Staying in Touch: A Fieldwork Manual of Tracking Procedures for Locating Substance Abusers in Follow-up Studies 2nd Edition

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UCLA Integrated Substance Abuse Programs ACS Federal Healthcare, Inc. (formerly Birch & Davis Associates, Inc.)

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Foreword

Staying in Touch: A Fieldwork Manual of Tracking Procedures for Locating Substance Abusers in Follow-up Studies is designed to assist substance abuse treatment program staff in tracking and locating clients for conducting follow-up interviews. The collection of data from these follow-up interviews contributes significantly to evaluation studies of treatment effectiveness and provides data on long-term treatment outcomes. In this era of accountability, the Center for Substance Abuse Treatment (CSAT) emphasizes the need for its grantees to collect data demonstrating the long-term effectiveness of treatment interventions, services, and programs. The Government Performance and Results Act (GPRA) of 1993 requires multiple data collection points for almost all GPRA activities. Most grant programs are required to collect data on clients at three data points. Some adolescent programs also collect follow-up data at an additional point in time. These follow-up activities will be greatly facilitated by this manual. The techniques and strategies presented here can be used for locating many types of clients in a variety of environments and locations—from those in outpatient programs to those who are incarcerated.

This manual demonstrates the importance of obtaining data from clients once they enter a program that will facilitate the tracking and locating process later on. These techniques can save staff time and money if they are adhered to upon a client's entry into the program. This manual offers suggestions for staying in touch with clients, tracking them once they leave the program, and locating them through traditional approaches, as well as advanced computerized searches if staying in touch and tracking have not been successful.

The University of California at Los Angeles (UCLA) Integrated Substance Abuse Programs staff, under contract to ACS Federal Healthcare, Inc. (formerly Birch & Davis Associates, Inc.), revised this manual. We thank the ISAP staff for their commitment to updating this manual. We also thank the peer reviewers who took the time to review a draft of this manual.

This manual was updated to provide the user with current information on tracking and locating substance abusers. It also provides new and innovative approaches for conducting follow-ups, including the use of computers in searches.

We encourage you to read and use this manual and to keep it nearby with other useful references. It will greatly enhance your ability to achieve the Office of Management and Budget follow-up rate of 80 percent.

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Authors' Preface

Welcome to the second edition of *Staying in Touch: A Fieldwork Manual of Tracking Procedures for Locating Substance Abusers in Follow-up Studies.* This manual has been substantially revised to assist CSAT Targeted Capacity Expansion grantees in their tracking and locating efforts to ensure follow-up contact with clients who are involved in program evaluation studies. Because the value of follow-up studies depends, to a large extent, on minimizing attrition of the study sample, a major concern in the evaluation of drug treatment programs is the difficulty of maintaining contact with a group of clients over the months, and sometimes years, after they leave the treatment program.

We have made a number of changes in nearly all content areas of the first edition, originally published in 1996. Most important, the rapid proliferation of online information sources is now reflected in this manual in three ways. First, we added a section on tracking by computer (Section 4.4) that discusses search strategies and the best Internet resources. Second, we included Internet links and search strategies throughout the text. Third, Web-based information is now so essential, that we have made a version of this manual available on the Web. The Internet version has clickable links (in blue and underlined) to tracking and locating resources and is located on the UCLA ISAP Web site at: http://www.uclaisap.org/. Because the Internet is so dynamic, with new resources appearing frequently and sites changing often, we will provide periodic updates to the Internet version. We strongly advise anyone doing follow-up on treatment participants to take full advantage of these new and emerging computer resources.

Also added are subsections on jail and prison interviewing (located in Section 5.2), Institutional Review Board clearance (located in Chapter 2), Health Insurance Portability and Accountability Act requirements (located in Chapter 2), safety in the field (located in Section 4.5), a section on the ideal tracker (Section 4.6), and guidelines on how to deal with potentially reportable situations such as child abuse (Appendix D). The chapter on vital statistics information has been incorporated into Section 5.4, "Miscellaneous Information Sources."

We eliminated the chapter on DMV records because the federal *Driver's Privacy Protection Act* now heavily restricts access to driver's license information. Some states allow access to DMV information with separate (sometimes notarized) consent. This information is now contained in Section 5.4, "Miscellaneous Information Sources," with specific information for each state in Appendix I. The tightening of security in the aftermath of the September 11, 2001, attacks has made it more difficult to locate clients currently in the military because the worldwide locator services have been suspended (see Section 5.4).

"Tracking and locating" refers to the process of searching, as well as the desired outcome: finding the client for the follow-up interview. We use "tracking" and "locating" interchangeably throughout the manual, both referring to the same process. For the sake of consistency, we use the term "client" throughout this manual to refer to someone involved in a program evaluation.

This manual includes information on numerous tracking and locating procedures from the simple and inexpensive to the more difficult and very expensive. We have attempted to provide information and instructions in as much detail as possible for all agencies and procedures involved in the process.

Although the governmental structures of the populous states may be similar, government agencies and departments may have different names and different procedures. More sparsely populated states may offer less complicated avenues for investigators. Local laws and customs will also affect the way tracking and locating techniques are applied. For example, in New York City, many clients will not possess a driver's license, whereas most clients in Los Angeles are licensed. Issues of confidentiality also vary from state to state. Information that is easily obtained in one state may be restricted in another.

Evaluators who wish to achieve the highest levels of success in follow-up must allow for timeconsuming and sometimes expensive procedures. First, this involves establishing relationships with information sources such as the Criminal Justice System, the Department of Social Services, and other agencies. Considerable time and effort may be necessary to make personal contacts in government agencies and to undergo the necessary introduction and review procedures to gain access to these sources. Though there are standard procedures for gaining such access, a great deal also depends on building trust; public officials must believe that an investigator will protect the confidentiality of the clients and the agency and that the evaluator's work is important enough to justify giving him or her confidential information.

As stated, many federal, state, and local agencies have very careful rules about disclosing information. However, if you can obtain the assistance of someone in authority at your federal funding agency to write a letter to the source agency, that agency will often provide more timely information. Also, if you can present proof of not-for-profit status, source agencies may waive their charge for record searches.

Even though we believe that the locating methods described in this manual apply to most populations, it is entirely possible that some populations are better found by other methods. We welcome your suggestions for locating specific populations.

Success in follow-up also necessitates diligence in applying tracking and locating techniques. The procedures in this manual may need to be repeated several times—success in tracking and locating depends to a large extent on persistence.

Although we have attempted to provide comprehensive, up-to-date information on all resources, we realize that this ongoing project will need continuing updates. Thus, periodically, we will be posting an updated version of this manual on the Internet. We welcome any suggestions you may have for improving this manual.

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Second, we thank our peer reviewers, who have a great deal of experience in the tracking and locating field, for their contributions to this text. Reviewers of the second edition are: Verda Olayinka, Director of the Bureau of HIV/AIDS, HIV Prevention, Office of Corrections AIDS Prevention for the New York City Department of Health and Mental Hygiene; M. Douglas Anglin, Associate Director of ISAP; and Christy Scott of Chestnut Health Systems.

First edition reviewers were Michelle Kipke of Children's Hospital in Los Angeles; Kay Malloy and Dean Gerstein of National Opinion Research Center at the University of Chicago; Paul Goldstein of the University of Illinois; Wendy Graham of National Development and Research Institutes; David Desmond and James Maddux of the University of Texas, Jim Devore of the Research Triangle Institute, and Susanna Nemes and David Nurco of the University of Maryland.

Special thanks are extended to Kevin Mulvey of the Center for Substance Abuse Treatment and Donna Atkinson and Louis Podrasky-Mattia of ACS/Birch & Davis for facilitating the development of the second edition of this manual. We would also like to thank Paul Restovich, ISAP's fund manager, and Jean De Pass of the UCLA Office of Contract and Grant Administration.

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1. Introduction



A major concern in the evaluation of drug treatment programs is the difficulty of maintaining contact with clients after they leave the program. The practical value of any study depends, to a large extent, on minimizing the attrition of the study sample. Drug users present unique challenges to evaluators who are trying to locate them. Many are unemployed, have no regular contact with family, have no permanent address, are periodically incarcerated, and may be homeless. Persistent and creative application of the tracking and locating techniques described in this manual is crucial to the overall success of any follow-up study. Many of the procedures will need to be repeated over an extended period of time in order to find an individual. *Don't give up*!

Why Follow Up?

There are many reasons why substance abuse treatment agencies and evaluators may want to follow up on treatment clients. Foremost is that CSAT-funded programs are required to provide follow-up data as part of the Government Performance and Results Act of 1993. However, there are many other reasons to follow up on treatment clients. Among them are to:

Learn how clients are doing after treatment Find out what contributes to clients' long-term success Understand which clients drop out and why Document treatment agency success Learn what support services clients need after treatment Get client feedback on a program Help relapsing clients return to treatment Support clients in their efforts to stay clean

Reliable information from follow-up evaluations can lead to improved policy, better services, and better outcomes for substance abusers.

The procedures outlined in this manual have been developed and refined during 30 years of longitudinal studies with drug users and abusers – members of one of the most difficult populations to study longitudinally because of the difficulty of retaining clients in the sample. As a result of careful and consistent application of these procedures, investigators associated with the University of California at Los Angeles (UCLA), Integrated Substance Abuse Programs (ISAP) have consistently achieved a 90 percent or better interview follow-up rate in their longitudinal studies since 1974. For example, the ISAP team successfully located 93 percent of the clients in a NIDA-funded evaluation of the California Civil

Addict Program in 1974 and 1975, and had a 94 percent success rate in a follow-up on that sample conducted in 1985 and 1986. The 33-year follow-up of those same clients, conducted in 1996 and 1997 had a 96 percent location rate (of the 581 original clients, 42 percent were interviewed, 5 percent refused participation or were too mentally impaired to be interviewed, 49 percent were confirmed to be dead, and 4 percent were not found). In a later study of intravenous drug users, the staff had follow-up rates of 91 percent at the first follow-up, and 97 percent and 98 percent for the second and third follow-up respectively. A recent 5-year follow-up study of men who received substance abuse treatment in prison had a location rate of 90 percent.

Evaluation Designs and Their Influence on Tracking

Many program evaluation studies have a **prospective** design in which clients are recruited or approached to participate in a study, and the study sample is composed of those who give their consent. They are then followed over a set period of time. For these studies, the first step in locating clients for the follow-up interview is the completion at the initial interview of a detailed Locator Form (See Appendix A). The locating information that is collected is updated at all later contacts.

A second evaluation study design is **retrospective**. For a retrospective design, the study sample is selected from prior records of the population or group under study. Once selected as members of the sample to be studied, the clients are contacted and asked to participate in the study. The locating information used to contact them is drawn from existing public information or treatment records. This information is abstracted from the records and entered onto the Locator Form (See Appendix A), which is then used by the locators/interviewers to contact the clients for follow-up.

Integrating Follow-Up into Your Evaluation Design

Because a high follow-up rate is essential to demonstrating the success of a treatment program or intervention, it is very important to integrate follow-up activities into your evaluation design. The need for follow-up should be considered when budgeting for staff (consider your needs for tracking, interviewing, data entry, and data analysis personnel), resources (consider additional mail, phone, database, and computer costs), and client incentives (i.e., payment or vouchers for follow-up participation). A description of tracking procedures needs to be included in your client's consent forms and the Locator Form will need to be completed at intake. The follow-up instrument also needs to be considered. Will you use the Government Performance and Results Act (GPRA) form only, or are there additional evaluation questions you want to address? Early consideration of these issues will help prevent delays and unexpected costs.

Techniques and Sources of Information

For successful follow-up, you must take advantage of a wide variety of follow-up techniques and sources of information.

Techniques and sources of information used to locate clients include:

Mail contacts Telephone contacts Internet searches

Home visits

Locating information is also developed from public sources such as:

Web-based White Pages Criminal justice systems Commercial searches Vital statistics records Social Security Death Index

Specialized institutional information systems can also be useful, for example:

County and state drug abuse program offices Veterans Affairs

The various locating techniques are described in detail in the following pages. The techniques are not described in a preferred order of application. However, the easiest and least expensive methods, such as tracking by mail, telephone, or computer, are mentioned first because they are usually applied first. Your study population and budget will dictate the appropriate steps to take and when to take them; the manual can help you choose among the options available to you.

Considerations for Fieldwork Implementation

To use many of the specialized information systems, such as those of the criminal justice system, the welfare system, and the Department of Motor Vehicles (in some states), evaluation staff must contact the proper agency for access authorization. This process may involve a lengthy review and justification process, which is designed to help the agency in question balance the needs of the study against the privacy rights of individuals. For some information services, a fee is charged for each use.

If your population is heavily involved with the criminal justice system, you may want to concentrate your efforts around those avenues, checking, for example, jail and prison rosters and probation and parole records. Each project director will have to invest the time to find out what is available, at what cost, and how beneficial it is for locating your population.

An information resource that is difficult to access and that will be of limited use may not be costeffective. In view of the high costs in time, energy, and money of using some information resources, an attempt should be made to estimate the potential value of the resource to the study outcome before requesting access to restricted information. If only a few clients have been involved with the criminal justice system, you may decide that the time and effort it takes to gain access to criminal records is not worth the effort.

No matter what methods you choose, you must be persistent and resourceful. The old maxim "If at first you don't succeed, try, try again" holds true for successful locating! Good luck. We hope the following pages will provide you with workable methods and useful ideas.

2. Ethical and Confidentiality Considerations



Before you embark on an evaluation study with substance abuse treatment clients, you must carefully attend to confidentiality issues that may apply to your clients. These include federal regulations regarding client confidentiality, institutional review board (IRB) approval, informed consent, Health Insurance Portability and Accountability Act (HIPAA) compliance, certificate of confidentiality, and confidentiality and ethical practices when tracking. Each of these topics is covered here.

Federal Regulations Regarding Client Confidentiality

Programs receiving federal funds must protect client confidentiality. Below is a summary on client confidentiality from CSAT's Technical Assistance Publication (TAP) Series 18 ("Checklist for Monitoring Alcohol and Other Drug Confidentiality Compliance," DHHS Publication No. (SMA) 96-3083, 1996, <u>http://www.treatment.org/Taps/TAP18/TAP18.html</u>):

The Federal regulations [42 CFR Part 2, see note in box below] generally prohibit programs from disclosing "patient-identifying information." "Patient-identifying information" means any information that identifies a patient as (i) having applied for or received alcohol or other drug-related services (diagnosis, treatment, counseling, or referral for treatment), or (ii) being an alcohol or other drug (AOD) abuser (§ 2.11, 2.12).

By prohibiting "disclosures," the regulations do not merely refer to explicit statements, such as, "[A specified person] is a patient" or "[A specified person] is an AOD abuser." Rather, the term "disclosure" includes implicit disclosures, such as the following:

allowing a receptionist to confirm that a particular person is a patient, even if the caller or visitor says that he or she is the patient's family member and knows the patient attends the program;

sending a patient a letter in an envelope that suggests that the addressee may be a patient;

faxing a letter on the program's stationery, revealing or suggesting the patient's status to the patient's workplace;

faxing any patient-identifying information about a patient to the wrong fax number;

leaving a telephone message revealing or suggesting patient status with a patient's roommate or on a patient's answering machine, from which another person may hear the message;

disclosing the patient's name and the fact that the patient attended a program to a bill collection agency, attorney, or small claims court;

having a program counselor appear at a patient's workplace or home and revealing his or her relationship with the patient to someone else;

disclosing descriptive or anecdotal material from which a patient's identity may be inferred (e.g., by referring to a patient as "the Mayor's daughter");

producing and identifying a patient when the police arrive at the program with an arrest warrant, but without a valid court order; and

permitting the police to have access to patient records, without first protesting, when the police arrive at the program with a search warrant, but without a valid court order.

NOTE: The Code of Federal Regulations (CFR) can be accessed at:

http://www.gpoaccess.gov/cfr/index.html

We recommend using the "browse," rather than the "search" or "retrieve" functions, to find the portions you are interested in. The chapter that governs the confidentiality of alcohol and drug abuse patient records is 42 CFR, Volume 1, Chapter I, Part 2. The chapter that governs the protection of human subjects is 45 CFR, Subtitle A – Department of Health and Human Services, General Administration, Part 46 – Protection of Human Subjects, Subpart A.

Federal regulations do allow the release of information without individual client consent for program evaluation and research purposes. It is up to the program director to determine whether the research merits disclosure of treatment information.

Institutional Review of Study Procedures

We suggest that you seek Institutional Review Board (IRB) approval for your follow-up activities. At the present time, IRB approval is not required by CSAT, but your state or local agency may require it. By gaining IRB approval, you obtain extra protection for your clients by undergoing outside review of your procedures and by making it possible for your evaluation study to receive a federal Certificate of Confidentiality, which protects the evaluation records of your clients from subpoena. For the purposes of gaining IRB approval, your evaluation study is classified as research. If you are in doubt about whether to seek IRB approval, contact the participant protection officer at your funding agency for assistance.

The following summary of the protection of human research participants was derived from information on the National Institutes of Health Web site (<u>http://cme.cancer.gov/c01/</u>).

Research is a systematic investigation (including development, testing, and evaluation) designed to discover or contribute to a body of generalizable knowledge. Protection of research participants is required in a wide range of research types, including research that involves medical records, genetic material, behavioral and/or biomedical assessments, and treatments. Research involving humans is crucial to improving human health through biomedical and behavioral research. At the same time, researchers and the research team have a fundamental responsibility to safeguard the rights and welfare of the people participating in their research activities. Emphasis on enhancing protection is needed to:

Promote the safety and well-being of human participants in research. Maintain the ethical values and principles underlying research. Implement scientifically valid research. Allay concerns of the general public about the responsible conduct of research (NIH, 2002).

The researcher conducting the study has the primary responsibility to ensure that participants in research are fully informed of their rights and properly protected. The researcher is specifically responsible for ensuring that:

The study is properly designed, scientifically sound, and yields valid results.

Participants meet selection and eligibility requirements.

The study is approved by an IRB and conducted according to the approved protocol.

Informed consent is appropriately obtained.

Protocol changes and adverse events are reported to the appropriate boards and authorities.

The rights and welfare of participants are monitored throughout the research intervention.

All members of the research team are qualified and trained in research methods and human participant protections (NIH, 2002).

Before any client recruitment can begin, the evaluator must submit a description of the study procedures and a copy of the Informed Consent Form to the IRB. Most IRBs have templates and sample forms in order to make the submission process easier. In order to approve research, the IRB must ensure that the following requirements are satisfied:

Risks to participants are minimized by using procedures consistent with sound research design that do not unnecessarily expose participants to risk.

Risks to participants are reasonable in relation to anticipated benefits, if any, to participants, and the importance of the knowledge that may reasonably be expected to result. In evaluating risks and benefits, the IRB should consider only those that may result from the research, as distinguished from those participants would receive even if not participating in the research.

Selection of participants is equitable. The IRB should consider the purposes of the research and the setting in which the research will be conducted and be particularly mindful of the special problems of research involving vulnerable populations. Participants should share equally in foreseeable benefits and risks. Informed consent is sought, and will be obtained, from each prospective participant or the participant's legally authorized representative in accordance with, and to the extent required by 45 CFR 46.116.

Informed consent is appropriately documented in accordance with, and to the extent required by 45 CFR 46.117.

When appropriate, the research plan makes adequate provision for monitoring the data collected to ensure the safety of participants.

When appropriate, there are adequate provisions to protect the privacy of participants and to maintain the confidentiality of data.

Additionally, when some or all of the participants are likely to be vulnerable to coercion or undue influence (e.g., children, prisoners, pregnant women, or mentally disabled, economically disadvantaged, or educationally disadvantaged persons) additional safeguards are included in the study to protect the rights and welfare of these participants (NIH, 2002).

NOTE: Many IRBs are now requiring that investigators submit certifications showing that they and their study staff have received training on protection of research participants. It is relatively easy to get this training. You simply read the materials, take the test, and receive a certificate. Your institution may have its own training materials. Also, the National Institutes of Health offer a printable training manual and online training at: <u>http://cme.cancer.gov/c01/</u>. After the training is completed, you can print your certificate.

The IRB reviews the documents submitted by the evaluator and may require changes. At the time of approval, the Informed Consent Form is stamped and given a one-year expiration date. (Approval must be renewed annually for the life of the study.) See the next section for more on the informed consent process.

It is not necessary for your organization to have an in-house IRB. There are several independent IRBs throughout the country that will review study procedures and forms. Initial reviews typically cost \$1,000 - \$1,400, with yearly continuing reviews costing about \$500 - \$600. Your local college or university may provide this service without cost. Below is a listing of some independent IRBs. We have not used their services and therefore cannot make particular recommendations.

Biomedical Research Alliance of New York 225 Community Drive, Suite 100 Great Neck, NY 11021 <u>http://www.brany.com/</u> 516-470-6900

Fox Commercial Institutional Review Board, Ltd. 326 North Seventh St, Suite 218 Springfield, IL 62701 <u>http://www.foxirb.com/</u> 217-492-1369 Independent Review Consulting, Inc. (IRC) San Rafael, CA <u>http://www.irb-irc.net/</u> 415.485.0717·

Internet IRB (877) 363-7873 x. 401

New England Institutional Review Board (NEIRB) 40 Washington Street, Suite 130 Wellesley, MA 02481 <u>http://www.neirb.com/index.shtml</u> 781-431-7577

Schulman Associates Institutional Review Board, Inc. 4290 Glendale-Milford Road Cincinnati, Ohio 45242 http://www.sairb.com/ 513-761-4100

Sterling Institutional Review Board 6300 Powers Ferry Road, Suite 600-351 Atlanta, GA http://www.sterlingirb.com/index.html 888-636-1062

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A listing of resources regarding protection of research participants is located at: <u>http://cme.cancer.gov/c01/resources.asp</u>

Informed Consent

Before a client can be enrolled in any evaluation study, the study must be explained in detail. The client must understand the right to full disclosure and the voluntary nature of participation. The client must be provided with written, detailed information about the study, so that he or she can decide whether to participate. The Informed Consent Form should clearly state the following:

Name of the organization conducting and sponsoring the evaluation Purpose of the evaluation study Participation is voluntary All information obtained during the interview remains confidential Mandated reporting situations (e.g., child abuse) that are exceptions to confidentiality Benefits or risks, if any, to the client Topics to be covered in the interview(s) and locator form Amount of time involved Time periods that follow-up interview(s) will occur Procedures for locating clients for follow-up, including databases used Form of compensation to be used (e.g., money, check, voucher), if any Specimens to be collected, if any

The Informed Consent Form must be provided to the client, and only after all the client's questions have been answered and he or she has agreed to participate and has signed the Informed Consent Form, can enrollment in the study take place. The client must receive a copy of the Informed Consent Form.

Health Insurance Portability and Accountability Act (HIPAA)

HIPAA was designed to protect the privacy of a medical patient's personal and health information. Examples of protected health information include a person's name, address, birth date, age, phone and fax numbers, e-mail addresses, medical records, billing records, referral authorizations, and research records. This is the type of information that substance abuse treatment programs, evaluators, and researchers have routinely kept confidential. HIPAA now provides nationwide standards for confidentiality and all health care providers were supposed to be HIPAA compliant by April of 2003. Criminal justice and other non-health information is not covered by HIPAA, but may be covered by other privacy laws. For more information on HIPAA and to determine whether your organization is subject to HIPAA requirements, go to: http://www.hhs.gov/ocr/hipaa/.

HIPAA rules allow disclosure of health information for research purposes. According to the Office of Civil Rights at the U.S. Department of Health and Human Services, provided your client has given consent (i.e., the Informed Consent Form states that you will be obtaining medical information), you may request research-related information from healthcare providers. For more information see: http://www.hhs.gov/ocr/privacysummary.pdf.

If your evaluation has been approved by an IRB, and you and your staff are maintaining the confidentiality of your clients' health information, then you are most likely in compliance with HIPAA.

Certificate of Confidentiality

Another very important document to include in any evaluation study is the Certificate of Confidentiality (also known as the Confidentiality Certificate) issued by the U.S. Department of Health and Human Services, under the regulations known as 42 CFR (see note in above Federal Regulations Regarding Client Confidentiality). These certificates protect evaluation study staff and agency staff so that they cannot be compelled to reveal information about study participants in any federal, state, or local civil, criminal, administrative, legislative or other proceedings. The only cases where confidentiality may be breached are cases of suspected or known child abuse or elder abuse, or to protect the client or another person from harm. However, if a client requests that information be released, study information can be

released, provided that the client consents in writing to the disclosure. Information and instructions for applying to SAMHSA for a certificate of confidentiality is located in Appendix B.

For more information, contact:

Human Subjects Research/Confidentiality Certificate Coordinator Office of Scientific Affairs National Institute on Alcohol Abuse and Alcoholism/NIH Willco Building, Suite 409 6000 Executive Boulevard Rockville, MD 20852 (Courier address) Bethesda, MD 20892-7003 (Post Office address) 301-443-2890 (Confidentiality Certificate Coordinator)

301-443-3885 (Director's Office)

Confidentiality and Ethical Practices when Tracking

Studies that target populations who are engaged in or have formerly engaged in drug use and related activities present unique challenges. Because members of these populations have been involved in activities that are stigmatized by mainstream society, it is difficult to both locate them for evaluation purposes and to secure their consent for an interview. Significant numbers of clients would never consent to being part of a study if they could not be assured that their privacy would be protected. Thus, to protect client privacy, confidentiality safeguards are established and maintained for all tracking and locating activities for the duration of the study, and participants are informed that they will be protected. These safeguards include never specifically describing the study either on the telephone (for both incoming and outgoing calls) or in correspondence; a study can be described as a health study or a study of people's health habits. Only after it is satisfactorily established that the person contacted is the client, should the nature of the study be discussed. The client can be identified by confirming date of birth, social security number, or mother's maiden name (see Appendix C for example of a script used to locate clients).

NOTE: Despite the importance of obtaining a high interview completion rate, ethical and legal bounds are pre-eminent; at no time should a locator/interviewer misrepresent himself or herself or the organization conducting the study. The locator/interviewer declares his/her status as a representative of a study officially sponsored by an organization or government agency. If the organization's or study's name includes the words "drug abuse" or "drug abuse treatment," however, a more neutral name that includes the words "health study" or just "evaluation study" may be used. Field workers and interviewers should introduce themselves as such and explain that they are working on a health study. An exception to the contact procedure is made when contacting a client's employer, in which case confidentiality is protected by providing the interviewer's name only (See Section 4.3, *Employer Contact*).

In the course of tracking and locating, it is not unusual to come across other parties, including law enforcement agencies, who may also be searching for a particular client. In these instances, the tracker

may be asked to share information about the client. Under no circumstances may any information about the client be revealed. It does not matter whether the individual requesting the information is a family member, a bill collector, a bail bondsman, someone from a social service agency, a process server, or a law enforcement official. The tracker or interviewer may, however, offer to pass information on to the client once he or she is located. If a law enforcement official insists, or produces a subpoena for the information, he or she must be referred to the director of the study. It is of the utmost importance that all personnel be informed about how to respond in these situations. When in doubt, the study director and the appropriate official at the funding agency should be notified. The compromise of a client's confidentiality is unethical and a violation of the law. It could jeopardize a client's employment, family situation, or legal status, and breaking confidentiality may put the entire evaluation study at risk.

The only exceptions to confidentiality constraints are mandated reporting requirements. The federal government, states, and even some municipalities have laws regarding situations (abuse, danger to self or others) requiring that the authorities be notified. Be sure that you and your staff are up-to-date on your local laws and agency procedures and that your informed consent form contains information about what situations you are required to report. For general guidelines for interviewers and trackers who may encounter these situations see Appendix D.

Additionally, the locator/interviewer must not make false promises or claims to learn the whereabouts of a client, or to convince a hesitant client to consent to an interview. The locator/interviewer has access to an array of tracking and locating tools, as well as strategies for convincing hesitant clients to consent to an interview. These tools and strategies have a proven track record of success in previous studies. Questionable methods are not necessary and should not be permitted.

3. Getting Started



Actions for tracking and locating must be taken early in the design and implementation of an evaluation study to ensure low attrition. This section discusses such issues as budget considerations, setting up an effective tracking system, documenting the procedures, and actual tracking steps.

Budget Considerations

The cost of locating clients is, of course, a primary concern when budgeting for a follow-up study. The budget may make or break your success rate, so correct budgeting is vital. The budget required will in large part depend on whether your study design is prospective or retrospective (see *Introduction*). For prospective studies, the budget for tracking and locating at follow-up can be markedly reduced because you will be able to get locator information at the time of recruitment and again at the intake interview. The intake interview is the time to ensure that interviewers get as much locating information as possible.

Retrospective studies that rely on public or treatment records for locating clients generally require a much larger budget for tracking and locating, since a single source of information is often all that is available.

As a rule of thumb, it is highly recommended that a dedicated tracker be hired at, at least, 25 percent time, unless your study sample is likely to be easy to find. This person, in concert with the study director, will make the decisions about when and how to proceed with various locating efforts. We estimate that an interviewer/tracker will spend about 10 minutes per client per contact possibility in locating efforts. That does not include doorknocking (i.e., field locating), which is very expensive in labor cost alone. Although many clients are found quickly, you will probably average around 20 attempts per client among all clients.

Other cost considerations include client payment. Payment can be offered in cash (the method preferred by most clients), checks, money orders, telephone calling cards, food vouchers, supermarket vouchers, treatment program vouchers, public transportation tokens or cards, groceries, various merchandise, and/or clothes. If cash is the chosen mode for client payment, it is usually necessary to have the client sign a receipt upon payment. **Some form of payment can be an important incentive to get clients to agree to the follow-up interview.** Clients selected at the time of intake, as in a prospective evaluation design, are more likely to participate in the follow-up if they have been informed in advance that there is a payment for the follow-up interview.

Other considerations are:

Does your project need the study director's time to set up formal contacts with different agencies? If so, plan on allocating about 50-100 hours of that person's time for this, depending on the scope of the evaluation.

How much do the various services cost that you want to access? For example is there a fee for obtaining information on arrest reports, Department of Motor Vehicle records, etc.? How pertinent to your client population are these records?

What is the acceptable follow-up rate for your project? It probably will not be too costly to find 75 percent of the clients. Is that rate high enough? If not, each additional 5 percent you find will cost considerably more as more costly procedures are used and more person-hours are needed. How many clients can possibly be located through the least costly methods such as mail, telephone, and computer contact? These methods should be exhausted first.

Does your funding agency allow follow-up by phone? If not, you need to allow for travel to other cities or states.

How much time is there between the intake and the follow-up interviews? The longer the time, the more money you will need.

Are you conducting the study in a large metropolitan area, such as Los Angeles or New York, or in a rural area? You need to consider the costs that may be unique to your location.

In order to maximize your follow-up rate, all of the above considerations should be taken into account as you plan and implement the evaluation study.

Setting Up the Tracking System

Appoint a dedicated tracking coordinator. In order to ensure that interviewer/locators utilize proper and efficient locating techniques, it is important that one person be put in charge of coordinating the efforts for your project. This person should have locating experience or should be trained by an experienced locator. The money invested in this person is money well spent. The coordinator is in charge of all locating efforts, delegating tasks, and ensuring that the appropriate steps are taken at the appropriate time. This person is there to help when a locator gets stuck and also makes the final decision on whether to spend the extra effort to locate someone. It is essential that this person is sensitive to the needs of the trackers and the difficulties and frustrations involved in tracking efforts–spending time tracking with the other trackers, making calls, etc. It is important that the staff feels supported and that the coordinator understands their experiences.

The tracking coordinator is also the liaison between the evaluation study and various agencies, and works with the evaluation director in establishing contact with new sources. The coordinator should assign files to locator/interviewers and review all the files on a at least a monthly basis. Trackers should not be overburdened with files, as that might lead to the tracker feeling overwhelmed. The coordinator should hold weekly meetings with all staff. During this meeting, trackers bring in their cases and review progress. This is the time to share ideas that have been successful as well as the ones that have proven unsuccessful. If a tracker has been unsuccessful with a client, it might help to reassign the files to a new tracker.

Finalize organizational decisions early. An important prerequisite to a successful tracking and locating effort is the scheduling of adequate time for planning and preparation well in advance of actual fieldwork. There are several decisions to make and procedures to develop before initiating the tracking and locating activities, including deciding whether to operate the tracking and locating effort from a field office or from the central administration or program office, obtaining Institutional Review Board Clearance and a Certificate of Confidentiality (see Chapter 2), obtaining clearance for interviews and/or location information from criminal justice agencies (see Section 5.2), and obtaining access to various databases (see Section 5.1).

Establish dedicated phone lines. Once the location of the operation is determined, the next step is to secure one or more dedicated telephone lines. The dedicated telephone line will be available expressly for incoming calls from clients and from others contacted in the effort to locate clients. The line is especially useful *if* the evaluation study is part of a larger drug services facility where confidentiality of the study could be compromised if the call were answered with a salutation naming the facility. This line should ring on all follow-up staff phones and should be answered with a neutral greeting (e.g., "UCLA Health Study"). The phone line should be equipped with voice mail and a message that announces that collect calls are accepted; however, if the collect call is from an automated service, it will not be possible to leave a message that way. Establishing a toll-free "800" number is very useful and prevents phone charges from being a disincentive for parties returning locators' calls. Make sure that the information that shows up in the line's caller ID is neutral and consistent with the phone number and study name you are giving out.

