of Discharge Summary Sheets: __________

5. Agency name:____

6. Name of person sending shipment:____

APPENDIX H: CLIENT DISCHARGE SUMMARY SHEET

AMH Study Client Discharge Summary Sheet

Please complete for each exiting client.

Please fax all completed forms to: NPC Research, Attention: AMH Follow-up study

Fax number: 503-243-2454

Name of person completing this form: ____

1. Client's AMH Unique ID#: ______________________________________

2. Date of client's first contact with program: _______/________/_______
mo day year

3. Date of assessment: _______/________/_______
mo day year

4. Date of admission: _______/________/_______
mo day year

Please list the dates of the first four treatment sessions provided to the client, and indicate whether each session was a group (G) or individual (I) session.

5. Date of session #1: _______/________/_______ ____Group *or* _____Individual
mo day year

6. Date of session #2: _______/________/_______ ____Group *or* _____Individual
mo day year

7. Date of session #3: _______/________/_______ ____Group *or* _____Individual
mo day year

8. Date of session #4: _______/________/_______ ____Group *or* _____Individual
mo day year

9. Date of last service delivered to client: _______/________/_______
mo day year

10. Date of Program Exit: _______/________/_______
mo day year

11. Total number of individual treatment sessions completed: ____________

12. Total number of group treatment sessions completed: _______________

13. Compared to intake, **at exit** was the client's overall substance use (not including nicotine products):

1=reduced at exit (but still some use)

2=same as intake

3=increased at exit

4=no use at exit

5=unknown or not assessed

14. Exit Status: please **<u>circle</u>** the answer that best describes this client's situation:

1=Initial Appointments not kept within 14 days of enrollment

2=Client termination without clinic agreement

3=Treatment is complete

4=Further treatment is not appropriate for client at this facility or in this service

5=Non-compliance with Rules

6=Client moved out of catchment area

7=Client cannot get to facility

8=Client cannot come for service during facility hours

9=Client incarcerated

10=Client deceased

11=Parents/Legal Guardian withdrew client

12=Termination due to program cut/reduction

13=Termination due to mental health

14=Termination due to physical health

15 = Client transferred to a different treatment modality (e.g. from residential to outpatient) within the same agency.