Create appropriate stationery and business cards. To protect confidentiality, stationery must be neutral (not mentioning drugs, alcohol, treatment, or the name of a treatment agency). We use "UCLA Health Study" stationery and include our 800-number on it. Business cards should also be specific to the study and neutral.

Develop a tracking database. In order to automate tracking and locating tasks and to easily assess the status of a particular client, a database program such as FileMaker Pro, Access, or Quattro Pro is typically used. Information from the Locator Form is entered into the database upon intake. With such a program in place, it is possible to generate personalized letters, print address labels, flag cases approaching the eligibility date for the follow-up interview, and print client profiles for locators/interviewers to use in the field. The tracking database can be programmed to automate many of these tasks. Tracking staff must keep the database current, recording information such as a new address for the client, the client's prison or jail location, the date an interview was completed, and so forth. The database needn't have the level of detail described in the tracking log below, but information on the status of every client must be current. We use information from the tracking database during our weekly project meetings – it allows us to see how close we are to meeting our goals.

Create separate file folders. The next step in preparing for the implementation of the tracking and locating effort is to create a separate file folder for each client: a case file. Each case file will contain a Locator Form, a Tracking Log, database search results, and any miscellaneous materials regarding the client. (See Appendix A for examples.) When the locating efforts commence, the files are organized according to the status of the client, and then alphabetically sorted. The process begins with all client files having the same status of "Not activated." After the first follow-up letter is sent to the "best mailing

address" on the Locator Form or Abstractor Form, the client's file is activated. Any contact or attempted contact with a client means a change to the case file on the client's status.

It might be helpful to arrange the files in these or similar categories:

Contacted Scheduled No-Show Located, Not Interviewed Incarcerated Out-of-Area Out-of-State In Hospital/Treatment/Hospice Difficult to Locate Passive Refusal (try again later) Final Refusal Deceased

Documenting the Procedures

Staff must document all tracking activities in the specially created tracking file to be included in the case file for each client. On each client's tracking log:

Record dates and descriptions of all actions taken Log in letters that are returned Log in new information on client Make notes on any new leads to follow

This file will document any correspondence sent, telephone attempts, street locating efforts, incoming calls, requests submitted to government agencies or other sources of information, and any other miscellaneous information that is discovered about the client (see sample logs in Appendix A). The documenting procedure is actually a process of constructing a personal history for a client. When a history is carefully constructed and documented, it can provide a tremendous wealth of information may fall into place and new leads appear regarding a client's whereabouts. Additionally, keeping a client tracking and locating file complete and current reduces redundancy, helps to avoid bothering sources with unnecessary repeated contacts, and allows other staff members to work effectively with the file. At any time, a staff member not familiar with a specific case should be able to identify the next step in tracking a client based on the efforts described in the client file.

Tracking Steps

If you have plenty of lead time before the follow-up contact, the most cost-effective way to track clients is to thoroughly exhaust one, low-cost approach for all clients (e.g., mass mailings) before proceeding on to other approaches (e.g., telephone calls). In practice, however, this approach is not always the most prudent because it is impossible to predict which approach will be successful with a particular client. Therefore, multiple efforts must proceed simultaneously. We suggest that actions be performed in the "sets" listed below:

For all clients, first:

Mail correspondence to all known addresses

Call all phone numbers listed for client and named contacts

Request DMV, arrest, and other available official records

Search phone books and Web-based White Pages for updated telephone numbers and addresses of clients and all potential contacts

Review local jail and prison inmate listings weekly

If all of the above are unsuccessful, then:

Review returned correspondence for address updates

Send an additional letter to any address from which mail was not returned

Obtain more detailed records on prior treatment, arrests, or medical/psychiatric hospital stays to review for potential contact sources

Review files from custody facilities to obtain a list of visitors to your client during periods of incarceration, then contact these people

Submit credit report searches

NOTE: The Tracking Log is a very important tool. It keeps you from duplicating effort and it helps you to decide on the most productive options. Both it and the Locator Form should be carefully studied so that the best next step can be formulated.

After trying all the techniques listed above: Go doorknocking. Of course, all these steps may have to be repeated numerous times before you are successful. Be persistent!

4. Tracking

4.1. COMPLETING LOCATOR INFORMATION



The Locator Form

There is no more important tool for locating clients for follow-up than a comprehensive Locator Form (see Appendix A) that has been thoroughly and completely filled out. The importance of documenting as many leads as possible cannot be overstated. Staff must not break off attempts to collect location information from the client after collecting two or three items, or when they encounter resistance, especially because this resistance can usually be overcome by a more thorough explanation of the evaluation study and its benefits. Complete information is key. If an interviewer tends to collect sparse information on all clients, a supervisor may need to train this person regarding the importance of obtaining complete information and how to collect more detailed information. Interviewers who do their own tracking soon learn that their job is much easier at follow-up when the Locator Form has been filled out thoroughly. In addition to completing the Locator Form at the intake interview, it is important to update this information at every subsequent contact point. If there is to be more than one follow-up interview, complete a fresh locator at each follow-up. This minimizes the chance that the client will tell you that "everything is the same as last time."

Since many clients tend to be highly mobile, it is important to get as much information as possible. The Locator Form included in Appendix A asks for full name; date of birth; nicknames or aliases; place of birth; driver's license; vehicle license; Social Security and military numbers; residence address and phone; best mailing address and phone; work address and phone; name, address, and phone number of all immediate relatives and friends; name of caseworker, clinics, doctors, or other regular contact agency; and other information that has proven useful in locating clients in the past (e.g., bar frequented and street corner "hangout").

When obtaining contact information from follow-up clients, the interviewer should ask the client to inform the people with whom they are in contact that they are participating in a study. These people will then be aware of the evaluation study and will be more likely to cooperate when contacted.

It is often advantageous to start to fill out the Locator Form at the beginning of the interview and go over it again later in the session, when rapport has been established. When a person cannot recall exact information, such as the date of birth of a relative or the exact address of a friend, the interviewer should obtain whatever information is available (e.g., age of relative or cross streets near friend's residence).

A number of clients may be homeless, isolated, and completely out of touch with family and friends, and may have little or nothing to enter on the Locator Form. Locating members of this group can be arduous and will require more specialized procedures (see Chapter 6). However, the interviewer should attempt to obtain as much information as possible, even if the client is sure the information is useless. For example, it is important to collect information on where they hang out, shelters they may frequent, places they sleep, where they get food and pick up their checks. Also, even if the client has not seen his mother for years–and may believe her address to be irrelevant–contact is sometimes re-established despite long periods of estrangement. More detailed suggestions for locating homeless clients are described in Chapter 6 of this manual.

CASE STUDY OF THE SUCCESSFUL USE OF LOCATOR INFORMATION TO CONTACT AND INTERVIEW A HOMELESS CLIENT: Even though our client, Harry, was homeless at the time of the intake, the study staff had obtained the name, address, and phone number of his parents, who lived on the East Coast. When it was time for the follow-up, Anisa, the interviewer assigned to the case, wrote to the parents to find out if they knew how to get in touch with their son. The mother called back and told Anisa that her son called home once in a while and that he currently was living in the Golden Gate Park in San Francisco, California. The parents had recently been out to visit their son in the park. By having the mother relay messages to her son and back, Anisa was eventually able to set up a day and time for the interview to take place in a McDonald's restaurant near the park. Anisa traveled to San Francisco, went to the designated spot and waited. She had no photograph but relied on a description supplied by the mother. After a one hour wait and still no Harry, Anisa started asking people who passed by if they knew Harry and had seen him. Several people offered to "help" Anisa (to buy drugs or paraphernalia), but they all claimed to have no knowledge of Harry. Not long after, however, Harry did show up and Anisa was able to conduct the interview on a bench in Golden Gate Park.

Records Abstraction

The Locator Form can also be used when it is necessary to extract client-locating information from program case files or records. It is important that the abstractor be thorough and accurate, as this will be the main source in retrospective studies from which information will be drawn to contact the client.

Authorization for Release of Information

In order to gain access to information that is normally considered confidential, such as treatment or hospital records, you may want to have clients sign an Authorization for Release of Information form. If official records, such as rap sheets or parole or probation records, are to be used by your study, you may want to include a release form for those as well. Tell the clients that none of these sources will be used unless you can't find the client through information collected on the Locator Form. Also, reassure them that the information will be used for locating purposes only. For information about the content of such release forms, please see Appendix A.

4.2. TRACKING BY MAIL



The least expensive locating technique is to send a letter to all likely addresses for a client. A number of letters can be generated for an evaluation study, each appealing to the client in different ways (for examples, see Appendix E). All envelopes are to be stamped "ADDRESS CORRECTION REQUESTED." This practice ensures that a letter is not discarded or forwarded if the address is no longer good. It will be returned to you with the new address, if it has been left with the post office. Even letters returned by the post office can yield valuable information. This section provides examples of the various letters that may be generated for different purposes for the study, as well as post office codes used for returned mail.

IMPORTANT: Make sure that all correspondence is sent on letterhead with return addresses that do not mention drugs or drug treatment. It may be necessary to create new stationery to ensure confidentiality. Also, be sure that phone numbers listed in stationery are answered with a neutral greeting, such as, "Health Study." For more information, see "Setting Up the Tracking System," in Chapter 3.

Types of Correspondence

Advance letter. This letter is sent to all available addresses one to two months before the interview is due. It explains the purpose of the contact and emphasizes payment or other benefits to the client.

Resident letter: The resident letter can be used in several ways. It can be sent to an address from which a letter has been returned, to see if there is anyone still living there who knows the client. It can also be sent if no letter has been returned to determine if someone is forwarding mail to the client. This letter can also be used in the field for home visits (see Section 4.5, "Doorknocking").

Best contact letter. This letter goes to one or more persons your client has listed as a best contact. It asks the best contact to pass a letter on to the client. It mentions that the client agreed to be followed for a health study and asks for assistance in locating the client. It also mentions that the client will be paid for his/her time.

Special letters. If there is reason to think the address is good but the client is refusing to answer, a special personalized letter can be sent. This letter might emphasize a willingness to meet at a convenient time or location, an understanding of concerns about confidentiality, the compensation to be paid for the

interview, the importance of the client's input to the study, or the opportunity to help others with similar problems. Another special letter available in Appendix E is a letter for incarcerated clients.

Incentive/reward letter. This letter is used as incentive to friends or relatives of a client. It promises a dollar amount if, through this contact, the client schedules and keeps the interview appointment. When the commitment has been fulfilled, a money order is sent to the friend or relative. It can be adjusted to reflect the type of compensation you use in your project.

Postcards. Postcards are easier and cheaper to send than a letter. Having postcards preprinted with a message such as "Please call [project name] to schedule your appointment," as well as a phone number, may save time and effort if the client is easy to find and agreeable. Please be sure that the project name is neutral and the phone number listed is specific to the follow-up and is answered with a neutral greeting (e.g., "UCLA health study"). However, one disadvantage of postcards is that the post office does not return them if the address is incorrect.

Newsletters. If your study is a longitudinal project that requires repeated contact with clients, sending a newsletter containing health-related or other information that might be of interest to your clients is a more personal way of keeping contact. These letters are sent to all clients at various times throughout the project; they encourage clients to call if they are due for their follow-up, or if address, phone number, or other means of contact have changed. Also, if the "ADDRESS CORRECTION REQUESTED" stamp is used on the newsletter, field workers will know when an address is no longer good and they can initiate procedures to locate the client in plenty of time before the next interview. Newsletters can, however, be time-consuming to produce, so the time spent must be weighed against the possible benefits.

Even if letters described here fail to immediately locate the client being tracked, sending the letter can provide information that is useful in deciding what the next step ought to be. For example, if a letter is not returned by the post office, but there is no response, it is likely that someone there knows your client and may be holding your letter for him or her. A good next step would be to send a Resident Letter, which might produce a response. If there is still no response, and other avenues haven't been successful, the staff member may decide to schedule a doorknock at that address.



The Zip Code Lookup (<u>http://www.usps.com/zip4/welcome.htm</u>) can be a great resource whenever you have a problem address. Not only does it give zip codes, it also provides information about address errors and corrects common misspellings.

Postal Codes and Follow-up Actions for Returned Mail

When mail is returned by the post office and there is no new address, note the reasons provided as they can provide useful information for further action:

Forwarding time expired (no new address given). Forwarding time is limited to 12 months. Call information or check a reverse directory for a current phone number. Try a database search service (Section 5.1) for a new address. Also, as mentioned above, send a resident letter to the old address – there might still be someone there who knows your client.

Moved, address unknown. Send resident letters to other addresses. Go doorknocking at the old address. Check with the local mail carrier who might know when the client moved. Check with neighbors who might know the client's whereabouts. Send for a new DMV record.

Addressee unknown. Send a letter in care of "resident," if the names of other persons at the address are unknown. Follow the instructions listed above.

No such street/number. Check the Zip Code Lookup Web site (see above) or your local street atlas (e.g., Thomas Guide) for possible misspelling of the street name. Take a look at the address on the original Locator Form; was it misread or was the data entered incorrectly? Check the numbering range. Mail letters to what could be the correct address.

If more than two weeks have passed since the mailing, and the letter has not been returned, it is time to decide what the next step ought to be. You might send a certified letter to determine who is receiving the mail. Depending on the response and what other techniques have been tried, you could decide to schedule a doorknock or move on to other locating methods.

The U. S. Postal Service (USPS) has an Address Change Service. The service handles the manual address corrections we describe above. The Address Change Service also provides address changes electronically. The cost is currently 70 cents per corrected address. Using the service requires special formatting of the address block of an envelope and setting up software to receive the electronic corrections. While the use of the service may not be cost-effective for a few hundred or even a few thousand letters sent out over the course of a year, those with larger mailings may want to consider it. information about this service can be found on the USPS Web More site[.] http://www.usps.com/ncsc/addressservices/moveupdate/acs.htm. Even if you do not access this service directly, most of the database search services described in Section 5.1 do subscribe to the service. See the USPS Web site for information about a number of services designed to improve the accuracy of addresses: http://www.usps.com/ncsc/. These services are designed for bulk mailers, but may be useful to those with smaller amounts of mail.

When to Send Letters

Sending letters is inexpensive and easily automated. You can keep the trail fresh by sending letters periodically, even before clients are due for follow-up. At a minimum, letters should be sent one to two months before the client's due date. For example, send letters at the end of May to all clients due for a July interview. If your follow-up point is longer than six months, then at least one additional set of letters should be sent out. Some evaluators suggest sending letters or newsletters out every two months. That way, you are quickly alerted when an address goes bad and clients are reminded that a follow-up appointment is coming up.

4.3. TRACKING BY TELEPHONE



Telephone contact is an essential component of a successful tracking and locating strategy. Telephone calls are used to contact the client directly and also to contact others who may provide new information on the whereabouts of the client. It is usually best to wait one to two weeks after letters have been sent before attempting telephone contact. This lag time allows willing clients to schedule an interview appointment after receiving a letter, and thus saves the time and resources that would have been spent making unnecessary calls. This section suggests whom to contact, what to say on the phone, how to proceed when phone numbers are disconnected, and how to leave messages on answering machines. It also discusses the use of Directory Assistance and the usefulness of reverse or cross-reference directories.

Start the process by calling the telephone numbers from the Locator Form. Be sure to record every telephone attempt on the locator log for the client being called (see Appendix A for an example). Several outcomes can occur from these attempts. The best outcome, of course, is that the client, or someone who knows the client personally, answers the call. The more likely outcomes include (1) that the number has been disconnected, (2) the number has been changed to a new number, which may be unlisted; or (3) the number is a new number for someone who does not know the client.

CAUTION: When making telephone contact with clients, make absolutely sure that you are talking to your client before divulging information about the nature of the study. Ask the client to state where the intake interview took place or to provide his or her birth date and verify these with your records. Tell the client that this is done to ensure confidentiality. Also, ask if this is a good time to talk, and make certain that the conversation is not being overheard by someone else.

Sometimes a number that is reported as disconnected or changed was actually misdialed, so it is important to try the number again to make sure. When the person answering the call does not know the client, verify that the correct number was dialed. Also, check for area code changes (see Appendix F) because the telephone company redirects callers to the new area code for a limited time (usually six months). After that time, you will get a "not in service" message or the number is reassigned.

On some occasions a number is "temporarily disconnected," as a result of an overdue telephone bill. It is important to continue calling this number periodically on the chance that service has been restored.

Family and Friends

When a valid number is called, and someone other than the client answers, it is important to remember that this may not be the first time the answerer has been called about the client by unknown persons. Others who may call include law enforcement officials, bill collectors, former friends or partners, lawyers, social workers, etc. Often the person who answers is screening calls to protect the client. This is a primary reason why the locator/interviewer's presentation is critically important for a successful call. Begin the call by introducing yourself and the organization conducting the study, then explain that you are trying to get in contact with the client for a health study. If the study is prospective, also mention that the client expressed interest in participating in a study some months or years ago and that this is a reminder call. If the person you are speaking to is listed on the locator form, mention that the client "gave us your name as a contact because he/she thought you would know where he/she is."

If the person is somewhat hesitant or less than forthcoming with information about the client, describe some general details about the study, such as the number of people participating in the study, the payment given to participants, and that the interview is conducted at the client's convenience. Under no circumstances is any detailed information shared about the study. If the person asks if this is the study about drug abuse, explain again that this project is a confidential health study.

Ideally, the person will provide the necessary contact information about the client. If the person appears uncertain or nervous about revealing any information, just leave a telephone number and ask him or her to pass it on to the client. In all telephone locating attempts, always thank the person for his or her assistance and strive to end the call in a courteous manner that will ensure receptivity to future calls. After a few calls, the person may feel secure enough to provide the information needed to locate the client.

Employer Contact

When it appears that the telephone numbers on the Locator Form for the client's family or friends are not productive, it then becomes appropriate to call the client's employer. **Any calls to the employer must be completely discreet**. In the first call, ask to speak to the client, but do not formally introduce yourself and the organization, or mention anything about the study. If the employer wants to know who you are, give your full name, but again do not mention the organization or study. If the employer asks to know who you represent, then name the organization. At this point, the employer is likely to let the client take the call or will offer to take a message. This confirms that the client is employed at that business.

It is also possible that the employer will state that the client no longer works there. The locator/interviewer can then discreetly probe the employer for locating information. Please note, however that to avoid litigation, most organizations will release only dates of employment and position title. Still, you might ask the following questions:

How long ago did the client leave? Did the client find other employment? If yes, where and with what employer? Do you know how I can get a message to the client? If you happen to see the client, could you pass a message on to call me? Do you know anyone else who might be able to get a message to the client? CASE STUDY: We called one employer, an auto wrecking yard, trying to locate our client. The manager said our client no longer worked there but was still living in a nearby motel. He even provided us with the name and phone number of the motel.

Answering Machines/Voice Mail

The use of answering machines and voice mail is now common, but also popular are Caller ID, Call Blocking, Call Forwarding, Call Back, pagers, facsimile transmissions, and cellular telephones.

These services create both opportunities and challenges for those trying to locate study clients. For instance, installing Caller ID to identify incoming calls can prove to be quite useful for the study. However, while a client may not have Caller ID on his/her phone, other people you call in an effort to locate the client may have Caller ID. This could potentially cause a problem if the locator/interviewer placing the call leaves a number that is different from what appears on the Caller ID device.

When an answering machine or voice mail picks up a call, you need to decide whether it is appropriate to leave a message. If you are calling a phone number that is directly connected to your client, such as one the client listed on his/her Locator Form, then leaving a message is appropriate. If you are calling a phone number not directly connected with your client or not provided by your client, such as a number obtained from Web-based White Pages, then it is usually better not to leave a message. This will prevent confusion among tracking staff when the wrong "John Doe" returns a call. Try the number at a different time of day in hope of finding someone home.

When you do leave a message, make it brief, introducing yourself and the organization and say that the purpose of your call is to get in contact with the client. Make sure you mention that you have an "800" number or will accept collect calls, if that's the case. If no one returns the call, try again at different times of the day and on different days. Having a different person leave messages may be helpful, as some people become weary of repeated contact. This works well, especially if a client has been reluctant to call back because they're avoiding a particular staff member. Calling in the evenings or on weekends will often produce results because people are often home at those times.

HINT: Be sensitive to gender and ethnic issues. For example, if calling a client's girlfriend to obtain information, a male caller might get a better response than a female caller, who might be considered a rival girlfriend. Also, minority clients and families might be less suspicious of someone from their own ethnicity calling than if it is obviously a white person making inquiries. However, sometimes the opposite works. So if one tactic doesn't work, switch to another.

Leave only two or three messages over a two-week period. People with answering machines sometimes screen their calls. If there is no response to the messages after several weeks or no one answers, move on to other locating strategies. Make sure you record all calls and the results on the Contact Log sheet. Remember to include:

The number called Name of the person you spoke to Day and time you called The message you left (with a person or on an answering machine)

Directory Assistance/Telephone Book

In much of the country, Directory Assistance is no longer provided by operators in the local area and it is no longer inexpensive. Still, the easiest way to get the phone number of a client may be to check your phone book or call Directory Assistance. Give the name and address of the person you are trying to locate, (e.g., John Smith at 345 Foxhole Dr.). If there is no listed number for that name at that address, ask if John Smith has an unlisted number. If he does and your letters have not been answered, you may need to go in person to the address. If there is no John Smith at 345 Foxhole Dr., but there are three others by that name in the city or area, get the phone numbers for all of them and start dialing. You may get lucky. This, of course, is only feasible if your client has a fairly uncommon name or you are searching in a small area.

Sometimes you may be able to get an address from Directory Assistance. Ask for the person's phone number and address (this works best when there only a few listed under that name). Also, if you have a phone number and need an address, you might ask for the number and say: "Is that at [made-up address]?" The operator may respond with: "No, it is at 345 Foxhole Dr." Not all operators are equally cooperative. If you are not getting much help, it may be a good idea to wait and call again, hoping that another operator will answer and be of more assistance.

Reverse or Cross-Reference Directories

Reverse, or cross-reference, directories are useful when an address might provide leads but no phone number is available. The companies that produce these directories tend to specialize in specific states. If the company you contact does not cover your state, ask them to refer you to the one that does. Reverse directories list all street addresses in a city or county, with the owners or current residents and, if available, a phone number. Conversely, if only a phone number is available, the directory shows the name and address associated with that number. Reverse directories can often be used free at local libraries, and some libraries will provide a limited look-up service by phone through their reference desk (e.g., the reference librarian will look up a maximum of three phone numbers or addresses). If your usage will be limited, this may be your most cost-effective route. You may want to subscribe to a national look-up service. Most of the companies listed below provide that service. Generally, reverse directory services specialize in certain regions, whereas the look-up services are national (data is shared within their association). Although somewhat costly, look-up services provide more up-to-date address information than that obtained from printed directories or CD-ROMs. We have had good success with Haines, but all of the firms listed below provide similar services.

Haines & Company, Inc., publishes criss-cross directories for California, Georgia, Illinois, Indiana, Louisiana, Missouri, the Washington, D.C., area, and Virginia (all directories are available on CD-ROM). Haines also provides a national look-up service over the phone, by fax, or by mail. In addition to providing addresses and phone numbers of clients, Haines can supply names and phone numbers of the

two closest neighbors. If you are not able to locate your client directly, contacting a neighbor may bring results.

Haines & Company, Inc. 8050 Freedom Ave. N.W. North Canton, OH 44720 <u>http://haines.com/</u> 800-843-8452

Cole publishes reverse directories for cities in 32 states and has a national look-up service. Services are also available online and on CD-ROM. In addition to reverse directory services, change of address records, names of all adults in a household, and neighbors with phone numbers are also available.

Cole Information Services 901 West Bond Lincoln, NE 68521-3632 http://www.experian.com/cole_directory/index.html 800-283-2855

Bressler publishes reverse directories for Florida, Indiana, Michigan, and Wisconsin (all available on CD-ROM). Bressler also provides a national look-up service.

The Bressler Company Executive Offices 684 W. Baltimore Street Detroit, Michigan 48202 <u>http://www.bressers.com/crisscross.htm; http://www.bressers.com/natlib.htm</u> 877-322-LIST (5478)

Hill-Donnelly, which recently acquired City Publishing, publishes reverse directories with extensive coverage of urban areas in Arizona, Connecticut, Florida, Georgia, Maine, New Jersey, New York, North Carolina, South Carolina, Vermont, and Virginia. They also have coverage of selected urban areas in other states. Their material is gleaned from local telephone companies, public records, U.S. Bureau of Census, Direct Marketing Association, and the U.S. Postal Service. These directories are available in print and in CD-OM versions. Hill-Donnelly does not offer a national look-up service.

Hill-Donnelly Information Services 10126 Windhorst Rd. Tampa, FL 33619 <u>http://www.hilldonn.com; http://www.citypubco.com/</u> 888-525-1242

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4.4. TRACKING BY COMPUTER



Since 1996, when the first edition of this manual was written, there has been an enormous increase in the use of the Internet. We strongly advise anyone doing follow-up on treatment participants to take full advantage of computer resources. They are described throughout this manual, but all primary methods are discussed here. Those of you who are using the online version of this manual will be able to click on the embedded links (<u>in blue and underlined</u>) and your Web browser will automatically take you to that site.

Search Engines

A search engine helps you sort through the millions of sites on the Web and find the ones relevant to your needs. You put in your search terms, such as "social death index" for the Social Security Death Index, and click "search." We have found Google to be much better than most search engines. It seems that the site you need is always at or near the top of its listings. Google is highly rated among evaluators and has the highest rating from SearchEngineWatch.com. For each entry, Google has the useful option of searching for similar pages. Another excellent search engine is AllTheWeb.com.

http://www.google.com/ http://www.alltheWeb.com/

Although not actually a search engine, PeopleSearch.net links to and launches searches simultaneously in 15 different Web-based directories (both white pages and e-mail). This can save much time, but can also crash some older computers and is best done with a high-speed Internet connection. It also loads you up with Web advertising. You can find it at:

http://peoplesearch.net/peoplesearch/peoplesearch_deluxe.html

Web-based White Pages

Web-based white page services have a number of advantages. They are inexpensive, fast, and have information options that might take many calls to Directory Assistance to obtain. These options include look-ups within an entire state (or even the entire country), reverse look-up by phone number or address, and e-mail look-up. Some even provide hints to improve your search results. They also have some disadvantages, the main ones being (1) listings that are not up to date (they can be six months to a year old) with no information about how old current listings are, (2) poor quality reverse look-up compared to

cross-reference directory services such as Haines, (3) no information about unlisted numbers (Directory Assistance will, at least, tell you that someone's number is unlisted), and (4) incorrect zip codes (double check all zip codes). Despite these disadvantages, Web-based white pages are a very useful and inexpensive source of information. Below are the ones that we have found most useful:

The Ultimate White Pages^{1,2} <u>http://www.theultimates.com/white/</u>

Bigfoot^{1,2} http://www.bigfoot.com/

EscapeArtist.com http://www.escapeartist.com/global/telephone.htm

InfoUSA.com¹ http://www.infousa.com/fs/consumer.htm

SuperPages.com¹ http://directory.superpages.com/people.jsp?SRC=&rtd=wp1.superpages.com-154110

¹ Reverse look-up available

² E-mail look-up available

The Ultimate White Pages is unique in that it allows you to enter information only once and then search multiple white page directories. The directories included are Whitepages.com, Infospace, Yahoo, WhoWhere, Switchboard, and AnyWho. Try them out and you will see that the information provided by these directories varies. Scroll down to the bottom of the page and you will find both reverse look-up and map searches. Bigfoot uses Whitepages.com for its phone number search, but has more extensive e-mail listings than many others. EscapeArtist connects you to white pages in countries throughout the world (not all countries have directories online) and provides the dialing codes. InfoUSA.com appears to have fairly up-to-date information on phone numbers, but the neighborhood data they include with the listing is not to be relied on. SuperPages is a Verizon service and appears to have very extensive listings. Additional white page services are available on the Web, but keep in mind that one service may go by multiple names. For example, Four11.com is the same as Yahoo, and 411locate.com and Dogpile People Search both use Infospace for their white pages.

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Zip Code Look-Up

This is a helpful service provided by the U.S. Post Office and is useful when a client has provided a street address, but no zip. It is also useful in identifying bogus addresses. If a street address you enter does not exist, the service will return an error message with an explanation. http://www.usps.com/zip4/

Public Records Web sites

States and counties often have at least some of their public records online. One Web site we have come across, Fosson.com, has links to many of them throughout the country. http://www.fosson.com/Welcome_to_Fosson_com__Online_/welcome_to_fosson_com__online_.htm

Criminal Justice Web sites

Many drug abusers in publicly funded programs have come into contact with the criminal justice system (CJS) and may be located using CJS information. The recent proliferation of CJS Web sites has made this process much easier. For example, just a few years ago, if we wanted to find out if any of our evaluation clients were in Los Angeles County Jail, we had to drive to the downtown jail, pick up a 3-inch high printout of inmates, bring it back to the office, and painstakingly look up every one. We did this every week and a lot of staff time was spent just in obtaining the list. Now, all we have to do is search on the Sheriff's Department Web site, and, the information is updated daily. Today, many inmates in county jails, state prisons, and federal prison can be located via the Internet. Not every county and state has its inmate list on the Web, but many do and every month it seems that more are available. If your county or state doesn't list inmates now, just wait a month or two and check back. That's how we found the Los Angeles Sheriff's Department inmate locator site. See Section 5.2, Criminal Justice System Information Sources, for federal, state, and county information and Web sites on locating prisoners.

Web-based Search Services

We have never used private Web-based search services that charge a fee, such as USSearch. Therefore, we cannot advise you about their usefulness. You can directly access the same databases they do, so why pay them to do it?

Other Web Resources

There are many other useful links that we have used for tracking and locating during the revision of this manual. Note, however, that the links the sites provide may be broken (i.e., referring to a Web page that has been moved or taken down). Below, are the ones we have found most useful.

http://www.corrections.com/links/viewlinks.asp?Cat=30 http://dcs.state.or.us/links/locate.htm http://www.indexoftheWeb.com/Information/Reverse_Phone_Directory.htm http://www.infobel.com/teldir/teldir.asp?page=/eng/namc/pr http://www.Internetpeoplesearch.com/search_tools.html http://www.lawresearch.com/v2/search/cepeople.htm http://www.liddyshow.us/psearch.php http://www.loc8fast.com/ http://www.nwpl.new-westminster.bc.ca/links/phonedirectories.htm http://www.processservers.com/ http://www.selu.edu/Library/InternetRes/directories.html http://www.virtualgumshoe.com/gator40.htm

4.5. DOORKNOCKING



When the "easy" locating methods produce no results, the next step is a personal visit to the client's home or neighborhood. This personal approach is referred to as "doorknocking."

Home Visits

If an address appears to be good but you have had no response, prepare to conduct a home visit. First, complete a home visit card; this card is a 4×6 index card that contains the client's name, address, date of birth, social security number, aliases, and nicknames. If available, a physical description should also be included or a photo of the client should be viewed before leaving the office.

The completed card is put into the home visit file. The cards in the file should be grouped by area, and visits are made when an interviewer has reason to travel to that area or when there are enough cards in a file to warrant a trip. When a field or home interview is scheduled, check the home visit files to see if there are doorknocking visits to be done in the area. If there are, take the cards and several resident letters (Appendix E). These letters give a brief explanation of who you are and why you are looking for the client. They are designed to be left with neighbors, relatives, and neighborhood business people. Also, take along extra interview forms in case you come across one or more of the clients you are seeking.

NOTE: Fieldworkers must always protect client confidentiality. To help ensure confidentiality, stationery must be neutral (not mentioning drugs, alcohol, treatment, or the name of a treatment agency). We use "UCLA Health Study" stationery and include our 800-number on it. Business cards should also be specific to the study and neutral.

Doorknocking Guidelines

The following are guidelines for doorknocking procedures:

Presentation. Explain who you are, whom you are looking for, and why. Dress appropriately for the area so that you blend in. Wear or carry an identifying badge of your organization so that you will not be mistaken for law enforcement. Carry the necessary materials with you so that if you locate the client you can conduct the interview on the spot. This may be your only chance to interview your client.

Seek cooperation. If the client is not at home, ask when he/she might be home and if it will be okay to come back at that time. If you are not getting cooperation from your contact, emphasize the importance of the study, the payment (if any), and the fact that your client has already agreed to participate. Ask as many questions as possible – you may not get another chance. Avoid any reference to drug abuse; refer to the evaluation project as a "health study." Carry business cards with your name and the project phone number. Pass these out to contacts and ask them to hand the card to your client in case they see him/her. Never give out your home phone number or address. (For an example of a conversation script, see Appendix C.)

HINT: If someone tells you that your client is out of town but will be back in six months, it might be an indication that he/she is in jail or prison.

Contacting neighbors and possible associates of the client. If the client no longer lives at the address, probe landlords, property managers, neighbors, and nearby businesses on both sides of the street tactfully to find out:

how long ago he or she moved away whether anybody in the building or neighborhood know where the client went whether he or she had any friends who are still here whether there are still family members around where he or she worked who he or she hung out with whether he or she frequented any bars, restaurants, or pool halls whether he or she dated anyone in the neighborhood

Continue to ask questions until the source runs dry. Follow the same procedures with all possible sources. Be sure to leave resident letters and business cards with all persons contacted, and under the door if no one is at home. If your study allows it, you might be able to offer a finder's fee to anyone who assists you in getting the interview with your client. Of course, no money should change hands until the interview has been successfully completed. Remember, if you offer money to more than one person, check and verify with your client (when found and interviewed) who is to receive the finder's fee, as several people may claim the reward.

If the above efforts fail to produce the desired result, go to the nearby locations (e.g., grocery store, gas station, liquor store, church, pool hall, and park), and check those out. It is important to exhaust as many sources of information as possible. Postal workers sometimes have valuable information as well. Check for the time of mail delivery and meet him/her then. **Do not leave the area without talking to someone!** Leave your business cards with everyone "just in case the client should come by." When back in the office, document all procedures and suggestions for a repeat visit if one is warranted.

Preparing for Red Flag Situations: Abuse, Suicidality, Danger to Others

When you visit people in the field you may occasionally encounter what we call Red Flag Situations (e.g., observing child abuse, learning that a client is a danger to himself/herself or others). Although

these situations are rare, it is important that you are prepared to deal with them if they should come up. Appendix D provides general guidelines for assessing and addressing such situations. States and municipalities have varying definitions of these situations, so be sure that you have clear information about your state's policies regarding reporting. Certain professions (e.g., doctors, nurses, teachers, and counselors) or job titles are mandated reporters of these situations. Find out whether or not you are a mandated reporter. Also, be sure you know your agency's procedures for dealing with these situations. If a potentially reportable situation comes up, it is always wise to contact your supervisor for assistance.

Safety in the Field

Even though we at ISAP have never had any serious incidents involving fieldworkers, it is always important to take certain precautions. Below are some general guidelines that we encourage fieldworkers to take.

First, know the area where you will be doorknocking. If it is deemed unsafe, fieldworkers should travel in pairs. Even though evenings may be the best time to find people at home, a high-crime area should not be visited after dark. Do your tracking in those areas on a weekend afternoon instead. Once you have assured yourself of the safety of the area, go to the client's address and knock. You should have a cell phone when in the field and should check in regularly with your supervisor. If you are working with a high-crime population, you may also want to consider carrying pepper spray and getting basic self-defense training. (We have never had to use either, but we feel it is worth taking the extra effort for safety.)

You must always be ready to conduct the interview when you find a client; however, it is often preferable to conduct interviews in a public place rather than the client's home. This is especially important if the client and his/her environment are unknown to you. You can always suggest that the interview take place at a nearby McDonald's, Starbuck's, or other convenient fast food place. Clients often appreciate being treated to a meal. A park or public library may also be suitable.

CAUTION: It is never a good idea to transport clients or other contacts in your car. If someone asks for a ride, explain that your project's insurance policy prohibits it. Instead, offer to pay for transportation, if necessary.

Always dress appropriately for the area you are going to so that you will not stand out. Never wear colors or clothing that may be construed as gang attire. Also, it is never appropriate for a female interviewer to dress in a low-cut blouse or a very short skirt. You do not want to attract unwanted attention to yourself.

Bring only the materials you need for the doorknock or interview. Do not bring personal belongings, such as a purse or wallet. However, do bring a cell phone. Only bring the amount of money that you need to pay the client for that interview. Leave everything else in the trunk of your car.

When you are in the field for doorknocking or interviewing, carry a cell phone and, when you arrive, tell the client that you have to call the office to let them know where you are. Then, call your supervisor or other project staff. It is a good idea to have a pre-arranged code

to use to get out of potentially "bad" situations. One might, for example, arrange to say, "Okay, I guess I'll have to come right back, then. I will try to reschedule this interview for another day." Then get out! This would be appropriate if the client appears too intoxicated to continue, too hostile, or if there are other people present who would interfere with the interview and refuse to leave.

If you have had a bad experience during a field visit, always complete and place an "Incident Report" in the client's file to alert other fieldworkers of potential problems that may occur during subsequent interviews.

Lastly, remember that your safety is always more important than any interview. If you arrive at the arranged location, and for whatever reason the place does not appear safe, drive away and attempt to reschedule the interview for another time and place.

CASE STUDY USING DOORKNOCKING TECHNIQUES: John, a tenacious tracker, was doorknocking and not having much luck. Our client had moved from the address and the only information that the new tenant had was that our client was very messy and had left the apartment filthy. John went to the apartment manager and asked if he remembered the messy tenant and if he knew of his whereabouts. The manager said that our client was now homeless and hanging out at the gas station down the street. John drove to the gas station where some men were standing around. He asked if any of them knew "J.R., a guy from Belize." One of the men told John to check with a man sitting on the curb as he was also from Belize and might know our client. When approached, the man told John that he was J.R., and correctly gave the first and last name of his mother as confirmation of his identity. John conducted the interview on the spot.

4.6. THE IDEAL TRACKER



Choosing your tracking staff wisely is one of the most important steps you can take to ensure overall success. Over the years, we have found that good trackers tend to have certain characteristics. Good trackers enjoy the challenge of finding people. They are committed to the problem-solving nature of the task. They are socially adept and mature enough to always keep confidentiality issues in mind and not go over the line. They are also street smart and understand the conditions under which your clients tend to operate. They are computer savvy. They are friendly, maybe even have the gift of gab, but can maintain appropriate professional boundaries. And, they are confident in the field, but not imprudent in possible risk situations. We will discuss these and additional characteristics below. Good trackers do not have to have all these characteristics to be successful, but the more they have, the more likely they are to succeed. Certainly, your team of trackers should, together, have them all.

NOTE: Trackers should not resemble the police, debt collectors, bounty hunters, or other similar people your clients may want to avoid.

The ideal tracker:

Can work independently. Trackers often need to work evening and weekend hours – times when it may be difficult for you to be on hand for supervision. In addition, trackers should be able to make decisions about what course to follow without requiring constant oversight.

Is friendly, polite, and can build rapport easily. Because trackers are asking favors of others, a pleasant demeanor is essential, but even more important is the ability to quickly build rapport. Good trackers quickly put people at ease and engage them in assisting the search for your client.

Is street smart. Street smarts are so important when following up on clients, especially in doorknocking situations. We usually look for people with a history of working in the community. To gain more insight into current street situations, have trackers talk to other clients, your most knowledgeable counselor, local service providers, anyone else who can give them a sense of what's going on out on the streets. Trackers should also be aware of places/situations that are unsafe (i.e., drug-dealing areas, isolated areas, gang turf, turf wars, etc.).

Can work with a wide variety of people. To be successful, trackers have to secure the trust of your clients, clients' family members, clients' employers, social service agency personnel, criminal justice system personnel, and others. Be sure your tracker will treat drug users, parole officers, "co-dependents," etc. with respect.

Is non-judgmental. Do you have clients who have relapsed? Who are involved in prostitution? Or who are in unhealthy relationships? A tracker should be able to work with clients in these situations without appearing judgmental.

Is culturally sensitive. It's a good idea to have trackers from the same cultural groups you serve and who are aware of the cultural issues that might come up. Even over the phone, there are differences in things such as directness, use of silence, time spent on pleasantries, and so on that differ from one cultural group to another. These can be key to successfully locating a client.

Is perseverant. You want someone who enjoys the challenge of finding your clients and is not discouraged by a hard-to-find case. Trackers also need to be systematic, keeping notes on the steps they are taking, automating tasks (such as sending letters) when possible, making weekly checks for clients in the criminal justice system, and so on. A good tracker will follow up on leads when he or she finds them.

Understands confidentiality issues. There may be times when your tracking staff may be tempted to break confidentiality. For example, a social service worker or parole officer asks for information on your client in return for providing information. Trackers must understand that the confidentiality of clients cannot be breached even when it might make their job a little easier.

Is smart and analytic. Trackers need to be able to study a file containing the locator form and tracking notes and figure out what the next best course is.

Is flexible. Your tracker should be willing to go to a not-so-nice park to find a homeless client, or to make calls during evenings and weekends.

Is computer savvy. A good tracker should be have good basic computer knowledge – understanding how to go online, how search engines work, how to use databases, how to do mail merge tasks, how to back up the computer, and other related tasks.

Documents the steps taken. A good tracker documents everything: the phone numbers called and the results, the letters sent, the letters returned, impressions of the situation when they talk to people on the phone, ideas about a good next step, or an address or phone number that may be good, but hasn't given results yet. You find all this and more in the tracking log of a good tracker.

Staffing

Typically, our trackers are college graduates with backgrounds in the social sciences. Many of them come from non-White ethnic groups and are bilingual. Most have relevant community experience, such as being an outreach worker, working in a homeless shelter, or tutoring youth in the community. Some grew up in the same neighborhoods as many of the clients in our studies. Some of our trackers and interviewers are in recovery.

Employing treatment program staff for tracking and locating is generally not advisable. Clients may not want their counselors to know that they have relapsed or they may have had a negative experience at the treatment program. It may also create confidentiality concerns on the part of clients.

When we staff our follow-up studies, we usually have one person working an early shift (starting at 8 a.m. or earlier) while the others come into work later. That way, our project phones are covered from 8 a.m. to 8 p.m. This is extremely important when clients are calling from prison or jail, where they are required to make automated collect calls and there must be someone at your office to accept the call. We usually have a Saturday or Sunday covered every week as well. A tracker with early weekday hours can contact agency personnel (jails, prisons, social workers, department of motor vehicles, etc.), while trackers who work evening hours can contact people after they have arrived home from work. Trackers do not have to work full time to be effective. One of our best trackers works only 8 hours per week, but she maximizes her effectiveness by working in the evenings or on Saturday or Sunday when she is more likely to reach people by telephone.

Even though you recruit and hire for the skill set described above, it is important to train continuously as well, not only from the coordinator to subordinates, but cross-training among the staff. This does not have to be particularly formal or time consuming. Just be sure that trackers with knowledge in particular areas assist other staff in learning this information.

How do you supervise staff members who are often working outside regular business hours? One way is through weekly meetings that all staff attend. Another way is to monitor the Locator Notes. Is a staff member making clear and thorough notes of tracking attempts? Is a staff member making a reasonable number of tracking attempts? Are these attempts appropriate? Not everyone has the right mix of qualities to make a good tracker. If, despite your attempts to assist or train, a staff member is not showing success, move him or her out. None of us can afford to waste resources.

5. Information Sources

5.1. DATABASE SEARCHES



Alcohol and Drug Data Systems

Each state maintains a database of clients currently involved in county-funded and state-funded substance abuse treatment programs. This database is updated periodically. Information on clients is not available to the general public, but may be available to those conducting state- or federally funded evaluations of drug treatment. In these data systems, the clients may be identified by code, rather than their actual names. You may be able to access this database and find out whether your client is in a treatment program and, if so, in which program he/she is enrolled. Some states maintain a separate methadone registry for people who are enrolled in methadone maintenance or detoxification. Check with your local treatment agency and/or your state alcohol and drug program office. The extent of the information contained in these databases varies. For example, the California Alcohol and Drug Data System (CADDS) does not contain the names or addresses of clients; instead, clients are given an identification code based on the client's date of birth and letters in the client's first and last name. The information linked together in a single database. If you plan to access your state's data system, you must state this in your informed consent form.

If you find a client enrolled in treatment, call the program and ask them to leave a message for your client. Generally, they will not be able to reveal whether or not your client is actually in treatment there (if you already have a professional relationship with them, this may not apply). Usually they will take a message and post it for your client. If you don't hear back, do not hesitate to leave another message. Also, keep in mind that clients in therapeutic communities may not be able to contact you (or anyone outside) during their first month of treatment. Because clients may repeatedly enter and leave treatment, you must repeatedly check such databases over the course of your follow-up.

Credit Bureau Reports

For a fee, you may access credit reporting companies for updated address information. The three major agencies are Equifax, Experian (formerly TRW), and Transunion. We find that credit bureau reports can be an excellent source when other sources have failed. There is a monthly fee for the service, plus a fee

for each search run. The Fair Credit Reporting Act now requires that you have a signed release from your clients in order to access addresses. You will need to demonstrate to the credit bureau that your organization has been in existence for at least a year. In addition, a representative of the company will visit your premises to ascertain that the computer receiving the data is in a secure location and that only qualified staff have access to it.

NOTE: Computers used for records searches should be password protected and placed in areas of very restricted access. All study staff should clearly understand that database searches are for the purposes of the follow-up ONLY.

The information you receive from the credit reporting companies **does not include the client's actual credit report**. You receive what is classified by the companies as consumer identifying information. That typically includes:

Name Current and previous addresses Social Security number Date of birth Current and previous employers

Below is a typical report:

PAGE 1 DATE 8-26-2003 TIME 18:33:00		
JOSEPHINE BRUIN 405 HILGARD AVE LOS ANGELES CA 90095-1361 RPTD: 7-02	SS: 123-45-6789 DOB: 1-10-61	E: BELL AUTOMOTIVE 111 MAIN ST BURBANK CA 91503 RPTD: 8-01
JOSEPHINE AMANDA BRUIN 9500 GILMAN DR SAN DIEGO CA 92093-0001 RPTD: 11-97 TO 6-01	SS: 123-45-679	
SSN ISSUED 1971-1973		

For more information you may contact: *CBI/Equifax* http://www.equifax.com/biz/businessneeds/evaluating.shtml

Experian

http://www.experian.com/products/credit_profile.html

Transunion

http://www.transunion.com/content/page.jsp?id=/transunion/general/data/business/BusCreditReportSyst em.xml

Database Search Services

The following sources are private companies in the business of compiling and selling information from public and other databases. They compile data from hundreds, even thousands of sources. They offer online and/or CD-ROM searches. Please note that these services are not cheap. There is usually a monthly or quarterly fee and some services charge on a per item basis as well. However, one advantage of these services is that because they search public records, they do not require special client permission. As with the credit bureaus, to protect confidentiality of information, you will need to demonstrate to the service that your organization has been in existence for at least a year. In addition, a representative of the company will visit your premises to ascertain that the computer receiving the data is in a secure location and that only qualified staff have access to it.

ChoicePoint (formerly CDB Infotek) offers a number of database search services that include nationwide credit, criminal, and public records. One service, AutoTrackXP, is restricted to use by professionals, who must qualify for the service, but follow-up study evaluators should qualify. (http://www.autotrack.com/; http://www.choicepoint.net/; 800-279-7710)

Cole offers both online and CD-ROM services that include reverse directories, change of address records, names of all adults in a household, and neighbors with phone numbers. (http://www.experian.com/cole_directory/index.html; 800-283-2855)

LexisNexis searches state and federal public records. We have found that their search results are nearly as useful as credit bureau reports. (<u>http://www.lexisnexis.com/</u>; 800-227-4098)

MetroNet from Experian searches names, addresses, change of addresses, telephone numbers, current name and address associated with telephone numbers, and best address for social security number. (http://www.experian.com/products/metronet.html; 888-414-1120)

NOTICE: The content of this publication does not necessarily reflect the views or policies of the Department of Health and Human Services, nor does mention of trade names, commercial products, or organizations imply endorsement by the U.S. Government.

5.2. CRIMINAL JUSTICE SYSTEM INFORMATION SOURCES



Clients from publicly funded drug abuse treatment programs often have a criminal history that includes several arrests or incarcerations. The criminal justice system (CJS) provides a number of possible avenues for locating clients. These include reports referred to as "rap sheets," although most states have a more formal name for these reports. In California, for example, they are called Criminal History Records. Other CJS-based information sources are state and county booking information systems, arrest reports, FBI reports, county jail lists, parole and probation records, and deportation records. Many CJS sources are now available on the Internet and links are provided below.

Rap Sheets

A rap sheet provides information on all arrests for an adult individual. Juvenile arrests are deemed confidential and are not easily obtained. In some states, rap sheets are public information; in others, special evaluation study permission or signed authorization by the client is needed to obtain them. Call the Attorney General's office in the state in which you are searching to obtain the regulations governing the issuing of criminal justice records for evaluation purposes. The rap sheet includes the charges, name and location of the arresting agency, dates of arrest, and disposition of each case. Also, important personal information is usually included, such as date and place of birth, driver's license number(s), social security number(s), and other names the client has used in the past. Additionally, the rap sheets may provide information that can open new search routes. For example, alternative social security numbers may be used in credit bureau or other database searches.

Arrest Reports and FBI Reports

Arrest Report. If the client is not currently under legal supervision but has been arrested within the last few years as noted on the rap sheet, an arrest report may be requested through the arresting agency. As with rap sheets, each state has its own regulations governing the process by which arrest reports are obtained. Call the state Attorney General's office, the headquarters of the state police, or the county sheriff's department for information regarding the issuing of arrest reports. The arrest report supplies the client's address at the time of the arrest, as well as the addresses of accomplices and/or relatives or contacts of the client.

FBI Report. An FBI report provides information for clients arrested out of state as well as in your state. Access to FBI records is usually only possible via special approval from a law enforcement office or other criminal justice agency.

Federal Prison Inmate Records

Federal prisoners are under the jurisdiction of the Federal Bureau of Prisons. To find out whether a client is currently housed in a federal prison, call (202) 307-3126 or access the inmate-locator Web site for federal prisons listed below. Give the client's full name and date of birth. The request is straightforward, as this is public information. The database includes all Federal inmates entering prison from 1982 to present, which is recent enough for most purposes.

Federal Bureau of Prisons main Web site: <u>http://nicic.org/</u> General information: (800) 877-1461 (303) 682-0382 (In Colorado) Inmate locator for Federal Prisons is on the Internet at: <u>http://www.bop.gov/inmate.html</u> Inmate locator for Federal Prisons by telephone at: (202) 307-3126

State Prison System Inmate Records

If you want to find out whether a client is currently incarcerated in a state prison, either call the number for the Department of Corrections (DOC) in that state or access the available inmate-locator Web site. A list of all the Departments of Corrections for the United States, their phone numbers, and inmate-locator Web site is provided below. When calling, have on hand the client's full name, date of birth, and corrections identification number, if available. Department personnel or the locator Web site will be able to tell you where your client is housed and provide a phone number for the facility. The Department of Corrections will also be able to tell you if the client is out on parole and the region to which he/she is assigned. If your client has been discharged from prison (i.e., released without parole) or, you live in a state that has abolished parole supervision, DOC personnel will be unable to provide you with any information other than that the inmate has been discharged or released without parole. This is public information, and you will need no special permission to access the system.

The link below will take you to the departments of corrections for all 50 states. http://www.corrections.com/state.html#state_DOC_online_

Most states provide information on the current location (which prison) or status (on parole, discharged from parole, etc.) of an inmate. Some states include the conviction offense, physical descriptions, release dates, even mug shots. These can be helpful when you are trying to determine whether an inmate is indeed your client or just someone with a similar name. Below is information for all 50 states, including direct links to inmate lists.

Alabama

General information can be obtained via e-mail by writing: pio@doc.state.al.us

Inmate locator at: www.doc.state.al.us/inmsearch.asp

Alaska Juneau Central Office 802 3rd Street Douglas, Alaska 99824 (907) 465-3342

Anchorage Central Office 4500 Diplomacy Drive, Suite 109 Anchorage, Alaska 99508-5927 (907) 269-7350

Arizona General information: (602) 542-3133 Inmate locator at: www.adc.state.az.us/Isearch.htm

Arkansas General information: (870) 267-6999 Inmate locator at: <u>www.state.ar.us/doc/inmate_info/</u>

California Inmate locator by telephone at: (916) 445-6713 Requires client's CDC inmate identification number and/or client's full name and date of birth. You must call the Public Information Officer (PIO) or Administrative Assistant at the specific institution where the inmate is housed in order to arrange for interview.

Colorado General information: (719) 579-9580 Inmate location can be obtained by e-mail to: pio@doc.state.co.us

Connecticut General information: (860) 692.7780 Inmate locator by telephone at: (860) 692-7780 Please have full name and date of birth or social security number when calling.

District of Columbia General information: (202) 671-2135 No Internet inmate locator.

Delaware General information: (302) 739-5601 No Internet inmate locator.

Florida General information: 1-877-822-1987

Inmate locator at: <u>www.dc.state.fl.us/activeinmates/search.asp</u> Locator for all offenders under supervision in Florida on the Internet at: <u>http://www.dc.state.fl.us/activeoffenders/search.asp</u>

Georgia General information: (404) 656.9772 Inmate locator at: <u>http://www.dcor.state.ga.us/OffenderQuery/asp/OffenderQueryForm.asp</u> Parolee locator on the Internet at: <u>http://www.pap.state.ga.us/parolee_database.htm</u>

Hawaii General information: (808) 587-1340 No Internet inmate locator.

Idaho

General information: (208) 658-2134 (Operations Division / Administrative Assistant) Inmate locator at: <u>https://www.accessidaho.org/public/corr/offender/search.html</u>

Illinois General information: (217) 522-2666 Inmate locator at: <u>http://www.idoc.state.il.us/subsections/search/default.shtml</u>

Indiana General information: (317) 232-5715 Inmate locator at: <u>http://www.in.gov/serv/indcorrection_ofs</u>

Iowa

General information: (515) 242-5704 Inmate locator at: http://www.doc.state.ia.us/OffenderInfo.asp Iowa's site is still under construction and appears to list bookings, jail and prison inmates, and parolees, but current status is presently not available.

Kansas General information: (785) 296-3317 Inmate locator at: <u>http://docnet.dc.state.ks.us/kasper2/</u>

Kentucky General information: (502) 564-2220 Inmate locator at: http://www.corrections.ky.gov/kool/ioffsrch.asp

Louisiana General information: (225) 342-9711 No Internet inmate locator. *Maine* General information: (207) 287-4360 No Internet inmate locator.

Maryland General information: (410) 585-3300 Inmate location available by sending e-mail to: <u>mailto:cwood@dpscs.state.md.us</u> or by telephone at: (410) 585- 3350, 3351, 3352 You must provide full name, race, sex, date of birth, and social security number (if known)

Massachusetts General information: (508) 422-3300 Inmate location can be obtained by telephone at: (877) 421-8463 You must provide full name, date of birth and social security number.

Michigan General information can be obtained on the Internet at: <u>www.state.mi.us/mdoc/asp/edoc.asp</u> Inmate locator at: <u>www.state.mi.us/mdoc/asp/otis2.html</u>

Minnesota General information: (651) 642-0200 Inmate locator at: <u>http://info.doc.state.mn.us/publicviewer/main.asp</u>

Mississippi General information: (601) 359-5600 Inmate locator at: <u>www.mdoc.state.ms.us/InmateTest.asp</u>

Missouri General information: (573) 751-2389 No Internet inmate locator.

Montana General information: (406) 444-7461 Inmate locator at: <u>http://app.discoveringmontana.com/conWeb/index.html</u>

Nebraska General information: (402) 471-2654 Inmate locator at: <u>http://www1.nexnet.state.ne.us:9380/ne/html/Corrections/COR_input.html</u> (Use "Inmate Records" link)

Nevada General information: (775) 887-3277 Inmate locator at: <u>http://www.doc.nv.gov/ncis/search.php</u>

New Hampshire General information: (603) 271-5600 No inmate locator on the Internet.

New Jersey General information: (609) 292-4036 Inmate locator information can be obtained by telephone at: (609) 777-5753 Inmate locator at: <u>https://www4.state.nj.us/NASApp/DOC_InmateSearchEngine/inmatesearch</u>

New Mexico General information: (505) 827-8220 No inmate locator on the Internet

New York General information: (518) 457-8126 Inmate locator information can be obtained by telephone at: (518) 457-5000 Inmate locator at: <u>http://nysdocslookup.docs.state.ny.us/kingw00</u>

North Carolina General information: (919) 716-3700 Inmate locator at: <u>http://Webapps.doc.state.nc.us/apps/offender_servlets/search1</u>

Ohio

General information: (614) 752-1159 Inmate locator information can be obtained by telephone at: (619) 752-1076 Inmate locator at: <u>http://www.drc.state.oh.us/search2.htm</u>

Oregon

General information: (503) 373-1173 No inmate locator on Internet but inquiries can be e-mailed to: <u>mary.1.Solomon@state.or.us</u> (Oregon plans to add Internet inmate locator in the future)

Oklahoma General information: (405) 425-2500 Inmate locator at: <u>http://docapp8.doc.state.ok.us/servlet/page?_pageid=395&_dad=portal30&_schema=PORTAL30</u> Also try: <u>http://www.doc.state.ok.us/DOCS/offender_info.htm</u>

Pennsylvania General information: (717) 975-4859 Inmate locator at: http://www.cor.state.pa.us/DOCApps/locator.asp

Puerto Rico General information: (787) 749-9260 No inmate locator on the Internet. *Rhode Island* General information: (401) 462-2611 No inmate locator on the Internet.

South Carolina General information: (843) 740-6128 No inmate locator on the Internet.

South Dakota General information: (605) 773-3478 Inmate locator information can be obtained by telephone at: (605) 773-3478 You will need full name and date of birth or social security number.

Tennessee General information: (615) 741-1000 No inmate locator on the Internet.

Texas

General information: (512) 475-3250 Inmate locator information can be obtained by telephone at: (800) 535-0283 (Toll free for calls made within Texas), (512) 406-5202 (Austin), (936) 295-6371 (Huntsville) You will need full name, date of birth, and county of conviction, or 7-digit TDCJ number.

Utah

General information: (801) 545-5500 Inmate locator information can be obtained by telephone at: (801) 545-5555 (Inmate Placement Program)

Vermont General information: (802) 241-2276 Inmate locator at: <u>http://www.doc.state.vt.us:81/cgi-bin/public.cgi</u>

Virginia

General information: (804) 674-3000 Inmate locator at: <u>http://www.vadoc.state.va.us/offenders/prisonlife/default.htm</u> (Click on "Inmate Locator" link)

Washington General information: (360) 753-1573 No inmate locator on the Internet.

West Virginia General information: (304) 558-2036 No inmate locator on the Internet. *Wisconsin* General information: (608) 240-5000 No inmate locator on the Internet.

Wyoming General information: (307) 777-7208 No inmate locator on the Internet.

An umbrella site, VINELink, links to inmate databases throughout the country. Simply click on a state to begin the search. County jail information may also be available within a state search. VINELink's state listings are not as comprehensive as those we list above. http://www.vinelink.com/index.jsp

County Jail Inmate Lists and Booking Logs

Jail inmate lists typically include everyone in jail the day you check the list, but some have archived information and probation information as well. Inmate lists typically contain information on an inmate's arrest date, arrest charges, release date, and court dates. They may also include the physical description of the inmate, aliases, or mug shots. Many counties now offer inmate lists on their Web sites (see below). If your county does not offer such a Web-based listing of inmates and you have staff that can easily and economically stop by the county jail on a daily (Monday - Friday) basis, this list can prove valuable. The list is often available at the front desk at the jail, and can be inspected by anyone, or may be obtained by permission from the jail commander. When a possible client is found on the list, a staff member should call the inmate information number and give the booking number and date of birth to verify that the inmate is indeed a study client. The interview can then be scheduled, either in jail or after the client is released.

Booking logs typically have information only about recent arrests and this information is posted online for a short time (one day, three days, seven days). That means that someone could be in jail and not be on the booking log. If that is the case for your municipality, then you will need to check the booking log. Web site often so that you won't miss clients or make regular visits to the jail to check their inmate list.

Below is a state-by-state list of counties that currently have Web-based jail inmate lists or booking logs. Additionally, you can access the Internet to determine whether a particular county has created a Web site that provides inmate-booking information since the publication of this manual. This can usually be accomplished by typing in the name of the county, followed by "Sheriff's Department" in the search window of any Internet search engine.

HINT: When a client is found in jail, it is always a good idea to conduct the interview there. Once clients get back on the street, they often will be much more difficult to locate.

The following counties currently have Web-based jail inmate lists or booking logs:

<i>Arizona</i> Maricopa, AZ	http://www.mcso.org/submenu.asp?file=MugIndex	
<i>California</i> Fresno, CA Los Angeles, CA Marin, CA Orange, CA Placer, CA San Bernardino, CA San Diego, CA	http://www.fresnosheriff.org/InmateInfoCenter/main.asp http://app1.lasd.org/iic/ajis_search.cfm http://www.co.marin.ca.us/depts/SO/bklog/XMLProj/index.asp http://www.ocsd.org/ (click on eServices, Who's In Jail) http://www.placer.ca.gov/sheriff/jail/icr.htm http://www.co.san-bernardino.ca.us/Sheriff/Public/Booking/Booking.asp http://www.sdsheriff.net/wij/wij.aspx	
<i>Colorado</i> El Paso, CO Pitkin, CO	http://shr.elpasoco.com/inmates/inmates.asp http://www.aspenpitkin.com/depts/28/inmates.cfm	
<i>Florida</i> Broward, FL Hillsborough, FL Orange, FL Volusia, FL	http://www.sheriff.org/apps/arrest/ http://www.hcso.tampa.fl.us/pub/default.asp?/Online/sname01 http://www.orangecountyfl.net/cms/Bailbond/default.htm http://volusia.org/corrections/search_page.htm	
<i>Georgia</i> Fulton, GA	<u>http://www.fultonsheriff.org/</u> (click on inmate info)	
<i>Idaho</i> Ada, ID Blaine, ID	http://www.adasheriff.org/index3.htm http://www.blainesheriff.com/jail1.htm	
<i>Illinois</i> Cook, IL	http://www.cookcountysheriff.org/doc/locator.html	
<i>Ohio</i> Logan, OH	http://www.co.logan.oh.us/sheriff/inmates.htm	
<i>Oklahoma</i> Oklahoma, OK Pawnee, OK	http://www.oklahomacounty.org/cosheriff/ http://www.pawneecountysheriff.com/jail/jail.html	
<i>Oregon</i> Benton, OR Deschutes, OR Jackson, OR Josephine, OR Lincoln, OR Marian, OR	http://www.co.benton.or.us/sheriff/corrections/bccf/reports/ilist/ilist.pdf http://mom.co.deschutes.or.us/scr/inmates.pl http://www.co.jackson.or.us/Page.asp?NavID=477 (click on Inmate Status) http://www.co.josephine.or.us/sheriff/inmates/icurrent.htm http://lto.locktrack.com/public/reports/lincol_or_ilist.txt http://sheriff.co.marion.or.us/jail.asp	

Polk, OR Umatilla, OR Washington, OR	http://www.polksheriff.net/inmates/ICURRENT.HTM http://www.co.umatilla.or.us/deptWebs/jail/inmates/icurrent.htm http://www.co.washington.or.us/cfdocs/jailall/header.asp	
<i>Nebraska</i> Madison, NE	http://216.25.60.35/ (click on warrant list name search)	
<i>New York</i> Cattaraugus, NY	http://www.sheriff.cattco.org/ (warrants only, click on Active Warrant List)	
<i>Texas</i> Denton, TX	http://justice.co.denton.tx.us/ (jail and bond records)	
<i>Utah</i> Salt Lake, UT	http://www.slsheriff.org/html/jail/jailinfo.html	

Another umbrella site, Corrections.com, has an extensive listing of Web sites for county sheriff/police departments. Not all departments have their inmate lists posted. The site is on the Internet at: http://www.corrections.com/county.html

Parole and Probation Records

If a client is on parole or probation, identify the region in which the client's supervision is occurring by calling the appropriate state office of the Department of Corrections or county probation office, and get the name of the officer in charge of the case. Contact the parole/probation officer and explain that a client of theirs is a participant in a federally funded or state funded health study and there is no current address or phone number for that person. Although occasionally the officer may divulge an address or phone number for the client, usually he or she will decline to do so for reasons of confidentiality. Frequently, however, the parole/probation officer will be willing to forward a letter from the evaluators to the client.

Do not divulge any personal information about the client to the parole/probation officer. Sometimes the officer will say: "I haven't seen him either for several months. I will call you if he shows up, and you call me if you find him, OK?" Do not make any agreements with others to violate study confidentiality.

Deportation Records

A rap sheet may contain information on deportation proceedings for a client. People can be held in detention for months before they are deported and you may be able to complete your follow-up interview at a Bureau of Citizenship and Immigration Services detention center, so it is worthwhile to check on a client's current status. For more information on this topic, see Bureau of Citizenship and Immigration Services, in Section 5.4.

A Note on Interviewing Clients in Jails and Prisons

Each county typically has its own jail system, which, in most cases, is run by that county's Sheriff's Department. When a person is arrested and sent to county jail, a booking number is assigned. This

number is valid only in the county of incarceration. The booking number is not permanent and within a couple of weeks after release, the number cannot be traced back to a specific person. If a client is found in jail, you should conduct an interview as soon as possible. The reason is that people are not always held in jail for very long. The person can be arrested and not charged, post bond, or be released on his/her own recognizance. Although a county may have more than one jail, there is usually a central booking information number to call to get the location where the participant is incarcerated. You will need the participant's full name and date of birth or booking number, if you have it. If the participant is incarcerated, booking information staff can give you the current booking number of the client. You will need the booking number to conduct the interview at the jail.

Smaller departments will often let you use their attorney room on an as-needed basis. You provide your information to the watch commander of the jail you want to visit. If approved, he/she will let you know which day you can conduct the interview. Keep in mind that this process can take up to a week or longer. Larger departments often require you to secure attorney room privileges for their central jails first before actually scheduling the interview. Each department has different procedures, but all require a detailed explanation of the study and security measures for confidentiality.

When you find one of your clients in prison and you want to do an interview, you need to contact the prison to arrange it. If you are only doing a few prison interviews, get clearance for your staff on an asneeded basis. Typically, you contact the prison's public information officer (PIO). He/she will need information on the prisoner (full name and inmate identification number), information on your interviewer (e.g., full name, driver's license number, date of birth, any arrests), and the planned date of your visit. Be sure to let the PIO know that you will need to conduct the interview in an attorney interview room, and that your study has been cleared through the proper channels. This information is best sent in a fax (prisons generally don't have e-mail capability). Make sure your staff members know that they must be completely honest about any of their own arrests or convictions. Arrest and conviction history, if it is long enough ago, generally will not prevent staff from having prison access. However, some prisons will bar entry to anyone who has ever been convicted of drug trafficking. Prisons typically need around two weeks to obtain clearance.

Once a visit has been arranged, interviewers should call the PIO one to two days in advance of the visit to confirm that gate clearance is in place. Be sure that the interviewer has contact information because there often is a problem with clearance once he or she arrives. Prisons have dress codes for visitors (so that they may be distinguished from prisoners). Be sure that the interviewer checks the Web site and/or the recorded information for visitors via the prison phone number regarding these policies. Interview facilities vary greatly from one facility to another, but interviewers have to be prepared for the possibility of being locked in a room with the prisoner.

In some instances, clients who are incarcerated are not allowed to accept monetary payment for the interview. This is true for all clients in the Federal Bureau of Prisons system. In some institutions (not the Federal Bureau of Prisons, however), the client can designate someone to receive the payment on his or her behalf. The interviewer must record the recipient's name and address, and also have the client sign an amended receipt reflecting the name of the party receiving the payment.

5.3. SOCIAL SERVICES INFORMATION SOURCES



Searching Social Service Agency Records

Many clients receive General Relief (GR), Temporary Assistance to Needy Families (TANF), Social Security Disability Insurance (SSDI), or other forms of public assistance. If your client has children, he or, most likely, she may receive TANF or WIC (Women, Infants, and Children – a nutrition program). TANF may go by another name in your state; for example in California it goes by the name CalWorks and there are related programs called GAIN and Work Fare. Also, your client may use the services of the public health agency or receive visits from public health nurses. It is a good idea to acquaint yourself with these public assistance programs because many of them require monthly visits to their offices. The County Government pages of your local telephone book will give numbers for various social service agencies under the heading "Public Social Services Department." You can contact the caseworkers at the local offices directly if you know that the client either lives in or receives payments from that district. If this information is not available, a call to the central office can establish which office handles the client's case.

You should also consider local non-profit (non-governmental) assistance agencies. The local food pantry, church charity, or other agency may also be willing to forward a letter to your client. Many religious organizations in urban areas have non-profit arms that provide services to the needy, so be sure to find out about all the services providers in your area. (For a listing of agencies that work with the homeless, see Chapter 6.)

For public services, once you have the correct district office, call and ask to speak to the caseworker. You probably will not be able to obtain the client's address and phone number directly from the caseworker, as this violates client confidentiality, but if a client is currently receiving public assistance, the caseworker will be able to forward a letter.

The appropriate procedure is to put your letter to the client in an envelope, stamp it, but leave it unsealed, and put the client's name on the outside. Then seal that envelope into a slightly larger one and address it to the caseworker. The caseworker can add the client's address to the inner envelope and mail it to the client. Provide the phone number of the project and a message to pass on to the client in case he or she comes into the service agency office in person. Keep in close contact and follow up with the caseworkers; they are very busy, and these requests will not be high on their list of priorities. It is helpful

to establish a good relationship with a key person in these offices. This can later pave the way to fast and efficient assistance.

Caseworkers have to protect the confidentiality of their clients, but they may provide you with valuable "hints" nonetheless. One case worker told our tracker, "That case is not in our jurisdiction. Try County B." The tracker checked the phone listings for County B and found our client.

NOTE: The prefix (first three digits) of a Social Security Number (SSN) is issued according to the state in which the applicant is living when the number is applied for. A state-by-state listing of Social Security Numbers can be found in Appendix G. If the client you are searching for has an out-of-state SSN, it may be useful to search phone directories and data bases in that state because the client may have returned there.

Social Security Forwarding System

For difficult-to-locate clients, especially those out of state, you can arrange with the Social Security Administration (SSA) to forward a letter indexed by Social Security number. This can be done for all missing clients; however, letters will be forwarded only to those who have had their Social Security number reported for some reason, such as through employment, disability support, or credit application. This is a highly confidential process and the Social Security Administration guidelines must be strictly met. SSA will forward for the general public, if there is a humanitarian reason. Information on these policies is located at: http://www.ssa.gov/foia/ltrfwding.htm

SSA also cooperates in forwarding letters for health follow-ups and surveys. (See SSA Program Operations Manual System [POMS], Section GN 03309.265 Health Follow-Ups and Surveys: <u>http://policy.ssa.gov/poms.nsf/aboutpoms</u>.) This service charges \$3.00 per person to be contacted. According to this policy, the letter to be forwarded must be short and innocuous, informing the missing person only that you wish to get in touch with him/her. There can be nothing in the letter that might embarrass the intended recipient if the letter were read by a third party. There should be no mention of any disease or disability for which the person may have been treated either in the body of the letter or the letterhead, and no questionnaire may be enclosed. The client letter must be placed in a plain, unsealed, unstamped envelope with the client's full name and social security number written legibly on the front of the envelope. Nothing of value should be enclosed. *Do not* put a return address on the envelope, and *do not* stamp it "ADDRESS CORRECTION REQUESTED," or Social Security will not forward the letter.

These requests are placed in a larger envelope accompanied by a cover letter to the Social Security Administration (see Appendix E). The letter to SSA should include the missing person's Social Security number or identifying information to help find the number. The identifying information needed is the person's date and place of birth, father's name, and mother's full birth name. If you would like SSA to inform you that a person is deceased, include that information in your letter to SSA. Usually, SSA forwards a letter in care of the employer who most recently reported earnings for the missing person. SSA would have a current home address only if the person is receiving benefits. SSA cannot assure that a letter will be delivered or that a reply will be received. Social Security will add the client's full address to the envelope, if they have one, and mail it out. There is no way of knowing which clients receive their letters and which do not. It is recommended that this procedure be done in a single mailing to SSA for all missing clients for whom a Social Security number is available. SSA will follow through with this procedure only one time for each client, so it is best to wait until other locating procedures have been exhausted.

Requests for letter forwarding should be sent to:

Social Security Administration Letter Forwarding P.O. Box 33022 Baltimore, MD 21290-3002

NOTE: The Social Security Administration charges \$3.00 per letter. You will need to include payment with your request.

5.4. MISCELLANEOUS INFORMATION SOURCES



There are a number of institutional sources at the community level, aside from criminal justice and social service agencies, that can provide valuable locating information. These sources include departments of vital statistics, court records, the Salvation Army, places of worship, departments of motor vehicles, the Department of Veterans Affairs, the Bureau of Citizenship and Immigration Services, the IRS, colleges, utility companies, voter registration offices, and community clinics. Because searching these sources can be labor intensive, it is best to use them only for those clients that have been difficult to locate. Additionally, it may be necessary to approach these sources personally rather than by telephone, mail, or e-mail.

Obtaining Vital Statistics Records

Birth, marriage, divorce, and, especially, death records can sometimes provide useful information when trying to locate clients. Each state has a Department of Vital Statistics or Vital Records, usually located in the state capital. Through the Department of Vital Statistics, you are often able to obtain these records. However, each county also keeps records for any birth, marriage, divorce, and death that has occurred there. It is sometimes faster and easier to obtain information from the county clerk's office, where you may be able to access computers to obtain information on your client. Note that some states are more restrictive about releasing information than others. A state-by-state summary of how to obtain vital statistics information is listed in Appendix H.

The National Center for Health Statistics, Centers for Disease Control, maintains a Web site with information on how to obtain vital records from each state and territory. The site also includes a PDF (printable) version of the information. The "Where to Write for Vital Records" Web site is located at: http://www.cdc.gov/nchs/howto/w2w/w2welcom.htm

Searching Local Sources of Death Information

To find out if a client has died in your county, you can obtain information about the death by doing a computer search at the County Office of the Registrar/Recorder. You can search for more than one person at a time and under different aliases as well. This service is free and available to the public. If a client is reported dead, you can immediately request a copy of the death certificate.

Death certificates. Request a death certificate for all clients who are reported deceased by any information source. A death certificate assures you that a client is actually dead and includes the cause of death. Toward the end of your follow-up period, it may be helpful to check for death certificates for all unlocated clients.

County coroner's office. In certain circumstances, it is possible to access the County Coroner's Office directly to find out whether a client has died. Records of any person who did not die in a hospital or of natural causes in the presence of a physician will be found in the Coroner's office. You may be able to obtain the information either by phone or in person.

NOTE: There may be a time lag of several months before a death is recorded at the county recorder's office and an even longer time lag before the death is recorded at the state level.

Social Security Death Index

If a client is thought to be dead but a request for a death certificate from the state or county health department produces no results, an alternative information source is the Social Security Death Index (SSDI). SSDI lists only those deaths that have been reported to the Social Security Administration and, as such, it has limitations. It is not a complete index to all deceased individuals who have held Social Security Numbers. However, it is often useful and easy to access via the Web.

Social Security Death Index on the Web. Two sites, RootsWeb.com and Ancestry.com, offer access to the Social Security Death Index. The information provided includes: birth date, death date, last residence, and state where that person's social security card was issued. Both sites provide information about how current their listings are.

http://ssdi.genealogy.rootsWeb.com/ http://www.ancestry.com/search/rectype/vital/ssdi/main.htm

National Death Index

The National Death Index (NDI) is a central computerized index of death record information on file in state vital statistics offices. Working with these state offices, the National Center for Health Statistics established the NDI as a resource to aid epidemiologists and other health and medical investigators with their mortality ascertainment activities. NDI is available to investigators **solely** for statistical purposes in medical and health research. **It is not accessible to organizations or the general public for legal, administrative, or genealogy purposes.** More information about access to the NDI is available at: http://www.cdc.gov/nchs/r&d/ndi/what_is_ndi.htm

NOTE: Some services advertising searches of the National Death Index actually search the Social Security Death Index, which you can access for free.

Court Records

If it appears that the client has been involved in litigation, it can be worthwhile to check court records. The courts (local, state, and federal) keep indexes of all filed cases, both civil and criminal. The indexes are kept in computer databases, in card files, on microfiche, or in ledgers. Criminal cases are listed by defendant; bankruptcy cases, by petitioner; probate actions, by the decedent's name. Civil suits are listed alphabetically by either plaintiff or defendant. To search the indexes, it may be necessary to go to the court and tell the records or docket clerk that you would like to examine the dockets index. Many courts provide information on their Web sites about current or recent cases. Use a search engine to search for your county, state, and the word "court." In Google, for example, a search using the words, "riverside california county court" brought up the Web site for Superior Court of California, County of Riverside, exactly what we were looking for. Current cases are on this site and you can look up names in both criminal and civil cases. Look for options such as case, name, or party search (people involved in court cases are often referred to as "parties"). On other sites, you can only look up cases by date (usually referred to as the court calendar or the court schedule), but within a certain date you can use your browser's "find" or "search-in-this-page" function to look for a specific name.

In some cases, the court orders a garnishment or assignment of wages for non-payment of child support, to pay a fine or restitution, or to settle a debt. A court-ordered garnishment will be on file at the county clerk's office. The file will be indexed by date and alphabetically by the name of the person whose wages were garnished. In addition to the name, the file should include his or her place of employment, the amount garnished, and the name of the aggrieved party.

If you need to search extensively in legal records, then the use of a search service such as LexisNexis or ChoicePoint is advised. See Section 5.1, "Database Searches," for more on these services.

Salvation Army Missing Persons Service

The primary purpose of The Salvation Army's Missing Persons program is to reunite people in families who wish to find each other. The right to privacy is recognized in that an individual's whereabouts are not divulged without his/her consent. All inquiries should be directed to the Territorial Missing Persons office serving the state where the inquirer lives.

The Salvation Army does not charge for the cost of its search service. However, a registration fee of \$25.00 is required with all applications for service. This fee covers the cost of setting up the case only. There is no charge for search efforts or follow-up services. Further contributions to help offset the cost of the service are welcome.

Salvation Army Missing Persons Service Offices:

Eastern Territory 440 West Nyack Road West Nyack, NY 10994-1739 800-315-7699 (serves the following states: ME, VT, NH, MA, CT, RI, NY, NJ, DE, PA, OH, N. KY, PR, VI) Web site: http://www.salvationarmy-usaeast.org/ Central & Southern Territory 10 W. Algonquin Road Des Plaines, IL 60016-6006 1-800-939-2769 (serves the following states: MI, IN, IL, WE, MN, ND, SD, IA, MO, NE, KS, MD, W.VA, VA, S. KY, TN, NC, SC, GA, FL, MS, AL, AR, LA, OK, TX) http://www.usc.salvationarmy.org/usc/www_usc.nsf

Western Territory 180 East Ocean Blvd. Long Beach, CA 90802-7728 1-800-698-7728 (serves the following states: MT, WY, CO, NM, AZ, UT, ID, NV, CA, OR, WA, HI, AK) Web site: http://www.salvationarmy.usawest.org

Places of Worship

Churches, synagogues, and other places of worship may provide information that is useful in locating clients. Always check any religious agency your client listed in the Locator Form. When calling, introduce yourself, the organization, and the study. Larger religious institutions often have specific people in charge of outreach to youth or to the homeless. Find out who would be most likely to know your client and speak to him or her. Ask for the most current address and telephone number for the client. If the information is not provided, ask if a message can be relayed to the client to have him or her call the study. If the client is not known to visit any churches, synagogues, and other places of worship, check those in the client's present or previous neighborhood. They may operate store-front drop-in programs, counseling centers, soup kitchens, or other services for needy clients.

Obtaining DMV Reports

If a client was ever issued a driver's license or state ID card, the Department of Motor Vehicles (DMV) in each state will have a record of it. Because of the federal *Driver's Privacy Protection Act* (see Appendix I), all states have restrictions on who can obtain driver's license information. While federal law prohibits evaluators from obtaining personal information (i.e., subject's address) through DMV records in order to locate individuals, many states allow *any requestor* to obtain personal DMV information *for any reason* when the request is accompanied by express written consent of the subject. Some states do not release personal information even with signed consent. In those states that do release information with consent, the request and/or consent may need to be notarized and/or, accompanied by a copy of the subject's picture identification and/or may be time-limited. Since both federal and state laws allow for substantial financial penalties for violation of the regulations, it is imperative that you adhere to the laws of each state when utilizing DMV records for client locating. Contact the DMV in your state prior to the start of your study to obtain the most current policies, copies of required forms, and fee requirements.

The DMV report will supply one or more addresses, each associated with a date when (1) a license was issued or renewed, or (2) an accident or incident was reported. You may find an address that is more

recent than the one in your files. Letters should be sent to all addresses you haven't already tried. Even when an address on the DMV report is older than the one in the files, it is often worthwhile to send a letter there. Someone who knows the client may still live there, or the post office may be able to provide a forwarding address. In addition to an address, the report will provide the client's birth date and the driver's license or ID number and date of expiration. The DMV will also record whether the client turned in his driver's license in another state in order to get a new license there. If so, you may need to review the client's locator to determine whether there are addresses or phone numbers listed for the new state. Requesting DMV information from the new state may become impractical, as you will no longer be able to obtain the client's written consent prior to the records request.

Military/Veterans Affairs/Civil Service Information

In the aftermath of the September 11, 2001, terrorist attacks, the branches of the military suspended their active duty worldwide locator and directory services. Currently, only active military, civilian employees of the military, national guard, retired military, and family members can gain information about a soldier or sailor's current duty station.

Another service that will provide locating information is the National Personnel Records Center (NPRC). This service releases information per regulations contained in the Freedom of Information Act. To obtain the service records of discharged, retired, or deceased military and federal civil service personnel, submit a copy of U.S. Government Standard Form 180 to the National Personnel Records Center. Standard Form 180 is available on the Web at:

http://www.archives.gov/facilities/mo/st_louis/military_personnel_records/standard_form_180.html (for an example, see Appendix J). The information submitted on the Form should include the client's full name, date of birth, Social Security number, and branch of service or federal department that employed your client. A cover letter should accompany the Form to explain the purpose of the request and that the request is allowable under terms of the Freedom of Information Act. The information that NPRC will release includes dates of service, dates of rank and grade change, awards and decorations, duty assignments, current duty status, educational level, marital status, and the names, sex, and age of any dependents. Also, photographs and records of court martial proceedings are sometimes available.

For records of personnel who are deceased, discharged, or retired, submit the Standard Form 180 to:

National Personnel Records Center (Military Personnel Records) (Civil Service Personnel Records) 9700 Page Boulevard St. Louis, MO 63132

If your client was discharged from the military/civil service fairly recently, or is receiving veteran's benefits, you may also want to request the National Personnel Records Center to forward a letter for you. They will assist your search by forwarding your letter to the service member's last known address. To pursue locating a client who is a former soldier, sailor, or civil service employee:

Write a letter to the client. Place this letter in a sealed and stamped envelope, including your full name and return address.

Write a letter addressed to the National Personnel Records Center requesting their assistance with your search. Be sure to include the service member's name, serial number and/or social security number, and date of birth if available.

Place your envelope addressed to the service member AND the letter to the National Personnel Records Center in ONE envelope. (See address, above.)

Please note that current addresses for discharged service members are not maintained at the records center – this center only has the service member's last officially recorded address. Letters to service members that the record center cannot identify or who are known to be deceased will be returned to you.

It is also possible to have the U.S. Department of Veterans Affairs forward a letter to a veteran who is receiving benefits. To initiate a request, send a letter to the Department's regional or state office requesting that the enclosed letter be forwarded. The letter should be in an unsealed, stamped envelope, without a return address. The veteran's name and Social Security number or VA file number should be on the front of the envelope. In the request letter, include the veteran's full name, date of birth, and any information about his or her service (dates, branch of service and discharge status).

Bureau of Citizenship and Immigration Services

The Immigration and Naturalization Service is now known as the Bureau of Citizenship and Immigration Services (BCIS) and is part of the U.S. Department of Homeland Security. If you have looked and looked and cannot find a client, you should consider the possibility that he or she may have been deported by or is in detention with BCIS. The Antiterrorism and Effective Death Penalty Act of 1996 and the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 require the deportation of non-citizens if they are convicted of a felony (even if they are legal residents).

BCIS records are generally not open to the public; however, information on deportations is in the public domain. To get information on the disposition of a deportation case, submit a request to the Bureau of Citizenship and Immigrations Services (BCIS) by completing BCIS Form G-639, Freedom of Information/Privacy Act Request. The disposition information will tell you whether the subject has been deported and may provide additional U.S. addresses for the client. BCIS forms are available on their Web site, located at:

http://www.immigration.gov/graphics/formsfee/index.htm. A copy of the form is also located in Appendix J.

If you are part of a public agency, you may also be able to obtain deportation information by phone. Contact the nearest BCIS office, listed in the white pages of the phone book under United States Government Offices. As usual, introduce yourself, the organization, and the study, referring to the study as a health study.

NOTE: Illegal aliens may be very difficult to follow up on because of the use of false names and social security numbers.

When an immigrant becomes a citizen, a notice is filed at the county clerk's office in the county where the naturalization took place. The notice is public record, and information in the notice may include the person's age, address, and occupation. Also included are the date of naturalization, date of arrival in the United States, and former nationality. For a copy of the request form (G-639), use the link above or see Appendix J.

Internal Revenue Service

Like the Social Security Administration, the Internal Revenue Service will forward letters to individuals for humanitarian reasons. To request the Internal Revenue Service to forward a letter to a client, send a letter to the Disclosure Officer explaining the reason for the request and stating that you are asking the letter to be forwarded for humanitarian reasons. Your tracking letter to the client should be placed in an unsealed envelope with the client's name on it. It is not necessary to put a stamp on the client envelope. If you are requesting more than one letter to be forwarded, send a list of the clients' names (up to about 20) with their Social Security numbers. The request is submitted to the Internal Revenue Service District Office and addressed to the Disclosure Officer. To find the IRS office in your area, look in the phone book listing for United States Government Offices.

Colleges

Most four-year colleges have student directories on their Web sites. Use a search engine to find the college's Web site, then look for the "Directory" or "Student Directory" or use the links below. Available information usually includes a student's name, address, phone number, and e-mail address. Two-year colleges and trade schools are less likely to have a student directory on the Web. To obtain information from a two-year college or trade school, call the registrar's office or admissions office. Colleges vary in their privacy policies and may not be willing to release information. Alumni associations may only release information to members. When calling, always introduce yourself, the organization, and the study, as usual referring to the study as a health study.

Below are some links for locating both current students and alumni. The first site listed links to the main Web pages of colleges and universities throughout the country. The second site links directly to college and university phone books. The third and fourth listings are commercial sites for linking to alumni nationally and internationally. Only if someone has registered with the site can they be found there. http://www.clas.ufl.edu/CLAS/american-universities.html http://www.uiuc.edu/ricker/PH?domainUrl=http://www2.uiuc.edu/cgi-bin/ph/lookup?Query=. http://www.alumni.net/

http://www.classmates.com/p.tf/registration/

Utility Companies

Information from utility companies about their account holders can sometimes be obtained over the telephone. To find out the name on the account for a certain address, call the utility company. If the account belongs to your client and you have received no response to your correspondence, it may be time to schedule a home visit. Not all utility companies will release information about their accounts, so it is a matter of calling each utility company to determine its level of cooperation.

Voter Registration

Since the last edition of this manual, public access to voter registration records has been greatly curtailed. To find out if local voter records are available to the public, call the central voter registration office for your area. The phone number is usually found in the county government pages of the phone book under "registrar" or "recorder."

Community Clinics and Hospitals

In some communities, free clinics or reduced-rate health services provide medical care or assistance. Clinic staff are not allowed to release any patient information without the patient's consent but will sometimes accept a letter to forward on to the client if he or she has been to the clinic. For that purpose, leave a stamped envelope with the client's name for the clinic staff to address and send out.

Various Publications

In recent years, a large number of books have been published to help people find friends, loved ones and acquaintances. One recommended book is *The Investigator's Little Black Book 3* by Robert Scott. The book is carefully researched and supplies addresses, phone numbers, and Web site addresses for many sources and is updated often.

Other useful books are:

Find it Online: The Complete Guide to Online Research, 3rd Edition, by Alan M. Schlein, Michael Sankey, and J. J. Newby (provides a great deal of information on search engines, Web crawlers, how the Internet works, and a section on searching for people on the Web),

You Can Find Anybody! by Joseph Culligan,

Get the Facts on Anyone, 3rd Edition, by Dennis King; and

Find Anyone Fast by Richard S. Johnson and Debra Johnson Knox.

6. Special Populations

LOCATING HOMELESS CLIENTS



Locating homeless clients can be a challenge, but, with the right kind of preparation, your tracking staff can succeed with even this hard-to-find population. If a large proportion of your clients are homeless, you and your staff will need to pay special attention to how the Locator Form is completed. "Must have" items for the Locator Form include:

A brief list of places the client usually hangs out (street corner, park, bridge, etc.)

Shelters, single-room-occupancy (SRO) hotels: which ones does he/she tend to use?

What soup kitchen, restaurant, etc. does he/she like to use?

Where does he/she like to buy liquor or other necessities? (Store owners who give credit may know where the client tends to hang out.)

Where does he/she cash checks?

Does he/she know any service workers in the area where he/she usually hangs out? Get agency and names.

Does he/she stay in different places in the winter vs. summer? Get list.

Locating a homeless client who has no regular contact with family and social agencies can be especially difficult. The tracker/interviewer will have to spend a considerable amount of time on the street, talking to other homeless people and going from shelter to shelter, park to park. The successful tracker of the homeless is a person who feels comfortable on the streets, who appears non-threatening, and who has won the confidence of other homeless people, who know the tracker is not a snitch or a cop. Once confidence is established, the tracker may be able to obtain valuable information. The time investment is worthwhile if your sample contains a sizable number of homeless people. However, evaluators and project directors must decide whether to invest the time and energy in order to find what may be just a few clients.

HINT: If you can photograph your client at the intake interview, this may come in very handy when you are trying to locate the person later, especially when you must use street locating techniques. To protect your client's confidentiality, study the photograph before you go out to the field, but leave the photo in your client's file. The photo will help you discriminate between your client and a "helper." If you don't have a picture, have at least a description of your client; for example "He's about 45 years old, tall, Latino, with a tattoo on the left arm."

Places to Track Homeless Clients

Homeless shelters and missions. These places do not provide information about their clients on the phone. It is possible, however, to contact a shelter, ask to speak to the director, present the study and gain access to the intake roster. Typically, persistent efforts are needed as staff at the shelters follow strict guidelines regarding confidentiality. If you cannot obtain direct information about a client, you may be able to leave a message or put up a notice or flier on the bulletin board. Check the shelters and soup kitchens to find out when and where meals are served; then go to these places at designated mealtimes. It is important that the locators become known on the streets, so the same locator staff member should go back to the same places whenever possible. Please note that some shelters are dangerous places. Any person known to have cash may be vulnerable to assault by other residents. Check with the director before leaving notices about cash payments to assure that it is okay.

SRO hotels. Occasionally, a homeless person will be issued vouchers to stay in single-room-occupancy (SRO) hotel rooms. The hotel manager will often tell you if so-and-so still lives at the hotel and you may be able to leave a letter or card. Also, inquire about hotel occupancy patterns – when are homeless clients most likely to take a room? Hang out in the lobby for a little while (if you are allowed to); you may meet other residents who are able to help you.

Check-cashing services. It is becoming more and more common for welfare payments to be paid directly to a check-cashing service rather than being sent to the recipient's address. Go to the check-cashing places in your client's neighborhood on the first or second of the month (or whenever checks are being mailed in your area). The store keeps a card on file for the regular customers and the manager might let you know if and when your client normally comes to cash a check there.

General Relief offices. If you live in an area where General Relief is provided, inquire about the payment process and work requirements. Do clients need to see a welfare agent on a monthly basis? Is there a place where they usually go to fulfill work requirements? If so, it may prove worthwhile to go the General Relief office at the time of the month that the checks are usually paid or to the work assignment gathering site. Ask if anyone knows your client. Often the same people come to the office on the same day each month.

Other social service agencies. Homeless people use public services that may be identified by going to <u>http://www.ir-net.com/</u> or <u>http://www.nationalhomeless.org/local/local.html</u>; both sites provide information on social service agencies across the nation. If many of your clients are homeless, your

tracking staff should get to know the local service providers well. See also the Salvation Army Missing Persons Locator Service, described in Section 5.4, "Miscellaneous Sources."

Parks and other public places. Scout the local parks, alleys, and bus and train depots. In fair weather you might find your client in the park, or on rainy days, in the train station or bus depot. You may have to visit these places many times before you get a hit. Persistence is a necessity here. Again, if many of your clients are homeless, your tracking staff need to become familiar figures in the areas that homeless people congregate. Is there something you can provide to the homeless? Have program business cards ready and don't forget to include useful referral numbers. You could also provide your contacts with hygiene kits (shampoo, wipes, toothbrush, toothpaste) and include your card in the bag. Energy bars and candy bars are also inexpensive and popular.

NOTE: When tracking the homeless, you might find yourself in parts of town that could be areas in which your safety is compromised. If you feel threatened or afraid, leave the area immediately. No interview is worth injury to an interviewer. Always go in pairs if you are tracking in a rough or dangerous neighborhood.

Establish Post Office Boxes/Allow Clients to Receive Mail at Your Organization

In order to maintain contact with homeless clients, it may be cost effective to rent post office boxes for clients who do not have a stable address. The box can be rented for the duration of a study in the client's name, if the client agrees. The client can, of course, have other mail sent there, which may be an extra incentive to agree to the arrangement. Interviewers/locators should periodically mail letters, postcards and coupons to the box to keep in contact, encouraging clients to call and keep in touch. This relatively small expense may save valuable time and money later on.

Alternatively, you may allow clients to use your organization's address for mail. That way, when clients stop by to pick up their mail, study staff can update their contact information or complete an interview. Agencies that provide services for the homeless often provide this type of mail service. If the service is going to be time-limited, be sure to let clients know. Before initiating this service, discuss procedures with your letter carrier or local postal official.

TIPS:

Have mental health, additional treatment, vocational services, shelter, and other referrals ready for clients who need them

Wear identifying badges

Walk or drive in the area, talk to the people who are there

Use the weather to your advantage – check emergency shelters that are only open on very cold days; check under bridges, bus stations or other places that homeless congregate when it is raining

Provide incentives for "buddies" to help you locate your client. Reward "buddies" only when client is located or in touch with you.

Classified Ads

Throughout the country, agencies that provide services to the homeless also publish "street" newspapers. These newspapers are often free and usually widely available in areas where the homeless congregate. Placing a classified ad in one or more of these newspapers seeking your client may be a useful strategy. Other newspapers are produced to be sold by the homeless as an alternative to panhandling. Placing ads in these newspapers may not be as useful. Find out about how the newspaper is distributed before you place your ad. For a listing of homeless street newspapers, see: http://www.nationalhomeless.org/streetnews/index.html

7. Refusal and Disappearance: Deciding What to Do



Converting the Resistant Client

Once you find the client, it is usually easy to schedule and conduct the interview. This is especially true when the clients are paid for participation and when they trust you. In some cases, however, locating is the easy part; convincing the resistant client to participate may take considerable effort. Some people are weary of the process, especially if this is the second or third contact. Others have changed their lives and don't want to be associated with anything from their past, or want to keep their new wives or husbands from finding out about previous lives. Others may have had negative experiences with a study or treatment program. Some may simply be distrustful of any "establishment" contact. It is important to remind these people that this is their opportunity to provide feedback (what they liked or didn't like about the program so that it can be improved the next time). Resistance falls into two categories: active refusal and passive refusal.

Active refusal. If a client tells you up front, "No, I do not want to participate" (an active refusal), try to ascertain why. Ask if they need more information about the study. Also, ask if they would like to speak to the study director about any concerns they might have. Is the client worried about confidentiality? If so, carefully explain your confidentiality procedures and the effort the staff takes to protect all clients' information. Explain how the Certificate of Confidentiality protects them (if you have one). Explain the importance of the study and how each person's opinions and experience are crucial to the outcome. If "no" is still the answer, ask the person to think about it and call if they change their mind. After a couple of months, write a letter restating the importance of participation. Maybe your client will change their mind and agree. Change of mind is particularly common for those who refused while in prison or jail. Contacting these clients after release may bring about a change of mind. Conversely, some clients resist participation while out of prison or jail, but may readily agree when contacted in jail or prison. If your study is well supported, you may be able to offer more money. This is usually the best incentive to secure participation. However, offering more money to some clients may have a negative effect since the word may get out and others will demand additional compensation for participation. This may be the case in small communities where many clients are likely to know one another.

Passive refusal. Passive refusals can be divided into three subcategories: (1) the repeated no-shows, (2) the evaders and (3) the "non-trusters." The first group consists of clients who schedule an interview but don't appear. They will not call to cancel and reschedule, but when they are contacted again, they readily set up a new appointment and no-show again and again. These clients may be extremely busy (i.e., working more than one job) or they may just be very disorganized. You may spend the time and effort to schedule over and over, but never get the interview. The key to obtaining a completed interview is to make it as easy as possible for the client to complete it. You may suggest meeting the client at home or some other place more convenient than your office. Also, instead of rescheduling no shows, once you contact the client on the phone, ask if you can come "right now" and meet the client wherever he or she is. An alternative is to leave the client alone for a while and try again a few weeks or months later. Sometimes, circumstances change and the client may be more able to keep their commitment.

The evaders never schedule an interview. They can be located, but they do not respond to calls or letters. If you call, they are never at home, or if they are at home they cannot schedule the interview at that time, but will ask you to call back later, at which time they are not available (either you repeatedly get an answering machine or a gatekeeper). If you do catch the client, you will again be told that he "cannot schedule, but if you call..." These instructions are repeated at each contact and you get the same result: They never schedule. Sometimes, a finder's fee is offered to a relative or friend. This may induce the client to call, as "nudging" is now coming from other directions as well as from you.

The above-mentioned passive refusals are the most frustrating because you are never quite sure if and when they can be converted. It is difficult to determine how persistently and frequently you should pursue a passive refusal. Too much pestering can easily turn a passive refusal into an active refusal who is lost forever. If you think this is about to occur, let the file "rest" for a while. Alternatively, have another tracker make contact, which may convert the passive refusal into a completed interview.

HINT: Refusals may be converted by offering additional cash or other incentives. Appealing to the individual client's importance to the program evaluation may also convince a reluctant client to change his mind. Create special letters stressing the importance of the program evaluation and tailor the letter to your client. Point out how the findings can help the client, his family, and the community.

The non-trusters are usually clients who are being contacted for the first time or who haven't been contacted for several years, and therefore don't know or have forgotten who you are. They are often in trouble with the law; they may be absconding from probation or parole, and will never let you know that your letters have reached them, fearing that it is a police trap. The good news is that they are usually only refusers until they know who you are and know that you can indeed be trusted. The bad news is that you may never get the chance to tell them.

It is best to contact these people in person, going to their homes, or finding them in jail or prison. Sometimes convincing a relative or friend to trust you may make the difference. Once they see that your interviewer is clearly not a parole/probation officer or child protective services worker, they are usually willing to complete the interview. Offering more money to this group will probably have an adverse effect, as it may appear to confirm for them that this is a scam.

CASE STUDY: A female client in a longitudinal study had been very elusive to the locators. Letters were returned, sometimes with a new address, sometimes not. No phone number was available for her. The DMV report showed no recent activity. Doorknocking produced no good leads. We had reached a dead end. One day, however, a check with the Department of Corrections found her to be incarcerated at a local state prison. She was contacted by mail, called us back, and readily agreed to the interview. In the prison, she told the interviewer how much she admired our tracking skills: "Nobody has been able to find me the way you guys have. No matter where I went, I got a letter." When she was asked why she had not responded to our correspondence before, she said that she had outstanding warrants and was convinced that it was her parole officer or police looking for her. However, once she was back in prison and still receiving our mail, she realized that we were not the Law, and thus felt safe to call. Once contact and trust were established, she readily agreed to be interviewed again in each of the next two years.

When to Take "No" for an Answer

How do you decide that a client is truly an absolute refusal? First, *never* take another person's word that someone is a refusal. You may get a relative on the phone who will say, "J.J. told me she is not interested." If you get that response, tell the person that you need to hear that from the client. A refusal from any other source is not acceptable. Here, then, are some guidelines for deciding to accept that a client is a refusal and should not be recontacted, at least not for a while.

Client has firmly refused at least once, either in person or on the phone.

Letters of appeal have gone unanswered.

Phone calls and letters offering more money have been ignored.

Client has been a no-show at least four times without canceling or re-scheduling. The client **never** initiates contact and doesn't show even if offered more money.

The client stops taking your calls.

Even presented with one of the conditions listed above, always leave the door open for a client to change his or her mind, and always attempt one last time to convert a refuser just before the study is over. Circumstances may have changed for the client, making him or her more amenable to the interview. For example, some clients change their minds when they get incarcerated, or conversely, when they get released from jail or prison. The client's financial circumstances may be such that he or she now needs the money.

Before You Give Up

When should you stop looking for clients? Ideally, when all clients have been interviewed. (It is generally accepted that a follow-up rate of less than 80 percent is inadequate for proper statistical

interpretation.) However, many study constraints may impede the follow-up rate that you want; these include time, budget, and staff capabilities. Before actually calling it quits, make sure you have exhausted all locating methods available to your project.

One consideration to make before you quit pertains to the workload of the study personnel. Many evaluation studies employ the same people to conduct the interviews and track and locate clients. This is probably the most cost-effective way. When a client is located in the field, the interview can be conducted on the spot. There are times, though, when the efforts of the dual-role staff is not enough. You may want to consider the following options if budget permits.

Assigning a primary tracker for the hardest to find cases. It may be helpful to assign one person to track the very-difficult-to-find clients. The person assigned to do this should be experienced, tenacious, inventive, enthusiastic, and knowledgeable about all tracking methods, and should also be comfortable doing street locating.

CASE STUDY: Doug, a seasoned tracking and locating coordinator, was assigned to work the "difficult-to-locate" section of the follow-up files. One client, a man with outstanding legal warrants in California, seemed to have disappeared. His last known date of contact was an arrest in Florida three years before. His parents had lived in Chicago, but could not be located there through phone or mail. Doug realized that many couples retire to Florida from the cold cities in the North. He called directory information in the city of the client's arrest and asked for the phone number and address of his parents. To his surprise, there they were, and their son lived across the street. He agreed to be interviewed on one of the study's nationwide interviewing trips.

Hard-to-find case conferences. Have a meeting in which staff bring the files of their hardest-to-find clients and discuss the process they have gone through with each case. Other staff may have suggestions for additional locating strategies. We have these meetings every two weeks or so and find them very useful.

Trade cases. If you do not already do this, try it now. Sometimes a fresh perspective can do wonders. Each tracker tends to rely on different resources, so trading cases can make a difference. Or, perhaps another tracker will have just the right touch with a client's grandmother and will be put in contact with your client.

In conclusion, all hard-to-locate clients should be tracked until the bitter end. Even if it seems that a client will never be found, continue to request credit bureau address updates every month or two; check the jail rosters and Department of Corrections lists regularly; send letters to all addresses; revisit neighborhoods where you might have had some leads. The bottom line is, *don't give up until the study is over*:

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Appendices

APPENDIX A:

Locator Form, Tracking Log, Authorization for Release of Information, Checklist for Tracking and Locating, Samples of Completed Forms

Locator Form

10/01/03

DATE		

INTERVIEWER ID# _____

STUDY ID#_____

HEALTH STUDY LOCATOR FORM

On this form we collect information that will help us reach you when it's time for your follow-up interview. The information you give us will be kept in a separate place from your answers on the interview. It will be used only to locate you for your follow-up, and it will not be given to anyone else. We will not tell any contact anything except that you are participating in a health study.

1. Please tell me your full name:

					()
	First	Middle	Last		((Maiden)
2.	Date of Birth:	//		3.	SS#:	
4.	Other names or nich	knames:				
5.	Where were you be	orn?	(City, State)			
6.	How long have you	a lived in the local area	,			
7.	Driver's License or	State ID #:				State:
8.	Do you have car?	(If yes) License #:				
9.	Military #:					
10.	Residence address:					
		(Street address)				(Apt. # or P.O. Box #)
		(City)				(Zip)
11.	How long have you	lived there?				
12.	Do you plan to mov	ve anytime soon?				
	Do you know wher	e to?				
13.	Home Phone: ()			_	
14.	Who else lives ther	e?				
	Full Name:	(First, Middle, Last)				(Relationship)
		(******				(
	······································	(First, Middle, Last)				(Relationship)

15.	Cell Phone: ()	
16.	Pager: ()	
17.	E-mail address:	
18.	Work phone? ()	
19.	Other phone? ()	(Name of Company)
20.	Do you have a message number? ()	(Whose phone is this?)
21.	Who lives there?	
	Full Name:	(Relationship)
	Full Name:	
	(First, Middle, Last)	(Relationship)
22.	Address:	(Apt. # or P.O. Box
	(Street address)	(Apt. # or P.O. Box
_	(City) (Zip)	-
23.	Best mailing address:	
	(Street address)	(Apt. # or P.O. Box
	(City) (Zip)	_ 24. Phone: ()
25.	Who lives there?	
	Full Name:	
	(First, Middle, Last)	(Relationship)
	Full Name:	(Relationship)
26.		who usually know how to reach you if you should
(1)	Full Name:	
(-)	(First, Middle, L	Last)
		Relationship:
	Cell Phone: ()	
	Pager: ()	
	E-mail address:	
	Work phone? ()	(Name of Company)

2) Full Name:		
,	(First, Middle, Last)	
Address:		
Phone? ()		Relationship:
Cell Phone: ()		
Pager: ()		
E-mail address:		
Work phone? ()		(Name of Company)
		(Ivane of company)
) Full Name:	(First, Middle, Last)	
Address:		
Phone? ()		Relationship:
Cell Phone: ()		
Pager: ()		
E-mail address:		
Work phone? ()		
		(Name of Company)

Best Contacts: Do you have friends or relatives who usually know how to reach you if you should move or leave the program?

Now I'd like to ask you about your family. If you don't know their addresses, just the towns would help. (Complete <u>entire</u> family; use extra space if necessary. Don't forget brothers, sisters, spouse, ex-spouse, girlfriend, boyfriend, baby's father/mother, grandparents, cousins, aunts, uncles, foster parents, God parents, and adult children. Include cell phone and pager numbers.)

27.	Mother:			
			(Full Name: First, Middle, Last)	
	-		(Address)	
	Phone: (_)	DOB:	In touch?
	Other ph	one/contact info? (_)	
	-			(Who se phone is this?)

28. <u>Father</u>	(Full Name: First, Middle, Last)	
	(Address)	
		In touch?
Other phone/contact info? ()	(Whose phone is this?)
29. <u>Relative</u> :	(Full Name: First, Middle, Last)	(Relationship)
	· · · · ·	(relationship)
	(Address)	
		In touch?
Other phone/contact info? ()	(Whose phone is this?)
30. <u>Relative</u> :		
	(Full Name: First, Middle, Last)	(Relationship)
	(Address)	
Phone: ()	DOB:	In touch?
Other phone/contact info? ()	(Whose phone is this?)
31. <u>Relative:</u>		
	(Full Name: First, Middle, Last)	(Relationship)
	(Address)	
Phone: ()	DOB:	In touch?
Other phone/contact info? ()	(Whose phone is this?)
32. Relative :		
	(Full Name: First, Middle, Last)	(Relationship)
	(Address)	
Phone: ()	DOB:	In touch?
Other phone/contact info? ()	(Whose phone is this?)
	4	

33. Re l	ative:		
		(Full Name: First, Middle, Last)	(Relationship)
		(Address)	
Ph	none: ()	DOB:	In touch?
Ot	ther phone/contact info? ()	
			(Whose phone is this?)
34. <u>Rel</u>	lative:	(Full Name: First, Middle, Last)	(Relationship)
		(Full Name: First, Middle, Last)	(Relationship)
		(Address)	
Ph	none: ()	DOB:	In touch?
Ot	ther phone/contact info? ()	
			(Whose phone is this?)
35. <u>Rel</u>	lative:	(Full Name: First, Middle, Last)	(Relationship)
		(Address)	
Ph	none: ()	DOB:	In touch?
Ot	ther phone/contact info? ()	
			(Whose phone is this?)
36. Is	there a case worker, doctor, c regularly?	ommunity clinic, religious institut	tion or other contact that you see
	regularly?	ommunity clinic, religious institut	
Na	regularly? ame:		
Na Ad	regularly? ame: ddress:		
Na Ao Ph	regularly? ame: ddress: none? ()	Agency:	

37.	Do you receive money or foodstamps regularly from an agency? Yes No	
	(If yes) Agency	
	When is it paid?	
	Where is the check sent?	_
	Where do you cash the check?	
	Case worker: File #:	
	Who is your Representative Payee?	
	Address:	_
	Phone? () Agency:	_
38.	Is there any place you go regularly to hang out or to meet with friends?	
	Place:	
	Address or Intersection:	
	Phone: () Phone: ()	
	Times you might be there:	
_		
39.	Are you on probation, parole, or have an active court case? Yes No	
	(If yes) Agency	
	I.D. Number (Department of Probation/Corrections, Case Number):	
	Probation/Parole Officer Name	
	Phone: ()	

40. INTERVIEWER: IF RESPONDENT (R) IS HOMELESS, OR HAS OFTEN BEEN HOMELESS, GET INFORMATION ON:

Shelters, SRO hotels: which ones does R tend to use? Where did R sleep last night?

What soup kitchen, restaurant, etc. does R like to use? Where did R eat today, yesterday?

Where does R like to buy liquor or other necessities? (Store owners who give credit may know where R tends to hang out.)

Does R know any service workers in the area R usually hangs out? Get agency and names.

Does R stay in different places in the winter vs. summer? Get list.

41. INTERVIEWER: IF R IS INCARCERATED, RECORD EXPECTED RELEASE OR TRANSFER DATE AND TRANSFER DESTINATION.

Release/transfer date: ____/___/

Prison/Jail Inmate Number:

Destination: _____

Comments:

42. INTERVIEWER: PLEASE NOTE:

APPROXIMATE HEIGHT:	·,	"	HAIR COLOR:	EYE COLOR
---------------------	----	---	-------------	-----------

ETHNICITY _____

43. INTERVIEWER: PLEASE NOTE ANY PERMANENT IDENTIFYING PHYSICAL CHARACTERISTICS, SUCH AS SCARS OR TATTOOS.

Tracking Log

Name	:
------	---

Date:	Time:	Interviewer:

Authorization for Release of Information

Authorization for Release of Information

As summarized in CSAT TAP 18, generally, a program may disclose any information about a client if the client authorizes the disclosure by signing a valid consent form (42 C.F.R. Part 2, § 2.31, 2.33). A consent form under the Federal regulations is much more detailed than a general medical release. It must contain all of the following nine elements. If the form is missing even one of these elements, it is not valid:

- 1. name of the client;
- 2. name or general designation of the program making the disclosure;
- 3. recipient of the information;

Although the recipient should not be as general as an entire agency or department, it need not be as specific as the name of an individual. Instead, the consent form may describe the recipient's job title and/or job functions.

It is permissible to list more than one recipient on a single consent form and to authorize disclosures between and among all the parties listed. When doing such multiple-party consents, however, it is important that the "information" and "purpose" and all other elements of the form (see below) be the same for all of the authorized disclosures.

4. purpose of the disclosure;

The purpose should be narrowly described and should correspond with the information to be released. The purpose should never be as broad as "for all client care."

5. information to be released;

The information should be described as exactly and narrowly as possible in light of the purpose of the release. Releases for "any and all pertinent information" are not valid;

6. that the client understands that he or she may revoke the consent at any time—orally or in writing—except to the extent that action has been taken in reliance on it;

A consent for a client referred by the criminal justice system, however, may be made irrevocable for a period of time (\S 2.35). (But note that some State statutes and regulations provide for the automatic expiration of such consents after 60 or 90 days.)

When a client revokes a consent form, the program is advised to note the date of the revocation clearly on the consent form and to draw an X through the form.

- date or condition upon which the consent expires, if it has not been revoked earlier; Although the Federal regulations do not provide for any time limit on the validity of a consent form, some State laws provide for the automatic expiration of consents after a certain period of time.
- 8. date the consent form is signed; and
- 9. signature of the client.

Checklist for Tracking and Locating

Checklist for Tracking and Locating

- 1. Mail letters to all addresses on Locator. Use a mail merge function to get letters out each month as clients become due for follow-up. (Send letters out 1-2 months before due date.)
- 2. Check CJS status by phone or Web.

Check jail status for all active clients (i.e., all clients due for follow-up). If client is in jail, make sure a letter is mailed to client and send an interviewer to the jail as soon as possible. If you get information that client is incarcerated but is not listed on the jail list or the state Department of Corrections, try other counties' jail lists.

Check probation status for all active clients. If on probation/community release, get information on current status, including region or office and phone number for probation/community supervision office. Call and get Probation Officer's name, then contact P.O.

Check for state Department of Corrections system status for all active clients. If client is incarcerated, make sure a letter is mailed to client. (Keep in mind that it may take the Department of Corrections a few weeks to update their records, so, the client may be in prison but is still listed as on parole or discharged.) If on parole, get information on current status, including, region or office and phone number for parole office. Get Parole Officer's name, then contact P.O.

Check Federal prison.

- 3. Call all numbers on locator. Try evening and weekend calls. Write down on locator notes whose and which numbers you called. If you talk to someone, write down name and what they said.
- 4. Call 411 or use Web white pages to try to get possible numbers for client, relatives and friends. Try reverse directory on Web page for phone numbers to get possible addresses.
- 5. Run Lexis-Nexis or credit bureau report and mail letter to most recent address. If no response from mailing go to #7.
- 6. Mail letters to all addresses on Lexis-Nexis and credit bureau report. Check which letters have been returned. If letters have not been returned from a particular address, check if address is a possible doorknock. Send new letters to addresses that have not returned letters. If letters have been returned try sending a resident letter. Make sure to log all addresses to which you sent letters, when they were sent, and from where they were returned.
- 7. If you suspect that a given address is good for client or his relatives (e.g., the address is on the locator and the Lexis-Nexis report), call Haines (reverse directory service) to get a phone number for that address. If number is unlisted, get a neighbor's. Call the number to check if they know client, his relatives, or friends.
- 8. Check vital records. Do a death search on the Web by name and SS#.
- 9. Go doorknocking.

NOTE: Remember to document in the Locator notes all the locating work you do. When speaking to the client or other contact, get as much information as possible (i.e., name, phone, address, inmate ID number). If client calls from prison or jail, get release date, address, and phone number for an outside contact who will know where client is.

Samples of Completed Forms

DATE 8/27/03

INTERVIEWER ID# 105

STUDY ID#

HEALTH STUDY LOCATOR FORM

On this form we collect information that will help us reach you when it's time for your follow-up interview. The information you give us will be kept in a separate place from your answers on the interview. It will be used only to locate you for your follow-up, and it will not be given to anyone else. We will not tell any contact anything except that you are participating in a health study.

1. Please tell me your full name:

	<u>John Michael Smith</u> (<u>Maiden</u>)
2.	Date of Birth: 1 / 18 / 1975 3. SS#: 555-55-5555
⁻ 4.	Other names or nicknames:
5.	Where were you born? <u>Cleveland</u> , OH (City, State)
6.	How long have you lived in the local area? 15 wears
7.	Driver's License or State ID #: <u>A55555</u> State: <u>CA</u>
8.	Do you have car? (If yes) License #: AU555
⁻ 9.	Military #: NA
10.	Residence address: <u>55.5 Monica Blud.</u> , <u>#150</u> (Street address) (Apt. # or P.O. Box #)
	(Street address) (Apt. # or P.O. Box #)
	(Street address) Los Angeles (Apt. # or P.O. Box #) 90025 (Zip)
-	Los Angeles <u>90025</u> (City) (Zip)
-11.	Los Angeles <u>90025</u> (City) How long have you lived there? <u>2 yes</u>
-11.	Los Angeles <u>90025</u> (City) (Zip)
- 11. 12.	Los Angeles <u>90025</u> (Chy) How long have you lived there? <u>2 yes</u> Do you plan to move anytime soon? <u>yes</u>
- 11. 12. - 13.	Los Angeles <u>90025</u> (City) How long have you lived there? <u>2 yes</u> Do you plan to move anytime soon? <u>yes</u> Do you know where to? <u>NO</u>
- 11. 12. - 13.	Los Angeles <u>90025</u> (City) How long have you lived there? <u>2 yes</u> Do you plan to move anytime soon? <u>yes</u> Do you know where to? <u>NO</u> Home Phone: (310) <u>555-8555</u>

15.	Cell Phone: (310) 555 - 5557	
16.	Pager: () NA	
17.	E-mail address: JMS75@yahoo, org	
18.	Work phone? (333) (02(0 - 5555	(Name of Company)
19.	Other phone? () N A	(Whose phone is this?)
20.	Do you have a message number? () Same as 13	
21.	Who lives there?	
	Full Name: <u>Some as 14</u> (First, Middle, Last)	(Relationship)
	Full Name:	(Relationship)
22.	Address: <u>Same as 10</u> (Street address) (Apt. # or P.O. Box	
-	(City) (Zip)	
_	Best mailing address: <u>Same as 10</u> (Street address) 24. Phone: ((Apt. # or P.O. Box
	Full Name: <u>Same as 14</u> (First, Middle, Last)	(Relationship)
-	Full Name:	(Relationship)
26.	Best Contacts: Do you have friends or relatives who usually know how move or leave the program?	
(1)	Full Name: Joseph Bartee (First, Middle, Last) Address: 555 May 51, # 305 Clevelan	d. 0H 44106
	•	onship: Frund
	Cell Phone: () _ N A	
-	Pager: (2110) 555 - 41055	
	E-mail address: jbartee@hnb.net	
	Work phone? (216 555 - 5565	Huntington Software

Best Contacts: Do you have fi	iends or relatives	s who usually	know how	to reach	you if you	should
move or leave the program?						

Address: 555 Monica Blud.	, , , , , , , , , , , , , , , , , , , ,
Phone? (310) 555-5555	Relationship: Neignoov
Cell Phone: ()/A	
Pager: () _NA	07
E-mail address: AXB20@ hailmail.	net
Work phone? () _N A	(Name of Company)
Full Name: Connor Bennet	H
Full Name: <u>Connor Bennet</u> (First, Middle, Last) Address: <u>5555 Hill Ave</u> , #400	
	e Los Angeles, CA 90027
Address: 5555 Hill Ave, #400	e Los Angeles, CA 90027
Address: <u>5555 Hill Ave, #400</u> Phone? (310) <u>555-5557</u>	e Los Angeles, CA 90027
Phone? (310) 555-5557 Cell Phone: (310) 555-5553	e Los Angeles, CA 90027

Now I'd like to ask you about your family. If you don't know their addresses, just the towns would help. (Complete <u>entire</u> family, use extra space if necessary. Don't forget brothers, sisters, spouse, ex-spouse, girlfriend, boyfriend, baby's father/mother, grandparents, cousins, aunts, uncles, foster parents, God parents, and adult children. Include cell phone and pager numbers.)

27. Mother: Jennifer E. Smith (Full Name: First, Middle, Last)
555 Coventry CT., Pasadena, CA 91364
Phone: (310) 555-3555 DOB: 7/24/4(e In touch? UPS
Other phone/contact info? () NA (Whose phone is this?)

28. Father: David C. Smith	
Long Beach, CF	•
Phone: () Don't know DOB: 11/6/42	In touch? No
Other phone/contact info? ()	(Whose phone is this?)
29. Relative: Cindy Ryan (Full Name: First, Middle, Last)	(Relationship)
555 Federal Ave, Winstons	alem, NC 27101
Phone: (336) 555-8555 DOB: 6/29/70	In touch? Uses
Other phone/contact info? (33(a) 555 - (0455	(Whose phone is this?)
30. <u>Relative</u> : <u>Robert Smith</u> (Full Name: First, Middle, Last) New York, NY (Address)	(Relationship)
Phone: (2) 255-2555 DOB: 3/25/78 Other phone/contact info? () N/A	_ In touch? (Whose phone is this?)
31. Relative: Melinda Carson (Full Name: First, Middle, Last)	(Relationship)
555 Old River, Cleveland, 1	OH 44112
Phone: (216) 555-8955 DOB: 7/6/29	In touch? Les
Other phone/contact info? () NA	(Whose phone is this?)
32. Relative: Jactie Roberts (Full Name: First, Middle, Last)	(Relationship)
Owensboro KY	
Phone: (270 555 - 7255 DOB: 1969	In touch? <u>yes</u>
Other phone/contact info? ()	(Whose phone is this?)

3. Relative: Mike	(Full Name: First, Middle, Last)	(Relationship)
Tr	vine CA	
	5561 DOB: 1950	In touch? Les
Other phone/contact info?	(<u>949) 555 - 2055</u>	(Whose phone is this?)
. <u>Relative</u> :	(Full Name: First, Middle, Last)	(Relationship)
	(Address)	
Phone:	DOB:	In touch?
Other phone/contact info?	·	(Whose phone is this?)
. <u>Relative</u> :	(Full Name: First, Middle, Last)	(Relationship)
	(Address)	
Phone: ()	DOB:	In touch?
Other phone/contact info	?	(Whose phone is this?)
regularly?	ctor, community clinic, religious institu	ution or other contact that you see
	om Jenkins	
Address: <u>555</u>	-4055 Agency:	troples, CA 90025
	? ()	

37,	Do you receive money or foodstamps regularly from an agency? Yes No
	(If yes) Agency
	When is it paid?
	Where is the check sent?
	Where do you cash the check?
	Case worker: File #:
	Who is your Representative Payee?
	Address:
	Phone? () Agency:
	Place: <u>Gotham Hall</u> Address or Intersection: <u>10th J Main</u> Phone: (<u>310) 555-7255</u> Phone: <u>)</u> Times you might be there: <u>Billiards</u>
39.	Are you on probation, parole, or have an active court case? X Yes No (If yes) Agency Los Angelos County I.D. Number (Department of Probation/Corrections, Case Number): 7855555
	Probation/Parole Officer Name Don Peterson
	Phone: (20) 555-5255

40. INTERVIEWER: IF RESPONDENT (R) IS HOMELESS, OR HAS OFTEN BEEN HOMELESS, GET INFORMATION ON:

Shelters, SRO hotels: which ones does R tend to use? Where did R sleep last night?

What soup kitchen,	restaurant, etc.	does R like to	o use? Where d	lid R eat to	day, vesterday?

Where does R like to buy liquor or other necessities? (Store owners who give credit may know where R tends to hang out.)

Does R know any service workers in the area R usually hangs out? Get agency and names.

Does R stay in different places in the winter vs. summer? Get list.

41.	INTERVIEWER:	IF R IS	INCARCERA	ΓED, RECOI	ND EXPECTE	D RELEASE	OR TRA	NSFER
	DATE AND TR	ANSFER	DESTINATIO	DN.				

Release/transfer date: / /

Prison/Jail Inmate Number:

Destination:

Comments:

42. INTERVIEWER: PLEASE NOTE:

APPROXIMATE HEIGHT:	<u>5 ° 10"</u>	HAIR COLOR: BOL	N EYE COLOR Blue
---------------------	----------------	-----------------	------------------

ETHNICITY White

43. INTERVIEWER: PLEASE NOTE ANY PERMANENT IDENTIFYING PHYSICAL CHARACTERISTICS, SUCH AS SCARS OR TATTOOS.

Scar on his left ankle and a tattoo

John Time:	Doe	
		-
e		Interview
	Searched whitepages for R - found	
	possible address at 555 Ohio St.	
	Sent letter thave.	X
-	Drd reverse Lookup for Ohio St - No	
		SC
	undeliverable as addressed	SC.
	Searched Nexis found two new	
	addresses. One at 555 Shelter Ave	_
	and the other one at 5.55 Monica Blud.	
	Sent letters to both	SC
Ipm	Did reverse Lookup for both addresses.	
	No listing for Shelter Ave, but	1
	to a possible relative of R - phone	L.L.
	number is 310-555-6565. T/C above	
		80
		SC
Dam		
		-
		s.
1200		
		SC.
		SC
		84
	Jpm Jpm Jpm Jpm Jpm Jpm	Did reverse Lookup for Ohio St - No listing. Requested DMU Report. letter to Ohio returned because undeliverable as addressed Searched Nexis, found two new addresses. One at 555 Shelter Ave and the other one at 555 Monica Blud. Sent letters to both Ipp Did reverse Lookup for both addresses. No listing for Shelter Ave, but the Monice Blud address belongs

Name:	Joh	n Doe	-
Date:	Time:		Interviewe
8/28/03	8am	T/C 310-555-6565 - N/A. Since no	
-11		response and letter to Monica Blud	
		has not been returned will try	
		doorknocking on Saturday	SC
8/30/03	1200	Went to the Monica Blud address,	
1.		spoke with R's father who gave	
		me a cell number for R - 310-555-7555.	
		TIC R's cell, spoke with R and	
		made an appointment for Monday	8
9/1/03		Completed interview	8
		· · · · · · · · · · · · · · · · · · ·	
		and the second	
		the second se	
<u></u>			
			-
		and a second	

LOCATOR NOTES Name: S. Smith Date: Interviewer Initial announcement letters sent to 6/1/03 Ì Cocator addresses. all # 555.111.123 spahl. Com Called parents does not live the and warild not give anymal . Gave him study 800 Ħ and id him to have st. call. Chichid County jail site - Pt not currently in Custodn Cousin's # 555.111.1255 -6/13/02 5pm Called Causin has no contact with 8 Am d County fail web. tate Dist. of Carrictions in Ca cualid a XYZ prison and lift m adminis tratine assistant regard 6/7/03 9:30 @ XYZ Received, call from AA duled inthe view fac 9 Am on 6/23/03 -. John Smith C AA's Ì nami 7777 ExT. 4111 121 555 Completed consent process with H. F. 03 9 Am completed fallow-up signed consist intu vien

APPENDIX B: SAMHSA Confidentiality Certificate Information

SAMHSA CONFIDENTIALITY CERTIFICATE INFORMATION (updated 6/26/03)

A Confidentiality Certificate (CC) protects researchers and their contractors and cooperating agencies from having to comply with government requests (including, e.g., subpoenas, court orders, and State reporting laws) for names or other information that would identify their research participants. More information about CCs follows the application instructions.

APPLICATION INSTRUCTIONS

(For general CC information, please see below):

An example of a CC application (with all the information we need) is at the end of these instructions. Examples of CC consent-form text are included in these instructions. We try to comply with the regulations perfectly so your Certificate will survive any legal challenge.

The principal investigator (PI) of the <u>research project</u> (e.g., of the evaluation segment of a demonstration) applies for a Confidentiality Certificate. We suggest that the PI apply for his/her CC after the project is entirely planned and the final consent form is written. She/he would have to apply again if the consent form or anything else substantial changed, since by signing the application, he/she is legally affirming the application's description of the study. That is, the consent form and procedures of the actual study have to be what you've described in your application.

We will be glad to take a look at your consent form before you go to IRB review or apply for your CC. Also, please let us know by a call or e-mail if you need your certificate very quickly--that is, if you don't plan to start without it and you're about to recruit participants in the next week or two--and please don't hesitate to call with questions or to check the status of your application. We file applications by PI name, so please give us your PI name in every communication.

Your CC coverage starts before your paper copy of the CC arrives--it starts on the date your application (including consent forms) is complete and complies with SAMHSA's standards, so when your coverage starts is under your control. Once you have your CC, your coverage is retroactive to the start of your study and continues forever. People on your rolls or in your data are covered, even if they are no longer active.

A CC application is a letter from the principal investigator to SAMHSA (to SAMHSA/OA/OPPC, c/o Confidentiality Certificate Coordinator, Office of Scientific Affairs, NIAAA, Willco Building, Suite 409, 6000 Executive Boulevard, Rockville, MD 20852; 301-443-2890; FAX 301-480-1726). THE LETTER MUST PROVIDE the following, as required in the regulations (It may save time to respond very literally and exactly--or to use the example at the end of these guidelines):

a) Name & address of person primarily responsible for the conduct of the research (the principal investigator), and of the sponsor or institution with which that person is affiliated (Please have the PI's name and address on the front page.)

Name and contract or grant ID number of the project

A copy of notice of approval from the institutional review board (IRB) of every institution involved in your project. Each institution must have an SPA, MPA, or FWA (<u>http://ohrp.osophs.dhhs.gov</u> for info and to apply).

b) Location of the research project and description of the facilities available for conducting the research, including the name and address of any hospital, institution, or other facility to be used in connection with the research

c) Summary of the scientific or other appropriate training and experience of the principal investigator. (The PI's resume or summary bio suffices.)

d) An outline or summary of the research protocols, including a <u>concise</u> statement of the rationale and purpose of the research project and the general research methods to be used (Ideally, these should include summaries of criteria and procedures for subject selection, study variables, procedures for data collection and analysis, any treatment/intervention provided, and informed consent procedure. <u>Subject selection</u> and <u>informed consent procedures</u> are especially important.)

e) Start date and estimated end date (when CC will expire) for the project

f) Specific request (e.g., "I request authority to withhold..."), signed by the individual primarily responsible for the conduct of the research, for authority to withhold the names and other identifying characteristics of program participants, and the reasons supporting that request

g) through k) are assurances that each application must provide. The application might say: AAs principal investigator, I assure you of the following:

g) that my colleagues and I will comply with all the requirements of 45 CFR 46, "Protection of Human Subjects" [IRB regs; <u>http://ohrp.osophs.dhhs.gov/</u> for info], and its standards for informed consent

h) that the CC will not be presented as endorsement of the research by the Secretary, DHHS, or used to coerce or pressure subjects to participate

i) that the Certificate will be used by all those covered by it, to refuse to disclose identifying characteristics of research subjects in any Federal, State, or local civil, criminal, administrative, legislative, or other proceedings to compel disclosure of the identifying characteristics of research subjects

j) that all research participants under the CC will be informed that:

1) A CC has been issued

2) The persons authorized by the Certificate to protect the identity of research subjects may not be compelled to identify research subjects in any civil, criminal, administrative, legislative, or other proceedings, whether State, Federal, or local LIMITATIONS

3) Under any of the following conditions, the CC does NOT authorize any person to refuse to reveal identifying information concerning research subjects:

i. If the subject (or guardian) consents in writing to disclosure of identifying information

ii. If release is required by the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 301) or regs thereunder (21 CFR)

iii. If authorized DHHS personnel request identifying information for audit or program evaluation of a research project funded by DHHS or for investigation of DHHS grantees or contractors

- 4) The Certificate does not prevent voluntary disclosure of identifying information
- 5) The Certificate does not represent an endorsement of the research by the Secretary, DHHS

k) that all research subjects entering the study after termination of the Certificate will be told the protections do not apply to them

We ask for <u>all</u> these assurances, but only those that are relevant to your project must be reflected in your consent forms or other information you give to project participants.

The application letter must be complete and provide all of the information requested. The following documents should be attached to the letter:

1. Documentation of project approval by the institutional review board (IRB) of every institution involved in the study. Each institution must have an SPA, MPA, or FWA from the Office of Human Research Protections. You can get information and apply for FWAs online at (<u>http://ohrp.osophs.dhhs.gov/</u>). SAMHSA requires IRB approval before it issues a CC. 2. A copy of each consent (and/or assent) form to be used in the project.

GENERAL INFORMATION ABOUT CONFIDENTIALITY CERTIFICATES

The Substance Abuse and Mental Health Services Administration (SAMHSA) has responsibility for issuing Confidentiality Certificates for projects it sponsors. This document is intended to help PIs develop their applications for Confidentiality Certificates.

Confidentiality Certificates (CCs) are issued under the authority vested in the Secretary, DHHS, by section 301(d) of the Public Health Service Act, 42 U.S.C. §241(d), as amended. A CC authorizes "persons engaged in research on mental health, including research on the use and effect of alcohol and other psychoactive drugs, to protect the privacy of individuals who are the subject of such research by withholding from all persons not directly connected with the conduct of such research the names or other identifying characteristics of such individuals. Persons so authorized to protect the privacy of such individuals may not be compelled in any Federal, State, or local civil, criminal, administrative, legislative, or other proceedings to identify such individuals."

In other words, a CC protects researchers from having to comply with things like subpoenas and court orders. It does not require researchers to protect information, but it enables them to. SAMHSA works to protect participants in its projects and our issuance of Confidentiality Certificates pursues this goal. CCs were tested successfully in court soon after they were enacted (*People v. Newman*, 32 N.Y.2d 379, 298 N.E.2d 651, 345 N.Y.S.2d 502 (1973), *cert. denied*, 414 U.S. 1163 (1973)).

If an IRB approves every aspect of a project except the project's lack of a CC, then SAMHSA can proceed as if the project had IRB approval. We need a note from the IRB that approval is contingent only upon receipt of a CC. (PIs sometimes draft a note and ask the IRB chair to sign it, to save time.)

A CC applies to research, and does not cover services per se. SAMHSA CCs cannot be used for research requiring an Investigational New Drug exemption or research related to law enforcement activities within the purview of 502 (c) of Controlled Substances Act and 21 CFR 1316.21. The FDA must issue CCs for projects with INDs. A CC applies to one project; a separate application is required for each project.

If a project has a lead entity such as a coordinating center, and a number of study sites, the coordinating center may get one CC for the entire project, which would protect itself and all of its contractors and other cooperating agencies involved in the project. Consent forms and IRB approval letters from all sites must be included in the package.

CONSENT FORMS

A consent form that leads to genuine and realistic informed consent is a key element of adequate participant protection. A consent form should truly inform readers, in language they understand. In some cases, consent forms should be read out loud. If there will be questions about drug use, mental health or substance abuse treatment, sexual activity, or any other sensitive issue, this should be explicit in the consent form.

Where risks are discussed, the risk of confidentiality breach should be mentioned for participants to consider. Many consent forms follow this statement of confidentiality risk with information about how confidentiality is being protected, to reassure prospective participants. Some do not talk directly about confidentiality risk, but say in the risk section something like, "The risk of participating in this study is expected to be minimal because we have taken steps to protect your privacy," or other words to this effect. The point is to have people include confidentiality issues as they mull over the risks.

Consent forms should not over-promise the degree of protection or be vague or misleading. For example, stating that "participant information will be kept in strictest confidence" is vague and false since DHHS can audit and you may be reporting child abuse. "Only researchers will have access to your data" is similarly false. SAMHSA asks PIs to revise statements like these.

Better than such general (and often false) statements is to tell people about the specific steps that have been taken to protect participants' confidentiality, such as training staff to keep information private, keeping the code file locked away or encrypted, and getting a CC. Then, you may want to use a sentence about risk--one you didn't already use discussing risks. SAMHSA also accepts statements like, "The privacy of the information we collect about you will be very carefully protected," or, "We are committed to protecting your privacy," or, "We have taken steps to protect your privacy."

SAMHSA CC projects' consent forms (or other pre-consent information forms) must have 1) CC information required by the regulations and mentioned in the assurances, and 2) information related to requirements that are based on DHHS and SAMHSA requirements. HHS and SAMHSA ask researchers to report communicable diseases voluntarily as if they were obeying State laws (generally, if they are

testing for diseases; most SAMHSA projects do not do this). SAMHSA also does not want to protect child abuse information with its CCs, but it asks researchers to report apparent child abuse voluntarily, as they might under their State laws. We also ask researchers to take appropriate steps, including reporting confidential information, if they discover that there is danger that someone will harm him-/herself or others. Researchers must notify participants (usually in consent forms) in advance about any reporting they will do.

Since imminent harm or child abuse might be discovered in the research setting, and if researchers are testing for a communicable disease, researchers should establish a reporting policy. Having it conform with State law may be the most simple way to do this, but you are doing this voluntarily. The CC protects you from having to comply with State reporting laws. To ensure this stands up in court, your consent form must not make statements that you are going to obey the law or the state law. For example, the consent form should not say things like, "We are required to report...." or "We will keep your information confidential except as required by law."

If you can, you may want to say you are invited to participate in this study because you are in X program, rather than because you are a substance abusing prisoner.

Consent forms may leave out what is not germane. For example, if a project does not fall within the purview of the FDC Act, then SAMHSA does not ask that consent forms include information about the CC limitation regarding the FDC Act, even though you will have signed all the assurances, including the one about the FDC Act.

Consent forms differ, but the following are examples of consent-form language <u>about CCs</u> that have been formally approved as suitable for some projects:

a) Two informal, more readable, short versions that many PIs prefer:

1) We have [applied for] a Confidentiality Certificate (CC) from the US Dept. of Health and Human Services (DHHS) to protect the researchers from being forced to identify you (for example, by court order or subpoena). We may voluntarily report medical information in medical necessity, likely harm to yourself or others, including child abuse, however, and DHHS may see your information if it audits us. This CC does not imply DHHS approval or disapproval. [communicable disease reporting and any other exceptions should be included]

2) We have also obtained [applied for] a Confidentiality Certificate (CC) from the US Department of Health and Human Services (DHHS) to protect the researchers from being forced, even by court order or subpoena, to identify you. (The CC does not imply approval or disapproval of the project by the Secretary of DHHS.) You should know, however, that we may provide information to appropriate individuals or agencies if harm to you, harm to others, or child abuse becomes a concern. In addition, the federal agency funding this research may see your information if it audits us. [communicable disease reporting and any other exceptions should be included]

b) Other, softer, text that has been used regarding child abuse is the following:

... We may release identifying information in some circumstances, however. If we see something that would immediately endanger you or others, such as child abuse, we may discuss it with you, if possible, or seek help. Also, because this research is sponsored by SAMHSA, staff from that and other DHHS agencies may review records that identify you. [communicable disease reporting and any other exceptions should be included]

c) A formal version, designed by lawyers:

To help keep information about you confidential, we have obtained [applied for] a Confidentiality Certificate from the Department of Health and Human Services (DHHS). This Certificate does not imply that the Secretary, DHHS, approves or disapproves of the project. The Confidentiality Certificate will protect the investigators from being forced, even under a court order or subpoena, to release information that could identify you. We may release identifying information in some circumstances, however. For example, we may disclose medical information in cases of medical necessity, or take steps (including notifying authorities) to protect you or someone else from serious harm, including child abuse. Also, because this research is sponsored by SAMHSA, staff from that and other DHHS agencies may review records that identify you for audit. [and any other exceptions (e.g., communicable disease reporting if you test for a communicable disease) should be included as steps the researchers may take voluntarily]

More information about adequate Informed Consent Forms and other aspects of participant protection can be found in the 45 CFR 46 regs, available at <u>http://ohrp.osophs.dhhs.gov/</u> under the title "Protection of Human Subjects."

EXTENSIONS and AMENDMENTS OF SAMHSA CCs

CC protection is permanent with regard to subjects who participated (even by being on its rolls) in a covered study while the CC was in effect. CC protections do not extend, however, to participants who join a project after its CC has expired. To get a CC extension, the principal investigator on the current CC sends SAMHSA a signed request for an extension, ideally before expiration, with the proposed new expiration date, the justification for the extension, a copy of the current IRB approval, a copy of the current consent form, a copy of the expiring CC, and a statement that the project has not changed in any significant way since the original CC was issued. That is, the primary staff, consent form, scope and direction, instruments, and other significant features must be the same as when the certificate was issued.

CC protections also do not extend to a research project that changes significantly from its description in the original CC application. If the PI, the consent form, scope and direction, instruments, or other significant features of a project change, the PI should notify SAMHSA. If the consent form changes (in any way at all), it is helpful to send both old and new forms. If the changes are judged significant--if they increase risks to participants--the regulations require a full new application, and we ask also for a copy of the original CC. If the changes do not affect risk to participants, the PI will be notified that his/her CC remains in effect with the project changed as described.

AN EXAMPLE OF A SAMHSA CONFIDENTIALITY CERTIFICATE (CC) APPLICATION:

Confidentiality Certificate Coordinator SAMHSA/OA/OPPC NIH/NIAAA/OSA Willco Building, Suite 409 6000 Executive Boulevard Rockville, MD 20852

Dear Confidentiality Certificate Coordinator:

I am writing to request a confidentiality certificate for the project described below.

a) Principal investigator's name and address:

John Doe, Ph.D., Director of Studies, Services Research Institute, Suite 400, 3300 Dupont Avenue, Fremont, MD 20999.

I can be reached at 301-123-4567 (voice), 301-123-8910 (fax), jdoe@SRI.org. [quick-contact info]

My study is CSAT grant no. TI01234, "Evaluation of Project HEALTH." Our project officer at SAMHSA is Ken Ncadi.

b) Location and description of study sites:

The study sites are residential substance abuse treatment facilities in three Oklahoma counties. Treatment will be provided and all interviews will be conducted at these sites. Data analysis is housed at Services Research Institute. The project sites are as follows: [Please give names and addresses of any hospital, institution, or other facility to be used in connection with the research. Your cooperating agencies also are covered by your CC, and it's good to identify them in the application. If what they do isn't obvious, please also give a brief description.]

c) Information about investigator(s):

[Not needed for SAMHSA grantees. Resumes or brief summaries, including names and addresses, of the scientific or other appropriate training and experience--of all personnel having major responsibilities in the research project, and the training and experience requirements for major positions not yet filled. The PI's resume or summary is sufficient.]

d) An outline or summary of the research protocols:

1. [This should be a short, clear statement of the purpose of the research project and the general research methods to be used. Generally, this should include criteria and procedures for subject selection, study variables, procedures for data collection and analysis, any treatment/intervention provided, and informed consent procedure. Subject selection and informed consent procedures are important.

2. [In addition, please include a separate, very short statement summarizing the purpose of the research and the other key characteristics in one or two paragraphs, such as the following:]

The purpose of the study is to evaluate the effectiveness of ... and by comparing their outcomes over a period of years. Using a pre/post research design, the researchers will conduct baseline and three follow-up interviews, at 3, 6, and 12 months after discharge. We will also use information from and administer urine tests. A total of 200 adult clients and their children are expected to participate. Some of the data will be used in a cross-site study.

3. My project has the following plans for [Please briefly describe your plans for handling the following]

a) reporting suspected child abuse: [e.g., We plan to report to local authorities.]b) reporting communicable diseases we test for--[e.g., We plan to report to state public health officers, or, We are not testing for a communicable disease.]

c) reporting harm to self or others: [e.g., We plan to report to participant's physician.]

d) dealing with pregnant substance abusers: [e.g., We plan to test for pregnancy and to provide counseling or referral to local substance abuse treatment providers or physicians as appropriate.]

e) other reporting we plan to do:

e) Start date and estimated end date (CC will expire at end date) for the project:

The project began 10/1/97 and will end 9/30/2000. We expect to begin recruiting participants by 12/1/97, and we will/will not wait until our CC is in place. [Knowing when your CC must be done helps us plan the work on it. Please note also that the OGC recently decided that CC coverage does not start until your CC starts, but once you have a CC, it covers anyone who is in your study while the CC is in effect, for the entire study, including the time before you got your CC. So if you recruit before your CC protection starts, information you get before the CC date will be protected by your CC for people who are participating (e.g., on your rolls) during the CC coverage period.]

f) Signed specific request with reasons:

I request authority to withhold the names and other identifying characteristics of the participants in my study, "Evaluation of Project HEALTH." My reasons for this request are that I am collecting sensitive substance abuse and mental health data, and the CC will protect my participants' privacy and help me recruit participants. [reasons you want authority to protect your participants should very briefly be summarized here. This should include how the Certificate will benefit participants in your project.]

[signature] John Doe, Ph.D., PI g) - k) Assurances:

I assure you of the following:

g) that my colleagues and I will comply with all the requirements of 45 CFR 46, "Protection of Human Subjects" and its standards for informed consent;

h) that the CC will not be presented as endorsement of the research by the Secretary, DHHS, or used to coerce or pressure subjects to participate;

i) that the Certificate will be used by all those covered by it, to refuse to disclose identifying characteristics of research subjects in any Federal, State, or local civil, criminal, administrative, legislative, or other proceedings to compel disclosure of the identifying characteristics of research subjects;

j) that all research participants under the CC will be informed that:

1. A CC has been issued

2. The persons authorized by the Certificate to protect the identity of research subjects may not be compelled to identify research subjects in any civil, criminal, administrative, legislative, or other proceedings, whether State, Federal, or local LIMITATIONS

3. Under any of the following conditions, the CC does NOT authorize any person to refuse to reveal identifying information concerning research subjects:

i. If the subject (or guardian) consents in writing to disclosure of identifying information

ii. If release is required by the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 301) or regs thereunder (21 CFR)

iii. If authorized DHHS personnel request identifying information for audit or program evaluation of a research project funded by DHHS or for investigation of DHHS grantees or contractors

4. The Certificate does not prevent voluntary disclosure of identifying information

5. The Certificate does not represent an endorsement of the research by the Secretary, DHHS;

k) that all research subjects entering the study after termination of the Certificate will be told the protections do not apply to them.

[We ask for all these assurances, but only those that are relevant to your project must be reflected in the consent forms or other information given to project participants.]

I include copies of the notice of final approval from all IRBs [or "the only IRB"] that must approve our project and of every [or "the only"] consent form that will be used in the project.

The Assurance Number(s) on file with the Office for Human Research Protections for these IRBs is (are) as follows:

Services Research Institute (applicant)--FWA 00000012

Health Services, Inc. (Study site) -- FWA00000034.

I understand that if this project is not completed by the expiration date I can request an extension of the Certificate (preferably prior to the expiration date) by sending SAMHSA my reasons for the extension, a copy of the most recent IRB approval, the new expiration date, copies of current consent forms, a copy of the original CC, and a statement that the project has not changed in any significant way since the original CC was issued.

I understand that if the project changes in any significant way (if there are modifications to the consent form, protocols, key personnel, or other significant elements of the project), regulations require me to notify SAMHSA of the changes before the changes are implemented.

Sincerely yours,

John Doe, Ph.D. Principal Investigator

Scripts for Doorknocking and Telephone Locating

The following scripts are designed as guides to contacting clients by telephone or, in person at their place of residence. Although they may be modified to suit the needs of individual researchers or agencies, the following must be strictly adhered to:

- 1. NEVER MENTION DRUGS OR DRUG TREATMENT UNTIL YOU HAVE VALIDATED THE IDENTITY OF THE CLIENT
- 2. NEVER LEAVE MESSAGES THAT MAY IDENTIFY YOU OR YOUR AGENCY AS PART OF A DRUG TREATMENT PROGRAM OR DRUG TREATMENT RESEARCH

SCRIPTS FOR LOCATING BY TELEPHONE

Script #1 – Reaching the Client

You: "Hello, my name is _____ and I am calling from [*name of organization*]. (MAKE SURE THE NAME DOES NOT INCLUDE REFERENCE TO DRUGS OR DRUG TREATMENT.) May I speak with [*name*]?"

Answer: "This is [name]."

You: "You may remember that you took part in a research/health study with us about [*time*] ago. It's time for the follow-up interview and we would like to schedule it. (The client may volunteer information about the previous interview, such as the location or interviewer's name, or may mention that he has received one of the letters from the project.)

You: "In order to protect confidentiality, I need to confirm that I'm speaking to the right [*name*]. What is your date of birth?" (Client responds). "Fine, and what are the last four digits of your social security number?" (Client responds). "Fine." (Provide details about the follow-up and schedule the interview.)

(IF THE CLIENT IS UNABLE TO PROVIDE ADEQUATE VALIDATION OF HIS IDENTITY STOP THE CONVERSATION AT THIS POINT. EXPLAIN TO THE CLIENT THAT YOU ARE ONLY ALLOWED TO DISCUSS THE STUDY WITH AN IDENTIFIED PARTICIPANT. YOU MAY LEAVE A MESSAGE FOR THE CLIENT TO CALL BACK FOR MORE INFORMATION.)

Script #2 – Reaching a Family Member, Room Mate, etc.

Important: Many clients will be hesitant to respond to unsolicited phone calls and may use family members, etc. as "gatekeepers" over the phone. If the client is available, refer to script #1. Be sure to write down any information that comes up during a telephone conversation (e.g., work hours, the name of someone who might know where the client is, how long it has been since the client moved away, etc.).

Scene A:

You: "Hello, my name is _____ and I am calling from [*name of organization*] (MAKE SURE THE NAME DOES NOT INCLUDE REFERENCE TO DRUGS OR DRUG TREATMENT.) May I speak with [*name*]?"

Answer: "What's this about?"

You: "[*name*] has been participating in a research/health study and we are trying to contact him for a follow-up interview. Is he available?"

Answer: "No, he's not here."

You: "Can you tell me when the best time is to call back and talk to him?"

Answer: "I don't know when he'll be around."

You: "Can I leave a message for him? He agreed to participate in our study and it's important that we reach him. We will compensate him for his time." (Leave a message that only refers to the research/health study follow-up interview, that compensation will be paid, and the number for the client to call for more information. Always thank the person for their time!)

Scene B:

You: "Hello, my name is and I am calling from [*name of organization*] (MAKE SURE THE NAME DOES NOT INCLUDE REFERENCE TO DRUGS OR DRUG TREATMENT.) May I speak with [*name*]?"

Answer: "He doesn't live here anymore."

You: "Can you tell me how I might reach him? He gave us this number so we might get in touch with him."

Answer: "I can't tell you anything more."

You: "Could you please take a message for him? He agreed to continue to participate in our study and it's important that we reach him. We will compensate him for his time." (If the respondent still has contact with the participant, leave a message using the guidelines written above. If there is no longer any contact, refer to other phone numbers/sources on the locator.)

Script # 3 – Leaving a Voice Message

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

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

SCRIPTS FOR DOORKNOCKING

When doorknocking, it is always best to have your ID visible. (We usually wear our UCLA ID clipped to our shirts.) It is also useful to have a card or call back sheet to give out (with study information only).

Script # 1 – Client Contact

You: "Hello, my name is ____. I am looking for [name]."

Answer: "What do you want, who are you?"

You: "I'm _____ and I work for [*name of organization*]. I'm trying to locate [*name*], who is a participant in our research/health study. **PRESENT YOUR CARD.**

Answer: "Yeah, I'm [name]. I remember now. It was the [blank] program about a year ago right?

You: "In order to protect confidentiality, I need to confirm that you are a study participant before I go into more detail. Could you give me your birth date?"

Answer: "Yes, it's _____."

You: "Great. Yes, this is a follow-up interview to the one you did with us last year. You will be compensated as you were last time and I can conduct the interview right now if you have the time. Would you like to do it here or would you prefer that we go somewhere else?

Note: If you are at the doorknocking stage with this client it is important that you make all attempts to conduct the interview immediately. Do not conduct the interview in the client's home unless you can be assured of privacy and safety! Weather permitting, parks are excellent sites or, you can use libraries, hospital cafeterias, or restaurants (if they can provide enough privacy).

Script # 2 – No Client Contact

You: "Hello, my name is ____. I am looking for [name]."

Answer: (may be suspicious) "There isn't anyone here by that name. What do you want?"

You: "Sorry. I work for [*name of organization*]. **PRESENT YOUR CARD.** We are trying to locate [*name*] for a follow up on a health study and this is the last address he gave us when we saw him last year."

Answer: "He doesn't live here now. I don't know anything about him."

You: "Could you tell me the manager's name (if apartment/condo complex)? Do you know if any of the neighbors have been here over a year or so? They may have known him and might be able to help. I really appreciate your help."

Answer: "The manager's in number 2 and I don't know my neighbors but the people next door here were here when I moved in."

You: "Thank you very much. Goodbye." Proceed to other sources.

APPENDIX C: Scripts for Doorknocking and Telephone Locating

APPENDIX D: Red Flag Guidelines

The following are meant as guidelines only. States have differing laws on reporting abuse and danger to self or others. Be sure to find out what the requirements are for your local jurisdiction.

DANGER TO OTHERS

Find out your agency's and state's requirements regarding mandated reporting of danger to others.

- I. Is this client dangerous to others?
 - ____ The individual expressed an intent to harm or kill a <u>specified</u> person.
 - ____ The individual has the means (gun, knife, etc.) to harm that person.
 - The individual has a thought-out plan.
- II. If you feel that the person is dangerous to others, and is likely to follow through with his/her plans:
 - a) Assess the situation. <u>If it is safe</u>, let the person know that you are concerned for him or her and about the possible consequences of his/her actions, and that you want to help. If you are in a treatment program, report the information to the individual's primary counselor or the supervising counselor.

If you feel <u>unsafe or are not sure about it</u>, leave. If the situation is volatile, leave immediately. Try to be as graceful and subtle as possible. For example, complete the form you are on or make up some reason for leaving, and say you will have to reschedule the rest of the interview. Pay the subject in full, or leave immediately if you don't feel safe to do so. Trust your sense of the situation, and act accordingly.

- b) Report back to your supervisor or call in immediately. If something takes place outside of the work hours, call your supervisor at home. Your supervisor will assist you in reporting the situation.
- III. Complete an Incident Report. Be sure to put a copy of the Incident Report in the client's file so that those working with the file in the future know an incident occurred.
- IV. By completing the steps above, you have taken appropriate measures to deal with the situation. You do not have any control over the results of the intervention or the action taken by the appropriate authorities.

SUICIDE/DANGER TO SELF

Find out your agency's and state's requirements on mandated reporting of suicide/danger to self.

- I. Is this person a suicide risk?
 - ____ The individual is currently thinking about suicide.
 - ____ The individual has a plan and the means to commit suicide.
 - ____ The individual has attempted suicide in the past.
 - _____ The individual exhibits depression/extreme anxiety.
 - ____ The individual is experiencing stressful life events.
- II. Assessment of support system:
 - a) Is the individual under professional care (i.e., psychologist, psychiatrist, counselor)?
 - b) Does the individual have a social support network (i.e., friends, family, sponsor)?
 - c) Has the individual talked with any of the members of his or her social support network in the last 30 days?
 - d) Is the individual able to talk about this issue with his or her support system?
 - e) Is the individual aware of available social service programs?
- III. If the person is suicidal:
 - a) <u>Let the client know that you are concerned</u>, and that you need to inform your supervisor. If you are at a treatment program, contact the individual's counselor or the supervising counselor.
 - b) Obtain the client's phone number and address.
 - c) If you feel comfortable dealing with this situation, provide the client with a list of referral services, and if possible, have the client contact one of these services while you are present.
 - d) If you do not feel comfortable with this situation, let the client know that you need to inform your supervisor, and have him or her wait until you can reach your supervisor.
 - e) If the person attempts to harm himself or herself and nothing seems to work, contact the police. The police may place the person in a psychiatric facility for a 72-hour observational hold.
 - f) Complete an Incident Report detailing the problem and action taken. Be sure that the Incident Report is placed in the client's file.
 - g) Make arrangements to follow-up with the client within the next seven days.
- IV. If upon referral, the person does not want any help, there is nothing you can do. After you have referred the client to the appropriate services, you do not have any control over the results of the intervention.

CHILD/ELDER/DEPENDENT ADULT ABUSE

Find out your agency's and state's requirements regarding mandated reporting of child, elder, and dependent adult abuse.

- I. Is this abuse?
 - ____ The client provided you with information that gives you reason to believe that he or she has committed or is currently engaging in child/elder/dependent adult abuse.
 - ____ The client is a minor/elder/dependent adult and has disclosed that he or she has been, or is currently, being physically/sexually abused.
 - You witnessed or received information regarding unjustified or excessive physical punishment.
 - _____ The child/elder/dependent adult has unexplained bruises or marks.
 - ____ The child/elder/dependent adult presents signs of neglect.
- II. If you believe that the client may have committed or may have been a victim of physical and/or sexual abuse:
 - a) Assess the situation. If you are in a treatment program, report the information to the individual's primary counselor or the supervising counselor. Immediately complete the appropriate child/elder/dependent adult abuse form, and call the appropriate agency. You are under no obligation to inform the client that you are reporting him or her.
 - b) If you feel <u>unsafe or are not sure about it</u>, leave. If the situation is volatile, leave immediately. Try to be as graceful and subtle as possible. For example, complete the form you are on or make up some reason for leaving, and say you will have to reschedule the rest of the interview. Pay the subject in full, or leave immediately if you don't feel safe to do so. Trust your sense of the situation, and act accordingly.
 - c) Report back to your supervisor or call in immediately. If the incident takes place outside of the work hours, call your supervisor at home. Your supervisor will assist you in reporting the situation.
- III. Complete the Incident Report form. Put a copy of the Incident Report in the client's file so that those working with the file in the future know an incident occurred.
- IV. By completing the steps above, you have taken appropriate measures to deal with the situation. You do not have any control over the results of the intervention or the action taken by the appropriate authorities.

DOMESTIC VIOLENCE/PARTNER ABUSE

Domestic violence is defined as: abuse committed against an adult or fully emancipated minor who is the spouse, former spouse, cohabitant, former cohabitant or person with whom the suspect has had a child or is having/had a dating or engagement relationship. Find out your agency's and state's requirements regarding mandated reporting of domestic violence or partner abuse.

- I. Is this person experiencing abuse?
 - ____ The individual is suffering from any wound or physical injury that was inflicted/appears to have been caused by a knife, gun, firearm, or other deadly weapon.
 - ____ The individual is suffering from any wound or physical injury that was inflicted/appears to have been caused by assaultive or abusive conduct.
- II. If the person is a victim of domestic violence:
 - a) Let the person know that you are concerned for her or his well being. If you are at a treatment program, contact the individual's counselor.
 - b) If you feel comfortable dealing with this situation, provide the client with a list of referral services, and if possible, have the individual contact one of these services while you are present.
 - c) Let the client know about the current domestic violence law, and encourage them to contact a law enforcement agency if necessary, or ask if she or he wants you to call while in her or his presence.
 - d) If you do not feel comfortable dealing with this situation, let the individual know that you need to inform your supervisor. Ask the client to stay with you until you can contact your supervisor.
 - e) Report back to your supervisor or call in immediately. If the incident takes place outside of the work hours, call your supervisor at home. Your supervisor will assist you in reporting the situation.
 - f) Remember that domestic violence situations can be dangerous even to outsiders. Your safety is paramount. Leave the situation immediately if you have any concerns about your personal safety.
- III. Complete an Incident Report detailing the problem and actions taken. Put a copy of the Incident Report in the client's file so that those working with the file in the future know an incident occurred.
- IV. By completing the steps above, you have taken appropriate measures to deal with the situation. You do not have any control over the results of the intervention or the action taken by the appropriate authorities.

APPENDIX E: Sample Project Letters

Advance Letter Resident Letter Best Contact Letter Letter to Incarcerated Special Letter Reward Letter Social Security Administration Letter

EXAMPLE OF ADVANCE LETTER

[Date]

Dear [Name],

You may recall that [*six months ago, a year ago*], you were interviewed as part of a health study. At that time, you expressed interest in participating in a follow-up evaluation study.

[*name of your organization*] is now setting up interviews for the follow-up and would like to make arrangements with you to participate in our evaluation study.

You will receive a gift certificate for \$20 for your participation in our evaluation study. We can set up appointments during days, evenings, or weekends. All you have to do is call us TOLL FREE at 1-800-123-4567 or Collect at 310-123-4567 to make arrangements for an interview. You have made an important contribution to our evaluation study and we look forward to hearing from you.

As always, the information you provide is completely confidential and will be used for evaluation purposes only and cannot be used for any other purpose. If you wish, we can also provide you with a legal guarantee of your privacy.

Sincerely,

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

EXAMPLE OF RESIDENT LETTER

[Date]

Dear Resident,

[*name of your organization*] has been trying to get in touch with [*Name*], who was part of a health study conducted [*six months ago, a year ago*]. At that time, [*Name*] expressed interest in participating in a follow-up evaluation study.

[*name of your organization*] is now setting up interviews for the follow-up and would like to make arrangements with [*Name*] to participate in our evaluation study. [*Name*] will receive a \$20 gift certificate for participation in the evaluation interview.

If you can give [*Name*] a message or help us get in touch, please call us TOLL FREE at 1-800-123-4567 or Collect at 310-123-4567. We are open Monday – Friday, between 8:00 a.m. and 6:00 p.m., or you can leave a message any time, 24 hours a day.

As always, any information provided to us is completely confidential and will be used for evaluation purposes only and cannot be used for any other purpose.

Thank you for your help.

Sincerely,

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

EXAMPLE OF BEST CONTACT LETTER

[Date]

Dear [Name],

[*name of your organization*] is trying to get in touch with [*Name*], who was part of a health study conducted [*six months ago, a year ago*]. At the time, [Name] expressed interest in participating in a follow-up evaluation. [*He, She*] also left your name as a way to reach [*him, her*] in case we lost contact.

We are writing to you because we are now in the process of setting up follow-up interviews and would like [*Name*] to participate. A letter for [*him, her*], in care of you, will be mailed to your address for you to give [*him, her*]. [*Name*] will receive a \$20 gift certificate for participation. The interview is completely confidential and will take place over the phone. Evening and weekend interviews are also available.

If you can give this person a message or help us get in touch, please call our office TOLL FREE at 1-800-123-4567 or Collect at 310-123-4567.

It has been [*six months, one year*] since we last spoke to [*Name*] and we would like to get in touch with [*him, her*]. However, if you don't know how to get in touch with [*Name*], please call the above number and let us know so we can remove you from our contact list.

Your help is greatly appreciated.

Sincerely,

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

EXAMPLE OF LETTER TO INCARCERATED

[Date]

Dear [Name],

You may recall that [*six months ago, a year ago*], you were interviewed as part of a health study. At that time, you expressed an interest in participating in a follow-up evaluation study.

[*name of your organization*] is now setting up interviews for the follow-up and would like to make arrangements with you to participate in our evaluation study.

You will be paid \$20 for your participation in the evaluation interview. We can make arrangements to meet you at your current location. Please call us Collect at 310-123-4567. We are open Monday – Friday, between 8:00 a.m. and 6:00 p.m. You have made an important contribution to our evaluation study and we look forward to hearing from you.

As always, the information you provide is completely confidential and will be used for evaluation purposes only and cannot be used for any other purpose. If you wish, we can also provide you with a legal guarantee of your privacy.

We know that sometimes people in the criminal justice system are moved around a lot. If you are relocated, please give us a call and let us know of your current location.

If you happen to be released, or know that you will be released before we are able to interview you, please call us so that we can set up an interview at a place that is convenient for you.

Sincerely,

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

EXAMPLE OF SPECIAL LETTER

[Date]

Dear [Name],

As Director of [*name of your organization*], I am writing this special letter to emphasize how important you are to our evaluation study. Please take a moment to read this letter.

[*name of your organization*] is recontacting people who received care in 2002. To compensate people for their time and trouble, we offer a \$20 gift certificate.

Our main goal is to improve the quality of health services available in [your area].

This goal cannot be achieved unless we find and interview as many people as possible. That is why we keep trying to reach you. Our results will be useful only if we have a wide variety of people involved in the evaluation. So, no matter what has happened in your life, no matter where you are living now, your opinions and experiences are very important to us.

If you agree to the interview, we will be asking about the problems and successes you have had since receiving care, and what <u>you think</u> should be done to improve care.

You matter to the study. And because of that, we want to make it easy for you to be a part of it. All you have to do is call us TOLL FREE at 1-800-123-4567 or Collect at 310-123-4567 to make arrangements for an interview. We can schedule the interview for an evening or weekend, if that is most convenient for you.

Thank you for your earlier participation. If you have any questions, I can discuss these with you personally.

Sincerely,

[*Your Name*] Evaluation Director

EXAMPLE OF INDUCEMENT/REWARD LETTER

[Date]

Dear [Contact Name],

As you know, [*name of your organization*] is trying to contact your [*friend, son, daughter, grandson, etc.*], [*Name*]. [*Name*] originally participated in our study about [*six months, a year ago*]. We hope that you can help us locate [*him, her*].

We would be happy to send you a gift certificate for \$20 if, through your help, [*Name*] completes an interview. We can arrange an interview at a convenient time and location. [*Name*] will receive a \$20 gift certificate for completing the interview.

When you see [*Name*] next, please have [*him, her*] call us TOLL FREE at 1-800-123-4567 or Collect at 310-123-4567. Also, if you can help us locate [*him, her*], please call us at the same phone numbers.

It was a pleasure speaking with you on the telephone. Any help you can give us in getting in touch with [*Name*] is greatly appreciated.

Sincerely,

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

EXAMPLE OF COVER LETTER TO SOCIAL SECURITY ADMINISTRATION

[Date]

Social Security Administration Letter Forwarding P.O. Box 33022 Baltimore, MD 21290-3002

To Whom It May Concern:

Per authorization obtained under POMS reference GN 03309.265, Health Follow-Ups and Surveys, we are requesting that the enclosed letters be forwarded to the individuals listed below. Social Security numbers are also provided.

Full NameSocial Security #Josephine Marie Bruin123-45-6789

The letters need only be addressed to the most recently recorded personal or employment address for the individual. We have also enclosed a check made out to the Social Security Administration for \$3.00 per individual.

We request that, should any individuals be deceased, the place and date of death be provided.

Also enclosed is the Certificate of Confidentiality describing our research. Any questions regarding this request should be directed to [*Name of Project Coordinator*].

Thank you for your assistance in this matter.

Sincerely,

[Your Name] [Your Title]

Encl.: Letters to Missing Persons Check for \$XX.XX Certificate of Confidentiality

APPENDIX F: Telephone Area Codes

TELEPHONE AREA CODES BY STATE AND CANADIAN PROVINCE

(Refer to AREA CODES IN NUMERICAL ORDER for city or region)

ALASKA-907

ALABAMA - 205, 251, 256, 334

ARKANSA-479, 501, 870

ARIZONA - 480, 520, 602, 623, 928

CALIFORNIA – 209, 213, 323, 408, 415, 510, 530, 559, 562, 619, 626, 650, 661, 707, 714, 760, 805, 818, 831, 858, 909, 916, 925, 949

COMMONWEALTH OF THE NORTHERN MARIANAS - 670

COLORADO - 303, 720, 719, 970

CONNECTICUT – 203, 860

DISTRICT OF COLUMBIA – 202

DELWARE – 302

FLORIDA - 239, 305, 321, 352, 386, 407, 561, 727, 772, 786, 813, 850, 863, 904, 941, 954

GEORGIA - 229, 404, 470, 478, 678, 706, 770, 912

GUAM – 671

HAWAII – 808

IOWA – 319, 515, 563, 641, 712

IDAHO - 208

ILLINOIS – 217, 224, 309, 312, 618, 630, 708, 773, 815, 847

INDIANA – 219, 260, 317, 574, 765, 812

KANSAS – 316, 620, 785, 913

KENTUCKY - 270, 502, 606, 859

LOUISIANA – 225, 318, 337, 504, 985

MASSACHUSETTS - 339, 351, 413, 508, 617, 774, 781, 978

MARYLAND - 240, 301, 410, 443

MAINE - 207

- MICHIGAN 231, 248, 269, 313, 517, 586, 616, 734, 810, 906, 989
- MINNESOTA 218, 320, 507, 612, 651, 763, 952
- MISSOURI 314, 417, 573, 636, 660, 816
- MISSISSIPPI 228, 601, 662
- MONTANA 406
- NORTH CAROLINA 252, 336, 704, 828, 910, 919, 980
- NORTH DAKOTA 701
- NEBRASKA 308, 402
- NEW HAMPSHIRE 603
- NEW JERSEY 201, 551, 609, 732, 848, 856, 862, 908, 973
- NEW MEXICO 505
- NEVADA 702, 775
- NEW YORK 212, 315, 347, 516, 518, 585, 607, 631, 646, 716, 718, 845, 914, 917
- OHIO 216, 234, 330, 419, 440, 513, 567, 614, 740, 937
- OKLAHOMA 405, 580, 918
- OREGON 503, 541, 971
- PENNSYLVANIA 215, 267, 412, 484, 570, 610, 717, 724, 814, 878
- PUERTO RICO 787, 939

RHODE ISLAND – 401

SOUTH CAROLINA - 803, 843, 864

SOUTH DAKOTA – 605

TENNESSEE - 423, 615, 731, 865, 901, 931

TEXAS – 210, 214, 254, 281, 361, 409, 469, 512, 682, 713, 806, 817, 830, 832, 903, 915, 936, 940, 956, 972, 979

UTAH – 435, 801

VIRGIN ISLANDS (US) – 340

VIRGINA - 276, 434, 540, 571, 703, 757, 804

VERMONT-802

WASHINGTON - 206, 253, 360, 425, 509

WISCONSIN - 262, 414, 608, 715, 920

WEST VIRGINIA – 304

WYOMING-307

CANADIAN PROVINCES

BRITISH COLUMBIA - 250, 604, 778

ALBERTA – 403, 780

SASKATCHEWAN – 306

MANITOBA – 204

ONTARIO – 289, 416, 519, 613, 647, 705, 807, 905

QUEBEC – 418, 450, 514, 819

NEW BRUSNWICK – 506

NOVA SCOTIA & PRINCE EDWARD ISLAND – 902

NEWFOUNDLAND – 709

APPENDIX G: Social Security Number Prefixes by State

Social Security Number Prefixes by State

(Source: http://www.ssa.gov/foia/stateWeb.html#new%20areas%20allocated)

The chart below shows the first 3 digits of the social security numbers assigned throughout the United States and its possessions. See "<u>Note</u>" at bottom of page.

<u>1st 3 Digits</u>	<u>State</u>
001-003	New Hampshire
004-007	Maine
008-009	Vermont
010-034	Massachusetts
035-039	Rhode Island
040-049	Connecticut
050-134	New York
135-158	New Jersey
159-211	Pennsylvania
212-220	Maryland
221-222	Delaware
223-231	Virginia
691-699*	
232-236	West Virginia
232	North Carolina
237-246	
681-690	
247-251	South Carolina
654-658	
252-260	Georgia
667-675	
261-267	Florida
589-595	
766-772	
268-302	Ohio

1 st 3 Digits	<u>State</u>
303-317	Indiana
318-361	Illinois
362-386	Michigan
387-399	Wisconsin
400-407	Kentucky
408-415	Tennessee
756-763*	
416-424	Alabama
425-428	Mississippi
587-588	
752-755*	
429-432	Arkansas
676-679	
433-439	Louisiana
659-665	
440-448	Oklahoma
449-467	Texas
627-645	
468-477	Minnesota
478-485	Iowa
486-500	Missouri
501-502	North Dakota
503-504	South Dakota
505-508	Nebraska
509-515	Kansas
516-517	Montana
518-519	Idaho
520	Wyoming
521-524	Colorado
650-653	

1 st 3 Digits	<u>State</u>
525,585	New Mexico
648-649	
526-527	Arizona
600-601	
764-765	
528-529	Utah
646-647	
530	Nevada
680	
531-539	Washington
540-544	Oregon
545-573	California
602-626	
574	Alaska
575-576	Hawaii
750-751*	
577-579	District of Columbia
580	Virgin Islands
580-584	Puerto Rico
596-599	
586	Guam
586	American Samoa
586	Philippine Islands
700-728 729-733	Railroad Board** Enumeration at Entry

NOTE: The same area, when shown more than once, means that certain numbers have been transferred from one State to another, or that an area has been divided for use among certain geographic locations.

Any number beginning with 000 will NEVER be a valid SSN.

APPENDIX H: Obtaining Vital Statistics Information by State

WHERE TO WRITE FOR VITAL RECORDS

Note: For more information, refer to the following Web site:

http://www.cdc.gov/nchs/howto/w2w/w2welcom.htm

Important: Some states/territories require a photocopy of a picture ID to accompany requests for records. If your state/territory requires this, consider having clients sign "Consent to Share Information" forms and provide you with a photocopy of their picture ID.

ALABAMA:

Event: Birth/Death Cost of copy: \$12.00

Event: Marriage/Divorce Cost of Copy: \$12.00

Address: Center for Health Statistics State Department of Public Health P.O. Box 5625 Montgomery, AL. 36103-5625 (334) 206-5418

Remarks: State office has birth/death records since January 1908, marriage records since August 1936, and divorce records since January 1950. Check or money order should be made payable to: **Center for Health Statistics**. There is a \$10.00 per hour charge for special searches.

ALASKA:

Event: Birth/Death Cost of copy: \$15.00

Event: Marriage/Divorce Cost of copy: \$15.00

Address: Department of Health and Social Services Bureau of Vital Statistics P.O. Box 110675 Juneau, AK 99811-0675 (907) 465-3391 Remarks: State office has birth/death records since January 1913, marriage records since 1913, and divorce records since 1950. Money order (ONLY) should be made payable to: **Bureau of Vital Statistics**.

AMERICAN SAMOA:

Event: Birth/Death Cost of copy: \$ 7.00

Event: Marriage Cost of copy: \$2.00

Event: Divorce Cost of copy: \$1.00

Address: (Birth/Death/Marriage) Registrar of Vital Statistics Vital Statistics Section Government of American Samoa Pago Pago, AS 96799 (684) 633-1222 Ext. 214

Address: (Divorce) High Court of American Samoa Tutuila, AS 96799

Remarks: Registrar has all records since 1900. Money order (ONLY) should be made payable to: **ASG Treasurer**.

ARIZONA:

Event: Birth Cost of copy: \$15.00 Prior to 1990, \$10.00 After 1990

Event: Death Cost of copy: \$10.00

Address: (Birth/Death) Vital Records Section Arizona Department of Health Services P.O. Box 3887 Phoenix, AZ 85030-3887 (602) 363-1300

Event: Marriage/Divorce Cost of copy: Varies by County Address: (Marriage/Divorce) Clerk of Superior County where license was issued or divorce granted.

Remarks: State office has records since 1909. Some abstracts of records are filed in counties before then. Check or money order should be made payable to: **Office of Vital Records** (for birth/death records). For marriage/divorce records contact Clerk of Superior Court in specific county). Applicants must submit a copy of picture identification or have their requests notarized.

ARKANSAS:

Event: Birth/Death Cost of copy: \$8.00

Event: Marriage/Divorce (State) Cost of copy: \$8.00

Event: Marriage/Divorce (County) Cost of copy: Varies

Address: (Birth/Death/Marriage/Divorce – State) Division of Vital Records Arkansas Department of Health 4815 West Markham Street Little Rock, AR 72201 (501) 661-2336

Address: (Marriage – County) County Clerk in county where license was issued.

Address: (Divorce – County) Circuit or Chancery Clerk in county where divorce was granted.

Remarks: State office has records since February 1914. Check or money order should be made payable to: **Arkansas Department of Health** (State requests only).

CALIFORNIA:

Event: Birth Cost of copy: \$15.00

Event: Death Cost of copy: \$13.00 Event: Marriage/Divorce (State) Cost of copy: \$13.00

Event: Divorce (County) Cost of copy: Varies Address: (Birth/Death/Marriage/Divorce – State) Office of Vital Records Department of Health Services P.O. Box 94244-0241 (916) 445-2684

Address: (Divorce – County) Clerk of Superior Court in county where divorce was granted.

Remarks: State office has records since 1905. Check or money order should be made payable to: **State Registrar, Department of Health Services** or **Office of Vital Records**.

CANAL ZONE:

Event: Birth/Death Cost of Copy: \$20.00

Event: Marriage Cost of Copy: \$20.00

Address: (Birth/Death/Marriage)Correspondence Branch Passport Services U.S. Department of State 1111 19th Street NW, Suite 510 Washington, DC. 20522-1705 (202) 955.0307

Remarks: Records from May 1904 to September 1979. Check or Money Order made payable to: U.S. Department of State

COLORADO:

Event: Birth/Death (State) Cost of copy: \$15.00

Event: Marriage/Divorce (State) Cost of index search: \$15.00

Event: Marriage/Divorce (County) Cost of copy: \$15.00

Address: (State records) Vital Records Section Colorado Department of Public Health and Environment 4300 Cherry Creek Drive South HSVRD-VS-A1 Denver, CO. 80246-1530 (303) 756-4464 Address: (Marriage – County) County Clerk where license was issued.

Address: (Divorce – County) Clerk of District Court where divorce was granted.

Remarks: State office has death records since 1900 and birth records since 1910. Check or money order should be made payable to: Colorado Department of Public Health and Environmental Vital Records.

CONNECTICUT:

Event: Birth/Death/ Marriage Cost of copy: \$5.00

Remarks: Certified copies are not available from the State Office. Requests must be submitted to the town where the event occurred. A photocopy of picture identification must be submitted with any request for a birth certificate. Check or money order should be made payable to the town where the event occurred. Applicants for divorce records must contact Clerk of Superior Court where the divorce was granted.

DELAWARE:

Event: Birth/Death/Marriage (State) Cost of copy: \$10.00

Event: Divorce (State) Cost of copy: \$6.00

Event: Divorce (County) Cost of copy: \$2.00

Address: (State) Office of Vital Statistics Division of Public Health P.O. Box 637 Dover, DE 19903 (302) 744.4549

Address: (Divorce – County)

Contact prothonotary in the county where divorce was granted until 1975. After 1975, contact Family Court in county where divorce was granted.

Remarks: State has birth records since 1926, death and marriage records since 1958, and divorce records since 1935. A photo identification is required for all transactions. If submitting by mail, a copy of identification is required. Check or money order should be made payable to: Office of Vital Statistics.

DISTRICT OF COLUMBIA:

Event: Birth/Death Cost of copy: \$12.00

Event: Marriage Cost of copy: \$10.00

Event: Divorce Cost of copy: \$2.00

Address: (Birth/Death) Vital Records Branch 825 North Capitol Street NE Washington, DC 20002 (202) 442-9009

Address: (Marriage) Marriage Bureau 515 5th Street, NW Washington, DC. 20001

Address: (Divorce) Clerk, Superior Court for the District of Columbia Family Division 500 Indiana Avenue, NW Washington, DC 20001

Remarks: Birth records since 1874, death records since 1855, and marriage/divorce records since 1956. Cashier's check or money order should be made payable to: **DC Treasurer**.

FLORIDA:

Event: Birth Cost of copy: \$9.00

Event: Death/Marriage/Divorce Cost of copy: \$5.00

Address: Department of Health and Rehabilitative Services Office of Vital Statistics P.O. Box 210 1217 Pearl Street Jacksonville, FL 32231 (904) 359-6900 Remarks: Birth/Death records since 1917, marriage/divorce records since 1927. Check or money order should be made payable to: **Office of Vital Statistics**.

FOREIGN OR HIGHS SEAS EVENTS

http://www.cdc.gov/nchs/howto/w2w/foreign.htm

GEORGIA:

Event: Birth/Death/Marriage Cost of copy: \$10.00

Event: Divorce Cost of copy: \$10.00 for certification plus \$0.50 per page.

Address: (State) Georgia Department of Human Resources Vital Records Department 2600 Skyland Drive, NE Atlanta, GA 30319-3640 (404) 679-4701

Remarks: Office has birth/death records since 1919 and marriage/divorce records since 1952. Money order (only) should be made payable to: **Vital Records Service**

GUAM:

Event: Birth/Death/Marriage Cost of copy: \$5.00

Event: Divorce Cost of copy: Varies

Address: (Birth/death/marriage) Office of Vital Statistics Department of Public Health and Social Services Government of Guam P.O. Box 2816 Agana, GU, M.I. 96910 (671) 734-4589 Address: (Divorce) Clerk, Superior Court of Guam Agana, GU, M. I. 96910

Remarks: Money order (only) should be made payable to: Treasurer of Guam.

HAWAII:

Event: Birth/Death/Marriage

Cost of copy: \$10.00

Event: Divorce Cost of copy: \$10.00

Address: State Department of Health Office of Health Status Monitoring Vital Records Section P.O. Box 3378 Honolulu, HI 96801-9984 (808) 586-4533

Remarks: State has birth and death records since 1853 and marriage/divorce records since 1951. Cashier's check, certified check, or money order should be made payable to: **State Department of Health.**

IDAHO:

Event: Birth/Death/Marriage/Divorce Cost of copy: \$13.00

Address: Vital Statistics Unit Center for Vital Statistics and Health Policy 450 West State Street, 1st Floor P.O. Box 83720 Boise, ID 83720-0036 (208) 334-5988

Remarks: Office has birth/death records since 1911 and marriage/divorce records since 1947. Check or money order should be made payable to: **Idaho Vital Statistics**.

ILLINOIS:

Event: Birth/Death Cost of copy: \$15.00 Note: Requires search fee of \$10.00

Event: Marriage/Divorce Cost of copy: \$5.00 Note: Verification is additional \$5.00

Address: Division of Vital Records Illinois Department of Public Health 605 West Jefferson Street Springfield, IL 62702-5097

(217) 782-6553

Remarks: Office has birth/death records since 1916 and marriage/divorce records since 1962. Checks, certified checks, and money orders should be made payable to: Illinois Department of Public Health

INDIANA:

Event: Birth Cost of copy: \$6.00

Event: Death Cost of copy: \$4.00

Event: Marriage/Divorce (County) Cost of copy: Varies

Address: (Birth/Death) Vital Records Section State Department of Health 2 North Meridian Street Indianapolis, IN 46204 (317) 233-2700

Address: Marriage/Divorce County Clerk in county where event occurred.

Remarks: Office has birth/death records since 1907. No data available for marriage/divorce dates. Check or money order should be made payable to: **Indiana State Department of Health.**

IOWA:

Event: Birth/Death/Marriage Cost of copy: \$10.00

Event: Divorce (County) Cost of copy: \$6.00

Address: (Birth/death/marriage) Iowa Department of Public Health Vital Statistics Section Lucas Office Building 321 East 12th Street Des Moines, IA 50319-0075 (515) 281-4944

Address: (Divorce) Clerk of County in the county where divorce was granted. Remarks: Office has birth/death/marriage records since 1880. Check or money order should be made payable to **Iowa Department of Public Health**.

KANSAS:

Event: Birth/Death/Marriage/Divorce Cost of copy: \$11.00

Address: Office of Vital Statistics Kansas State Department of Health and Environment 1000 SW Jackson Street Suite 120 Topeka, KS 66612-2221 (785) 296-1400

Remarks: Office has birth/death records since 1911, marriage records since 1913, and divorce records since 1951. Check or money order should be made payable to: **Vital Statistics**

KENTUCKY:

Event: Birth Cost of copy: \$10.00

Event: Death/Marriage/Divorce Cost of copy: \$6.00

Address: Office of Vital Statistics Department for Health Services 275 East Main Street Frankfort, KY 40621 (502) 564-4212

Remarks: Office has birth/death records since 1911 and marriage/divorce records since 1958. Check or money order should be made payable to: **Kentucky State Treasurer**

LOUISIANA:

Event: Birth Cost of copy: Long Form: \$15.00, Short Form: \$9.00

Event: Death Cost of copy: \$7.00

Event: Marriage (Orleans Parish) Cost of copy: \$5.00

Event: Marriage (Other Parishes)/Divorce

Cost of copy: Varies

Address: (Birth/Death & Marriage in Orleans Parish) Vital Records Registry Office of Public Health 325 Loyola Avenue New Orleans, LA. 70112 (504) 568-5152

Address: (Marriage in other parishes/Divorce) Clerk of Court in the parish where event occurred

Remarks: Office has birth/death records since 1914. Check or money order should be made payable to: **Vital Records**.

MAINE:

Event: Birth/Death Cost of copy: Certified: \$10.00, Uncertified: \$6.00

Event: Marriage/Divorce Cost of Copy: \$10.00

Address: Office of Vital Records Maine Department of Human Services State House Station 11 Augusta, ME 04333-0011 (207) 287-3181

Remarks: Office has records since 1892. Check or money order should be made payable to: Treasurer, State of Maine

MARYLAND:

Event: Birth/Death Cost of copy: \$6.00

Event: Marriage (State)/Divorce(State) Cost of copy: Marriage: \$6.00, Divorce: No Fee

Event: Marriage/Divorce (County) Cost of copy: Varies

Address: (Birth/Death and State Marriage/Divorce) Division of Vital Records Department of Health and Mental Hygiene 6550 Reistertown Avenue P.O. Box 68760 Baltimore, MD 21215-0020 (410) 764-3038

Address: Marriage/Divorce (County)

Clerk of Circuit Court in county where license was issued or divorce granted. Clerk of Court of Common Pleas of Baltimore City for marriage licenses issued in the city of Baltimore. Remarks: Office has birth/death records since 1898, marriage and divorce records since 1951. Check or money order should be made payable to: **Division of Vital Records**.

MASSACHUSETTS:

Event: Birth/Death Cost of copy: In-person: \$12.00, Mail request: \$22.00

Event: Marriage Cost of copy: In-person: \$6.00, Mail request: \$11.00

Event: Divorce (County) Cost of copy: \$3.00

Address: (Birth/Death/Marriage) Registry of Vital Records and Statistics 150 Mount Vernon Street 1st Floor Dorchester, MA 02125-3105 (617) 740-2600

Address: Divorce (County) Registrar of Probate Court in county where divorce was granted.

Remarks: Office has birth/death/marriage records since 1906, divorce records since 1952. Check or money order should be made payable to: **Commonwealth of Massachusetts**

MICHIGAN:

Event: Birth/Death Cost of copy: \$15.00

Event: Marriage/Divorce (State) Cost of copy: \$15.00

Event: Marriage/Divorce (County) Cost of copy: Varies

Address: (Birth/Death and State Marriage/Divorce) Vital Records 3412 North Martin Luther King Boulevard P.O. Box 30195 Lansing, MI 48909 (517) 335-8656 Address: (Marriage/Divorce – county) County Clerk in county where license was issued or divorce granted.

Remarks: Office has full birth/death records since 1906, full marriage records since 1926, and full divorce records since 1924. Check or money order should be made payable to: **State of Michigan**.

MINNESOTA:

Event: Birth Cost of copy: \$13.00

Event: Death Cost of copy: \$10.00

Event: Marriage (county) Cost of copy: \$8.00

Event: Divorce (County) Cost of copy: \$10.00

Address: Birth/Death Minnesota Department of Health Section of Vital Statistics 717 Delaware Street SE P.O. Box 9441 Minneapolis, MN 55440 (612) 676-5120

Address: Marriage/Divorce (county) Registrar in county where license was issued or divorce granted.

Remarks: Office has birth records since 1900, death records since 1908, marriage/divorce records depends on county. Check or money order should be made payable to: **Treasurer, State of Minnesota**.

MISSISSIPPI:

Event: Birth Cost of copy: \$12.00, Short form: \$7.00

Event: Death Cost of copy: \$10.00

Event: Marriage (State) Cost of copy: \$10.00 Event: Marriage (county) Cost of copy: \$3.00

Event: Divorce (county) Cost of copy: Varies

Address: (Birth/death and state marriage) Vital Records State Department of Health P O Box 1700 Jackson, MS 39215-1700 (601) 576-7981

Address: (Marriage – county) Circuit Clerk in county where license was issued.

Address: (Divorce – county) Chancery Clerk in county where divorce was granted.

Remarks: Office has birth/death records since 1912. Refer to county for marriage/divorce records. Personal checks and money orders can be used only for in-state requests. Out of state requests require bank or postal money order. All should be made payable to: **Mississippi State Department of Health**.

MISSOURI:

Event: Birth/Death Cost of copy: \$10.00

Event: Marriage/Divorce (county) Cost of copy: Varies

Address: (Birth/death) Missouri Department of Health Bureau of Vital Records 930 Wildwood P.O. Box 570 Jefferson City, MO 65102-0570 (573) 751-6400

Address: (Marriage – county) Recorder of Deeds in county where license was issued

Address: (Divorce – county) Clerk of Circuit Court where divorce was granted. Remarks: Office has birth/death records since 1910. Refer to county for marriage/divorce records. Check or money order should be made payable to: Missouri Department of Health

MONTANA:

Event: Birth/Death Cost of copy: \$12.00

Event: Marriage/Divorce (County) Cost of copy: Varies

Address: (Birth/death) Montana Department of Public Health and Human Services Vital Statistics Bureau P.O. Box 4210 Helena, MT 59604 (406) 444-4228

Address: (Marriage/divorce – county) Clerk of District Court in county where license was issued or divorce granted.

Remarks: Photocopy of picture ID and signature required for birth/death records. Office has birth/death records since 1907. Refer to county for marriage/divorce records. Check or money order should be made payable to: **Montana Department of Health and Human Services**.

NEBRASKA:

Event: Birth Cost of copy: \$8.00

Event: Death Cost of copy: \$7.00

Event: Marriage/Divorce Cost of copy: \$7.00

Address: Bureau of Vital Statistics Department of Health and Human Services 301 Centennial Mall South P.O. Box 95065 Lincoln, NE 68509-5065 (402) 471-2871

Remarks: Office has birth/death records since late 1904, marriage and divorce records since 1909. Check or money order should be made payable to: **Bureau of Vital Statistics**.

NEVADA:

Event: Birth Cost of copy: \$11.00

Event: Death Cost of copy: \$8.00

Event: Marriage/Divorce (county) Cost of copy: Varies Records of Las Vegas marriages that took place in 1984 and later can be accessed via the Internet at: <u>http://www.co.clark.nv.us/recorder/mar_srch.htm</u>

Address: (Birth/death) Division of Health – Vital Statistics Capitol Complex 505 East King Street #102 Carson City, NV 89710 (775) 684 – 4280

Address: (Marriage – county) County Recorder in county where license was issued.

Address: (Divorce – county) County Clerk in county where divorce was granted.

Remarks: Office has birth/death records since 1911. Refer to county for marriage/divorce records. Check or money order should be made payable to: **Section of Vital Statistics**.

NEW HAMPSHIRE: Event: Birth/Death/Marriage/Divorce Cost of copy: \$12.00

Address: Bureau of Vital Records Health and Welfare Building 6 Hazen Drive Concord, NH 03301 (603) 271-4654

Remarks: Office has birth/death and marriage records since 1640, divorce records since 1880. Check or money order should be made payable to: **State of New Hampshire**.

NEW JERSEY:

Event: Birth/Death/Marriage Cost of copy: \$4.00 (If exact date of marriage is unknown the fee is an additional \$1.00 for each year serched) Event: Divorce Cost of copy: \$10.00 (fee is for certified Blue Seal copy)

Address: (Birth/death) New Jersey State Department of Health and Senior Services Vital Statistics Registration P.O. Box 370 Trenton, NJ 08625-0370 (609) 292-4087

Address: (Marriage) New Jersey State Department of Health and Senior Services Bureau of Vital Statistics P.O. Box 370 Trenton, NJ 08625-0370

Address: (Divorce) Clerk of the Superior Court Superior Court of New Jersey Public Information Center 171 Jersey Street P.O. Box 967 Trenton, NJ 08625-0967

Remarks: Office has birth/death records since June 1878. Check or money order for birth/death/marriage records should be made payable to: **State Registrar**. Check or money order for divorce records should be made payable to: **Clerk of the Superior Court**.

NEW MEXICO:

Event: Birth Cost of copy: \$10.00

Event: Death Cost of copy: \$5.00

Event: Marriage (County), Divorce (Court) Cost of copy: Varies

Address: (Birth/death) Vital Statistics New Mexico Health Services Division P.O. Box 26110 Santa Fe, NM 87502 (505) 827-2338 Address: (Marriage – county) County Clerk in county where license was issued.

Address: (Divorce – court) Clerk of Superior Court where divorce was granted.

Remarks: Office has full birth/death records since 1920. Check or money order should be made payable to: **Vital Statistics**.

NEW YORK (EXCEPT NEW YORK CITY)

Event: Birth/Death Cost of copy: \$15.00

Event: Marriage Cost of copy: \$5.00

Event: Divorce Cost of copy: \$15.00

Address: Certification Unit Vital Records Section P.O. Box 2602 Albany, NY 12220-2602 (518) 474-3075

Remarks: Office has birth/death/marriage records since 1880, divorce records since January 1963. Check or money order should be made payable to: **New York Department of Health**.

NEW YORK CITY:

Event: Birth/Death Cost of copy: \$15.00

Event: Marriage Cost of copy: \$10.00

Event: Divorce (See New York State)

Address: (Birth/Death) Division of Vital Records NYC Department of Health 125 Worth Street, CN4, Rm. 133 New York, NY 10013 (212) 788-4520 Addresses: (Marriage by Borough)

Bronx Borough City Clerk's Office 1780 Grand Concourse Bronx, NY. 10457

Brooklyn Borough City Clerk's Office Municipal Building Brooklyn, NY 11201

Manhattan Borough City Clerks Office Municipal Building New York, NY 10007

Queens Borough City Clerk's Office 120-55 Queens Boulevard Kew Gardens, NY 11424

Staten Island Borough City Clerk's Office Staten Island Borough Hall Staten Island, NY 10301

Remarks: There are strict identification requirements. Please call/write appropriate office for details.

NORTH CAROLINA:

Event: Birth/Death/Marriage/Divorce Cost of copy: \$15.00

Address: North Carolina Vital Records 1903 Mail Service Center Raleigh, NC 27699-1903 (919) 733-3526

Remarks: Office has birth records since October 1913, death records since January 1946, marriage records since 1962, and divorce records since 1958. Check or money order should be made payable to: North Carolina Vital Records.

NORTH DAKOTA:

Event: Birth Cost of copy: \$7.00 Event: Death/Marriage Cost of copy: \$5.00

Event: Divorce (County) Cost of copy: Varies

Address: (Birth/death/marriage) Division of Vital Records State Capitol 600 East Boulevard Avenue Bismarck, ND 58505-0200 (701) 328-2360

Address: (Divorce – county) Clerk of District Court in county where divorce was granted.

Remarks: Office has full birth/death records since 1920, marriage records since 1925. Money order (only) should be made payable to: **North Dakota Department of Health**.

NORTHERN MARIANA ISLANDS:

Event: Birth/Death/Marriage Cost of copy: \$3.00

Event: Divorce Cost of copy: \$0.50 per page for Divorce Decree and \$2.50 for certification.

Address: Superior Court Vital Records Section P.O. Box 307 Saipan, MP 96950 (670) 234-6401 Ext. 15

Remarks: Office has birth/death records since 1945, marriage records since 1954, and divorce records since 1960. Money order or bank cashier's check should be made payable to: **Superior Court**.

OHIO:

Event: Birth/Death Cost of copy: \$10.00

Event: Marriage/Divorce (County) Cost of copy: Varies Address: (Birth/death) Bureau of Vital Statistics Ohio Department of Health 35 East Chestnut Street, 6th Floor P.O. Box 15089 Columbus, OH 43216-0118 (614) 466-2531

Address: Marriage (county) Probate Judge in county where license was issued.

Address: Divorce (county) Clerk of Common Pleas in county where divorce was granted.

Remarks: Office has full birth records since 1908, full death records since 1945. Check or money order should be made payable to: **State Treasury**.

OKLAHOMA:

Event: Birth Cost of copy: \$5.00

Event: Death Cost of copy: \$10.00

Event: Marriage/Divorce (county) Cost of copy: Varies

Address: (Birth/death) Vital Records Service State Department of Health 1000 Northeast 10th Street Oklahoma City, OK 73117 (405) 271-4040

Address: Marriage/Divorce (county) Clerk of Court in county where license was issued or divorce granted.

Remarks: Office has birth/death records since 1908. Check or money order should be made payable to: **Vital Records Service**.

OREGON:

Event: Birth/Death/Marriage/Divorce Cost of copy: \$15.00 Address: Oregon Health Division Vital Statistics Section P.O. Box 14050 Portland, OR 97293-0050 (503) 731-4095

Remarks: Office has birth/death records since 1903, marriage records since 1906, and divorce records since 1925. Money order (only) should be made payable to: **DHS/Vital Records**.

PENNSYLVANIA:

Event: Birth Cost of copy: \$4.00

Event: Death Cost of copy: \$3.00

Event: Marriage/Divorce (county) Cost of copy: Varies

Address: (Birth/death) Division of Vital Records 101 South Mercer Street Room 401 P.O. Box 1528 New Castle, PA 16101 (724) 656-3100

Address: Marriage (county) Make application to: Marriage License Clerks, County Court House in the county where license was issued.

Address: Divorce (county) Make application to: Prothonotary, Court House, in the county where the divorce was granted.

Remarks: Office has birth/death records since 1906. Check or money order should be made payable to: **Division of Vital Records**.

PUERTO RICO:

Event: Birth/Death/Marriage Cost of copy: \$5.00

Event: Divorce Cost of Copy: \$2.00 Address: Department of Health Demographic Registry P.O. Box 11854 Fernandez Juncos Station San Juan, PR 00910 (787) 728-7980

Remarks: Office has records since 1931. All applications must be accompanied by a photocopy of an identification card with picture. Money order (only) should be made out to: **Secretary of the Treasury**.

RHODE ISLAND:

Event: Birth/Death/Marriage Cost of copy: \$15.00

Event: Divorce (court) Cost of copy: \$3.00

Address: (Birth/death/marriage) Division of Vital Records Rhode Island Department of Health 3 Capitol Hill, Room 101 Providence, RI 02908-5097 (401) 222-2811

Address: Divorce Clerk of Family Court 1 Dorrance Plaza Providence, RI 02903

Remarks: Office keeps birth/marriage records for 100 years and death records for 50 years. Check or money order should be made payable to: **General Treasurer, State of Rhode Island**.

SOUTH CAROLINA:

Event: Birth/Death/Marriage/Divorce Cost of copy: \$12.00

Address: Office of Vital Records SC DHEC 2600 Bull Street Columbia, SC 29201 (803) 898-3630 Remarks: Office has birth/death records since 1915, marriage records since 1950, and divorce records since 1949. Check or money order should be made payable to: **Department of Health and Environmental Control**.

SOUTH DAKOTA:

Event: Birth/Death/Marriage/Divorce Cost of copy: \$7.00

Address: Vital Records State Department of Health 600 East Capitol Avenue Pierre, SD. 57501-2536 (605) 773-4961

Remarks: Office has records since 1905. Check or money order should be made payable to: **South Dakota Department of Health**.

TENNESSEE:

Event: Birth Cost of copy: Long Form: \$12.00, Short Form: \$7.00

Event: Death Cost of copy: \$5.00

Event: Marriage/Divorce Cost of copy: \$12.00

Address: Tennessee Vital Records Department of Health Central Services Building 421 5th Avenue, North Nashville, TN 37247-0450 (615)741-1763

Remarks: Office has birth/death records since 1914. Office keeps marriage and divorce records for only 50 years. Check or money order should be made payable to: **Tennessee Vital Records**.

TEXAS:

Event: Birth Cost of copy: \$11.00

Event: Death Cost of copy: \$9.00 Event: Marriage/Divorce (county) Cost of copy: Varies

Address: (Birth/death) Bureau of Vital Statistics Texas Department of Health P.O. Box 12040 Austin, TX 78711-2040 (512) 458-7111

Address: Marriage (county) County Clerk in county where license was issued.

Address: Divorce (county) Clerk of District Court in county where divorce was granted.

Remarks;

Office has birth/death records since 1903. Check or money order should be made payable to: **Bureau of Vital Statistics**.

UTAH:

Event: Birth Cost of copy: \$12.00

Event: Death Cost of copy: \$9.00

Event: Marriage/Divorce (county) Cost of copy: Varies

Address: (Birth) Office of Vital Records and Health Statistics Utah Department of Health 288 North 1460 West P.O. Box 141012 Salt Lake City, UT 84114-1012 (801) 538-6105

Address: (Death) Bureau of Vital Records Utah Department of Health 288 North 1460 West P.O. Box 141012 Salt Lake City, UT 84114-1012 Address: Marriage/Divorce (county) County Clerk in county where license was issued or divorce granted.

Remarks: Office has birth/death records since 1905. Check or money order should be made payable to: **Utah Department of Health**.

VERMONT:

Event: Birth/Death/Marriage/Divorce (State) Cost of copy: \$7.00 Note: State office keeps records for past 10 years ONLY.

Event: Birth/Death/Marriage/Divorce (City/Town) Cost of copy: \$7.00

Address: (State) Vermont Department of Health Vital Records Section P O Box 70 Burlington, VT. 05402-0070 (802) 863.7275

Address: (Birth/Death/Marriage - City/Town) Town or City Clerk in town/city where event occurred.

Address: (Divorce – City/Town) Family Court in county where divorce was granted.

Remarks: State office keeps records for past 10 years only. Check or money order to state office should be made payable to: **Vermont Department of Health**.

VIRGINIA:

Event: Birth/Death/Marriage/Divorce Cost of copy: \$10.00

Address: Office of Vital Records P.O. Box 1000 Richmond, VA 23218-1000 (804) 662-6200

Remarks: Office has birth/death and marriage records since 1912, divorce records since 1918. Check or money order should be made payable to: **State Health Department**.

VIRGIN ISLANDS:

ST. CROIX Event: Birth/Death Cost of copy: \$15.00 (mail request), \$12.00 (in-person)

Event: Marriage Cost of copy: \$2.00

Event: Divorce Cost of copy: \$5.00

Address: (Birth/Death) Department of Health Vital Statistics Charles Harwood Memorial Hospital St. Croix, VI 00820 (340) 774-9000 Extension 4685 or 4686

Address: Marriage/Divorce Chief Deputy Clerk Family Division Territorial Court of the Virgin Islands P.O. Box 929 Chritiansted St. Croix, VI 00820

Remarks:

Office has birth/death records since 1840. Money order (only) for birth/death records should be made payable to: Department of Health. Money order (only) for marriage/divorce records should be made payable to: Territorial Court of the Virgin Islands.

ST. THOMAS AND ST. JOHN Event: Birth/Death Cost of copy: \$15.00 (mail request), \$12.00 (in-person)

Event: Marriage Cost of copy: \$2.00

Event: Divorce Cost of copy: \$5.00

Address: (Birth/Death) Department of Health, Vital Statistics Knud Hansen Complex St. Thomas, VI 00802 Address: (Marriage/Divorce) Clerk of the Territorial Court of the Virgin Islands Family Division P.O. Box 70 Charlotte Amalie St. Croix, VI 00801

Remarks: Office has birth/death records since 1906. Money order (only) for birth/death records should be made payable to: **Department of Health**. Money order only for marriage/divorce records should be made payable to: **Territorial Court of the Virgin Islands**.

WASHINGTON:

Event: Birth/Death/Marriage/Divorce Cost of copy: \$13.00

Address: Department of Health Center for Health Statistics P.O. Box 9709 Olympia, WA 98507-9709 (360) 236-4300

Remarks: Must have exact information for birth record. Office has birth/death records since 1907 and marriage/divorce records since 1968. Check or money order should be made payable to: **Department of Health**.

WEST VIRGINIA:

Event: Birth/Death/Marriage (State) Cost of copy: \$5.00

Event: Divorce (county) Cost of copy: Varies

Address: (Birth/death/marriage) Vital Registration Office Room 165 350 Capitol Street Charleston, WV 25301-3701 (304) 559-2931

Address: Divorce (county) Clerk of Circuit Court, Chancery Side, in county where divorce was granted.

Remarks: Office has birth/death records since 1917 and marriage records since 1921. Check or money order should be made payable to: **Vital Registration**.

WISCONSIN:

Event: Birth Cost of copy: \$12.00

Event: Death/Marriage/Divorce Cost of copy: \$7.00

Address: Vital Records 1 West Wilson Street P.O. Box 309 Madison, WI 53701 (608) 266-1371

Remarks: Office has full records for all events since 1907. Check or money order should be made payable to: **Vital Records**.

WYOMING:

Event: Birth/Marriage/Divorce Cost of copy: \$12.00

Event: Death Cost of copy: \$9.00

Address: Vital Records Services Hathaway Building Cheyenne, WY 82002 (307) 777-7591

Remarks: Office has birth/death and marriage records since 1909, divorce records since 1941. Check or money order should be made payable to: **Vital Records Services**.

APPENDIX I: Department of Motor Vehicles Information State-by-State

APPENDIX G:

Department of Motor Vehicle Records Information

<i>Alabama</i> Alabama Department of Revenue, N 1202 Gordon Persons Building 50 North Ripley Street P.O. Box 327610 Montgomery, AL 36132-7610 Personal Information Released: Consent Required: Notarization Required: Fee:	Motor Vehicles Division YES YES YES \$5.75
<i>Alaska</i> State of Alaska Division of Motor Vehicles ATTN: Driving Records 2760 Sherwood Lane, Suite B Juneau, AK 99801 Personal Information Released: Consent Required: Notarization Required: Fee:	YES YES NO \$5.00
<i>Arizona</i> Arizona Department of Transportation Motor Vehicle Division PO Box 2100 Phoenix, AZ 85001-2100 Personal Information Released: Consent Required: Notarization Required: Fee:	YES YES YES \$3.00
<i>Arkansas</i> Driving Records Room 1130 PO Box 1272 Little Rock, AR 72203 Personal Information Released: Consent Required: Notarization Required: Fee:	YES YES NO \$7.00

California

California does not release personal DMV information to research agencies nor allow for the release of personal information even with signed consent.

Colorado Colorado Department of Revenue Motor Vehicle Division 1881 Pierce St. Lakewood, CO 80214 Personal Information Released: Consent Required: Notarization Required: Fee:	YES YES NO \$2.20	
<i>Connecticut</i> Department of Motor Vehicles Phone Center 60 State Street Wethersfield, CT. 06161 (860) 263-5700 Personal Information Released:	YES	
Consent Required: Notarization Required: Fee:	YES UNKNOWN UNKNOWN	
Contact DMV for appropriate forms and fees.		
Delaware Division of Motor Vehicles ATTN: Driver License Administration PO Box 698 Dover, DE 19903		
Personal Information Released: Consent Required:	YES YES	
Notarization Required:	YES	
Fee:	\$4.00	
<i>District of Columbia</i> Department of Motor Vehicles 65 K Street, NE Washington, D.C. 20002 (202) 727-1159		
Personal Information Released: Consent Required: signature	YES YES/ requires photocopy of client's ID with	
Notarization Required: Fee:	NO \$5.00	

Florida

Department of Highway Safety and Motor Vehicles Division of Motor Vehicles 2900 Apalachee Parkway, Mail Stop 73 Neil Kirkman Building Tallahassee, FL 32399 Personal Information Released: YES Consent Required: YES Notarization Required: YES Fee: \$0.50 (additional fees may be required)

GeorgiaDepartment of Motor Vehicle SafetyDriver Services DivisionAttn: MVR UnitPO Box 80447Conyers, GA 30013(404) 657-9300Personal Information Released:YESConsent Required:YESNotarization Required:YESFee:\$5.00

Hawaii Hawaii Motor Vehicle and Licensing Division 1031 Nuuanu Avenue Honolulu, Hawaii 96817 (808) 532-7700 Note: Contact state office for information regarding the release of personal DMV information.

Idaho	
Idaho Transportation Department	
Driver Services	
PO Box 34	
Boise, ID 83703	
(208) 334-8736	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$4.00 (Certification: \$8.00 extra)

Illinois

Illinois does not release personal DMV information to research agencies nor allow for the release of personal information even with signed consent.

Indiana Bureau of Motor Vehicles Driver Records / IGCN 100 N. Senate Ave. Room N405 Indianapolis, IN 46204 (317) 232-2894 Personal Information Released: YES Consent Required: YES Notarization Required: YES Fee: \$4.00

Iowa

Iowa does not release personal DMV information to research agencies nor allow for the release of personal information even with signed consent.

Kansas

Kunsus	
Kansas Department of Revenue	
Driver Control Bureau	
PO Box 12021	
Topeka, KS 66612-2021	
(785) 296-3671	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$5.00
Kentucky	
Kentucky Transportation Cabinet	
Division of Driver Licensing	
501 High Street	
Frankfort, KY 40622	
(502) 564-6800 Ext. 2250	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$3.00
Louisiana	
Office of Motor Vehicles	

Office of Motor Vehicles	
PO Box 64886	
Baton Rouge, LA 70896	
(225) 925-6388	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$15.00

Maine Bureau of Motor Vehicles 29 State House Station Augusta, ME 04333-0029 (207) 287-9000 Personal Information Released: Consent Required: Notarization Required: Fee:	YES YES/Consent valid for 12 months NO \$5.00
Maryland Motor Vehicle Administration 6601 Ritchie Highway, NE Glen Burnie, MD 21062 (800) 638-8347 Personal Information Released: Consent Required: Notarization Required: Fee:	YES YES NO \$7.00 (\$10.00 for certified copy)

Massachusetts

Massachusetts does not release personal DMV information to research agencies nor allow for the release of personal information even with signed consent.

Michigan

michigun	
Michigan Department of State	
Record Lookup Unit	
7064 Crowner Drive	
Lansing, Michigan 48918-1540	
(517) 322-1181	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$6.55
Minnesota	
Driver and Vehicle Services	
445 Minnesota St. Suite 168	
St. Paul, MN 55101	
(651) 296-6911	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$4.50 (Certified copy: \$5.50)

Mississippi Mississippi Department of Public Safety Driver Records Branch PO Box 958 Jackson, MS 39205 Note: Contact state office for information regarding release of personal DMV information.

Missouri

Department of Revenue	
Driver and Vehicle Services Bureau	
PO Box 200	
Jefferson City, MO 65105-0200	
(573) 751-4600	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	YES
Fee:	\$1.25 (Certified copy: \$4.00)

Montana

Records and Driver Control Bureau	
303 North Roberts	
PO Box 201430	
Helena, MT 59620-1430	
(406) 444-4590	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$4.00

Nebraska	
DMV Driver and Vehicle Records Division	
301 Centennial Mall South	
PO Box 94789	
Lincoln, NE 68509-04789	
(402) 471-4343	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	YES
Fee:	\$3.00

Nevada

Department of Motor Vehicles and Public Safety Motor Vehicle Record Section 555 Wright Way Carson City, Nevada 89711-0250 (775) 684-4590

Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	YES
Fee:	\$5.00

NOTE: The notarized signed consent/release cannot be dated more than 90 days prior to request.

New Hampshire

New Hampshire does not release personal DMV information to research agencies nor allows for the release of personal information even with signed consent.

New Jersey Official Custodian of Records Division of Motor Vehicles PO Box 122 225 East State Street Trenton, NJ 08666-0122 ATTN: Manager of Information Update and Retrieval (609) 292-6500 NOTE: You must contact the above office for necessary forms.

YES
YES
NO (Strongly recommended)
Call for current fee

New York	
MV-15 Processing	
NYS Department of Motor Vehicles	
6 Empire State Plaza	
Albany, NY 12228	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$5.00

North Carolina Motor Vehicle Records Driver License Section Department of Motor Vehicles 1100 New Bern Ave.

Raleigh, NC 27697-0001	
(919) 715-7000	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$7.00

North Dakota

Driver's License and Traffic Safety	
ND Department of Transportation	
608 E. Boulevard Avenue	
Bismarck, ND 58505-0700	
(701) 328-2604	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$3.00

Ohio

Omo	
Ohio Bureau of Motor Vehicles	
ATTN: Record Request	
PO Box 16520	
Columbus, OH 43216-6520	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	YES
Fee:	\$2.00

Oklahoma

omanoma		
Oklahoma Department of Public Safety		
Attn: Driving Records		
PO Box 11415		
Oklahoma City, OK 73136		
(405) 425-2262		
Personal Information Released:	YES	
Consent Required:	YES	
Notarization Required:	NO	
Fee:	\$10.00	

Oregon

Oregon does not release personal DMV information to research agencies nor allows for the release of personal information even with signed consent.

Pennsylvania Bureau of Driver Licensing Driver Record Services

PO Box 68695	
Harrisburg, PA 17106-8695	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	YES
Fee:	\$5.00

Rhode Island

Division of Motor Vehicles 286 Main St. Pawtucket, RI 02860 (401) 588-3020 (Main Information) (401) 588-3000 (Administrator)

South Carolina

Driver Records Mail-in Unit	
PO Box 1498	
Columbia, SC 29216-0035	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$6.00

South Dakota

SD Division of Motor Vehicles	
Attn: Records Search Section	
445 East Capitol Avenue	
Pierre, SD 57501-3100	
(605) 773-3541	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	YES
Fee:	\$2.00

Tennessee

Tennessee Department of Safety	
1150 Foster Avenue	
Nashville, TN 37249	
(615) 251-5216	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	Call for current fee

TexasDriver Records BureauTexas Department of Public SafetyBox 149246Austin, TX 78714-9246Personal Information Released:YESConsent Required:YESNotarization Required:NOFee:\$4.00

Utah		
Utah State Tax Commission		
Motor Vehicle Customer Service Division		
210 North 1950 West		
Salt Lake City, UT 84134		
(800) 368-8824		
Personal Information Released:	YES	
Consent Required:	YES	
Notarization Required:	YES	
Fee:	\$2.00	

Vermont	
Agency of Transportation	
Department of Motor Vehicles	
120 State Street	
Montpelier, VT 05603-0001	
(802) 828-2000	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$6.00

Virginia	
Department of Motor Vehicles	
PO Box 27412	
Richmond, VA 23269-0001	
(757) 461-1919	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$8.00

Washington

Washington does not release personal information to research agencies nor allows for the release of personal information even with signed consent.

West VirginiaWest Virginia Division of Motor VehiclesDriver Improvement Section1800 Kanawha Boulevard, East, Building 3Charleston, WV 25317(304) 558-3900Personal Information Released:YESConsent Required:YESNotarization Required:YESFee:\$5.00

Wisconsin	
Driver Records Section	
Wisconsin Department of Transporta	ation
PO Box 7995	
Madison, WI 53707-7995	
(608) 266-2353	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$5.00

Wyoming	
Driver Services / Driving Records	
5300 Bishop Blvd.	
Cheyenne, WY 82009-3340	
(307) 777-4800	
Personal Information Released:	YES
Consent Required:	YES
Notarization Required:	NO
Fee:	\$5.00

APPENDIX J: Federal Government Request Forms

U.S. Department of Justice

Immigration and Naturalization Service

Address at the time of Naturalization:

		The completion of this form is of Freedom of Information or Priv		ceptable.
5T	ART HERE – Please type or print and re			
	Type of Request: (Check appropriate box)		• • • • • • • • • • • • • • • • • • • •	
	Freedom of Information Act (FOIA)			
 Privacy Act (PA) (Item 7 must be completed in addition to all other applicable items) Amendment (PA only, Item 7 must be completed in addition to all other applicable items) 				
		e completed in addition to all of	ner applicable items)	
2.	Requester Information:			
	Name of Requester:		Daytime T	Selephone:
	Address (Street Number and Name):		Apt. No	
	City:	State:	Zip Code:	
	By my signature, I consent to the followin Pay all costs incurred for search, duplication Signature of requester: Deceased Subject - Proof of death methods	on, and review of materials up to		
3.	Consent to Release Information. (Complete	e if name is different from Requ	ester)(Item 7 must be a	completed)
	Print Name of Person Giving Consent:	Signatu	re of Person Giving Con	sent:
what part (i.e. copy of application) 				
	Action Requested (<i>Check One</i>):	Сору	□ In-Person	Review
 Information needed to search for records: Specific information, document(s), or record(s) desired: (Identify by name, date, subject is 			e, date, subject matter,	and location of information)
	Purpose: (Optional: you are not required to state the purpose for your request; however, doing so may assist the INS in locating the records needed to respond to your request.) Data NEEDED on SUBJECT of Record: (If data marked with asterisk (*) is not provided records may not be located)			
6.			is not provided record	
	* Family Name	Given Name:		Middle Initial:
	*Other names used, if any:	* Name at time of entry into	the U.S.:	I-94 Admissions #:
	* Alien Registration #:	* Petition or Claim Receipt #:	* Country of Birth:	*Date of Birth or Appx. Year
	Names of other family members that may appear on requested record(s) (i.e., Spouse, Daughter, Son):			r, Son):
	Country of Origin (Place of Departure):	Port-of-Entry into the U.S.		Date of Entry:
	Manner of Entry: (Air, Sea, Land)	Mode of Travel: (Name of Co	arrier)	SSN:
	Name of Naturalization Certifications:	1	Certificate #:	Naturalization Date:

Form G-639 (Rev. 7-25-00)N

Court and Location:

7. Verification of Subject's Identity: (See Instructions for Explanation) (C	Check One Box)
□ In-Person with ID □ Notarized Affidavit of Identity	Other (Specify)
Signature of Subject of Record:	Date:
	Telephone No.: () -
NOTARY (Normally needed from individuals who are the subject of t or a sworn declaration under penalty of perjury.	
Subscribed and sworn to before me this day	of in the Year
Signature of Notary	My Commission Expires
OR	
If a declaration is provided in lieu of a notarized signature, it must state, at a min	nimum, the following: (Include Notary Seal or Stamp in this Space)

If executed outside the United States: "I declare (certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

-

If executed within the United States, its territories, possessions, or commonwealths: "I declare (certify, verify, or state) under penalty of perjury that the foregoing is true and correct.

Signature:	Signature:
6	ę <u> </u>

INSTRUCTIONS

Please read ALL Instructions carefully before completing this form.

Applicants making false statements are subject to criminal penalties (Pub.L. 93-579.99 Stat. (5 U.S.C. 552a(i)(3)).

Are There Cases When You do not Use This Form?

Do not use this form:

(1) To determine status of pending applications, write to the office where the application was filed or call the nearest INS office;

(2) For Consular notification of visa petition approval, use Form I-824 (Application for Action on an Approved Application or Petition);

(3) For the return of original documents, use Form G-884 (Request for Return of Original Documents);

(4) For records of naturalization prior to September 27, 1906, write to the clerk of court where naturalization occurred; or

(5) For information on INS manifest arrivals prior to December 1982, write to the National Archives.

How Can You Obtain Copies of Records from INS?

Persons requesting a search for access to INS records under the Freedom of Information or Privacy Acts may submit the completed application to the INS office nearest the applicant's place of residence. Requests may be submitted in person or by mail. If an application is mailed, the envelope should be clearly marked "Freedom of Information" or "Privacy Act Request." The INS Internet address is: http://www.ins.usdoj.gov.

What Information is Needed to Search for Records?

Please Note: Failure to provide complete and specific information as requested in Item 5 of the form, may result in a delay in processing or inability to locate the record(s) or information requested. You may access "http://www.access.gpo.gov/su-docs" for a description of DOJ/INS systems of records.

Verification of Identity in Person.

Requesters appearing in person for access to their records may identify themselves by showing a document bearing a photograph (such as an Alien Registration Card, Form I-551, Citizen Identification Card, Naturalization Certificate, or passport) or two items which bear their name and address (such as a driver's license and voter's registration).

Verification of Identity by Mail.

Requesters wanting access to their records shall identify themselves by name, current address, date and place of birth, and alien or employee identification number. A notarized example of their signatures or sworn declaration under penalty of perjury must also be provided (this Form G-639 or a DOJ Form 361, Certification of Identity, may be used for this purposes).

Verification of Identity of Guardians.

Parents or legal guardians must establish their own identity as parents or legal guardians and the identity of the child or other person being represented.

Authorization or Consent.

Other parties requesting nonpublic information about an individual usually must have the consent of that individual on Form G-639 or by an authorizing letter, together with appropriate verification of identity of the record subject. Notarized or sworn declaration is required from a record subject who is a lawful permanent resident or U.S. citizen, and for access to certain Legalization files.

Can My Request be Expedited?

To have your request processed ahead of ones received earlier you must show a compelling need for the information.

How Do You Show a Compelling Need?

A requester who seeks expedited processing must explain in detail the basis of the need and should submit a statement certified to be true and correct to the best of your knowledge and belief. You must also establish one or more of the following exists:

(1) Circumstances in which the lack of expedited processing could reasonably be expected to pose an imminent threat to the life or physical safety of an individual, or result in the loss of substantial due process rights;

(2) An urgency to inform the public about an actual or alleged federal government activity, if made by a person primarily engaged in disseminating information; or

(3) A matter of widespread and exceptional media interest in which there exists possible questions about the government's integrity which affect public confidence.

Fees.

Except for commercial requesters, the first 100 pages of reproduction and two hours of search time will be furnished without charge. Thereafter, for requests processed under the Privacy Act, there may be a fee of \$.10 per page for photocopy duplication. For requests processed under the Freedom of Information Act, there may be a fee for quarter hours of time spent for searches and for review of records. Search fees are at the following rates per quarter hour: \$4.00 clerical; \$7.00 professional/computer operator; and \$ 10.00 managerial. Other costs for searches and duplication will be charged at the actual direct cost. Fees will only be charged if the aggregate amount of fees for searches, copy and/or review is more than \$14.00. If the total anticipated fees amount to more than \$250.00, or the same requester has failed to pay fees in the past, an advance deposit may be requested. Fee waivers or reductions may be requested for a request that clearly will benefit the public and is not primarily in the personal or commercial interest of the requester. Such requests should include a justification.

INSTRUCTIONS Continued

When Must I Submit Fees?

Do not send money with this request. When requested to do so, submit fees in the exact amount. Payment may be in the form of a check or a United States Postal money order (or, if form is submitted from outside the United States, remittance may be made by bank international money order or foreign draft drawn on a financial institution in the United States) made payable, in United States currency, to the "Immigration and Naturalization Service". A requester residing in the U.S. Virgin Islands shall make his/her remittance payable to "Commissioner of Finance of the Virgin Islands," and, if residing in Guam, to "Treasurer, Guam". **DO NOT SEND CASH AT ANYTIME.**

A charge of \$30.00 will be imposed if a check in payment of a fee is not honored by the bank on which it is drawn. Every remittance will be accepted subject to collection.

Routine Uses.

Information will be used to comply with requests for information under 5 U.S.C. 552 and 552a; information provided to other agencies may be for referrals, consultations, and/or to answer subsequent inquiries concerning specific requests.

Effect of Not Providing Requested Information.

Furnishing the information requested on this form is voluntary. However, failure to furnish the information may result in the inability of INS to comply with a request when compliance will violate other policies or laws.

General Information.

The Freedom of Information Act (5 U.S.C. 552) allows requesters to have access to Federal agency records, except those which have been exempted by the Act.

Privacy Act Statement.

Authority to collect this information is contained in Title 5 U.S.C. 552 and 552a. The purpose of the collection is to enable INS to locate applicable records and to respond to requests made under the Freedom of Information and Privacy Acts.

The Privacy Act of 1974. (5 U.S.C. 552a).

With certain exceptions, the Privacy Act of 1974 permits individuals (U.S. citizens or permanent resident aliens) to gain access to information pertaining to themselves in Federal agency records, to have a copy made of all or any part thereof, to correct or amend such records, and to permit individuals to make requests concerning what records pertaining to themselves, are collected, maintained, used or disseminated. The Act also prohibits disclosure of individuals' records without their written consent, except under certain circumstances as prescribed by the Privacy Act.

Public Reporting Burden.

Under the Paperwork Reduction Act (5 U.S.C. 1320), a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. We try to create forms and instructions that are accurate, can be easily understood, and which impose the least possible burden on you to provide us with information. Often this is difficult because some immigration laws are very complex. The estimated average time to complete and file this application is 15 minutes per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have comments regarding the accuracy of this estimate, or suggestions for making this form simpler you may write to the Immigration and Naturalization Service. HQPDI, 425 I Street, N.W., Room 4307r, Washington, DC 20536; OMB No. 1115-0087.

Standard Form 180 (Rev.	3-99)
Prescribed by NARA (36	CFR 1228.16

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	by NARA (36 CFR 1228.162(a)) Previous edition unusable OMB No. 3095-0029 Expires 7/31				29 Expires 7/31/2002			
•	PERTAINING ARY RECORDS						e instructions at the nore space, use plai	
	SECTION I - INFO							
1. NAME USE	ED DURING SERVICE (Last	, first, and middle)	2. SOCI	AL SECURIT	Y NO.	3. DATE OF BII	RTH 4. PLACE O	F BIRTH
5. SERVICE,	PAST AND PRESENT	(For an	effective r	ecords search,	it is impo	rtant that ALL serv	ice be shown below.)	
		DATES	OF SERVI	CE	C	HECK ONE	SERVICE N DURING TH	
	BRANCH OF SERVICE	DATE ENTERED	DATE I	TE RELEASED OFFICER ENLISTED		(If unknown, please		
a. ACTIVE SERVICE								
b. RESERVE SERVICE								
c. NATIONAL GUARD								
	RSON DECEASED? If "Y	ES" enter the date of	death.	7. IS (WAS)	THIS PE	ERSON RETIRED	FROM MILITARY	SERVICE?
	SECT	ON II - INFORM	ATION A	ND/OR DOG	CUMEN	TS REQUESTE	D	
performed, ever which you need An UN This norma separation, eligibility f A DEI The followi (SPD/SPN) 2. OTHER INI 3. PURPOSE (ceased veteran/s next of kin, o n in the same branch, there ma l a copy. NDELETED Report of Separa ally will be a copy of the full s reenlistment eligibility code, s for benefits. LETED Report of Separation i ing information will be deleted o code, and for separations afte FORMATION AND/OR DOC (OPTIONAL - An explanation possible response and will in	ty be more than one R tion is requested for the eparation document in separation (SPD/SPN) is requested for the yea from the copy sent: r June 30, 1979, chara CUMENTS REQUES	eport of Se e year(s) cluding succode, and ar(s) authority fo acter of sep STED request is s	paration. Be s h sensitive iten dates of time lo or separation, r aration and dat	ure to sho ns as the o sst. An u eason for res of time y. Such i	w EACH year that character of separat ndeleted version is separation, reenlist e lost.	a Report of Separatio ion, authority for sepa ordinarily required to ment eligibility code,	n was issued, for aration, reason for determine separation
		SECTION III - R	ETURN	ADDRESS A	ND SIG	NATURE		
Next of 2. SEND INFO	ER IS service member or veteran id kin of deceased veteran MMATION/DOCUMENTS t or type. See instruction 3, be	(relation) TO	bove	Other (s 3. AUTHO I declare (or	pecify) RIZATI(certify, v	ON SIGNATURE 1 verify, or state) und	f court appointment) REQUIRED (See insi ler penalty of perjury ation in this Section II	under the laws of the
Name				Signature of Requester (Please do not print.) () Date of this request Daytime phone				
			_		-			
City **T	This form is available at <i>http://</i>	/www.nara.gov/region	al/mprsf18	E-mail addı <i>0.html</i> on the N		rchives and Record	s Administration Web	Site**
INSTRU	CTIONS	Please deta	nch this p	ortion befor	re subm	itting request.		

1. Information needed to locate records. Certain identifying information is necessary to determine the location of an individual's record of military service. Please try to answer each item on this form. If you do not have and cannot obtain the information for an item, show "NA," meaning the information is "not available." Include as much of the requested information as you can.

2. Restrictions on release of information. Release of information is subject to restrictions imposed by the military services consistent with Department of Defense regulations and the provisions of the Freedom of Information Act (FOIA) and the Privacy Act of 1974. The service member (either past or present) or the member's legal guardian has access to almost any information contained in that member's own record. Others requesting information from military personnel/health records must have the release authorization in Section III of this form signed by the member or legal guardian, but if the appropriate signature cannot be obtained, only limited types of information can be provided. If the former member is deceased, surviving next of kin may, under certain circumstances, be entitled to greater access to a deceased veteran's records than a member of the public. The next of kin may be any of the following: unremarried surviving spouse, father, mother, son, daughter, sister, or brother. Employers and others needing proof of military service are expected to accept the information shown on documents issued by the military service departments at the time a service member is separated.

3. Where reply may be sent. The reply may be sent to the member or any other address designated by the member or other authorized requester.

4. Charges for service. There is no charge for most services provided to members or their surviving next of kin. A nominal fee is charged for certain types of service. In most instances service fees cannot be determined in advance. If your request involves a service fee, you will be notified as soon as that determination is made.

LOCATION OF MILITARY RECORDS

The various categories of military service records are described in the chart below. For each category there is a code number which indicates the address at the bottom of the page to which this request should be sent.

- 1. Health and personnel records. In most cases involving individuals no longer on active duty, the personnel record, the health record, or both can be obtained from the same location, as shown on the chart. However, some health records are available from the Department of Veterans Affairs (VA) Records Management Center (Code 11). A request for a copy of the health record should be sent to Code 11 if the person was discharged, retired, or released from active duty (separated) on or after the following dates: ARMY -- October 16, 1992; NAVY -- January 31, 1994; AIR FORCE and MARINE CORPS -- May 1, 1994; COAST GUARD -- April 1, 1998. Health records of persons on active duty are generally kept at the local servicing clinic, and usually are available from Code 11 as week or two after the last day of active duty.
- 2. <u>Records at the National Personnel Records Center</u>. Note that it takes at least three months, and often six or seven, for the file to reach the National Personnel Records Center (Code 14) in St. Louis after the military obligation has ended (such as by discharge). If only a short time has passed, please send the inquiry to the address shown for active or current reserve members. Also, if the person has only been released from active duty but is still in a reserve status, the personnel record will stay at the location specified for reservists. A person can retain a reserve obligation for several years, even without attending meetings or receiving annual training.
- 3. Definitions and abbreviations. DISCHARGED -- the individual has no current military status; HEALTH -- Records of physical examinations, dental treatment, and outpatient medical treatment received while in a duty status (does not include records of treatment while hospitalized); TDRL -- Temporary Disability Retired List.
- 4. Service completed before World War I. The oldest records pertaining to military service veterans are at the National Archives, for service that was completed before the following dates: ARMY -- enlisted, 11/1/1912, officer, 7/1/1917; NAVY -- enlisted, 1/1/1886, officer, 1/1/1903; MARINE CORPS -- 1/1/1905; COAST GUARD -- 1/1/1898. National Archives Trust Fund (NATF) forms must be used to request these records. Obtain the forms by e-mail from inquire@nara.gov or write to the Code 6 address.

BRANCH	CURRENT STATUS OF SERVICE MEMBER	WHERE TO WRITE ADDRESS	CODE			
AIR FORCE	Discharged, deceased, or retired with pay (See paragraph 1, above, if requesting health record.)					
	Active (including National Guard on active duty in the Air Force), TDRL, or general officers retired with pay					
	Reserve, retired reserve in nonpay status, current National Guard officers not on active duty in the Air Force, or National Guard released from active duty in the Air Force					
	Current National Guard enlisted not on active duty in the Air Force		13			
COAST	Discharged, deceased, or retired (See paragraph 1, above, if requesting health record.)		14			
GUARD	Active, reserve, or TDRL					
MADDIE	Discharged, deceased, or retired (See paragraph 1, above, if requesting health record.)					
MARINE CORPS	Individual Ready Reserve or Fleet Marine Corps Reserve					
COMS	Active, Selected Marine Corps Reserve, or TDRL					
	Discharged, deceased, or retired (See paragraph 1, above, if requesting health record.)					
	Reserve; or active duty records of current National Guard members who performed service in the U.S. Army before 7/1/72					
ARMY	Active enlisted (including National Guard on active duty in the U.S. Army) or TDRL enlisted					
	Active officers (including National Guard on active duty in the U.S. Army) or TDRL officers					
	Current National Guard enlisted not on active duty in Army (including records of Army active duty performed after 6/30/72)					
	Current National Guard officers not on active duty in Army (including records of Army active duty performed after 6/30/72)					
NAVY	Discharged, deceased, or retired (See paragraph 1, above, if requesting health record.)					
	Active, reserve, or TDRL					

	ADDRESS LIST OF CUSTODIANS (BY CODE NUMBERS SHOWN ABOVE) - where to write/send this form						
1	Air Force Personnel Center HQ AFPC/DPSRP 550 C Street West, Suite 19 Randolph AFB, TX 78150-4721	5	Marine Corps Reserve Support Command (Code MMI) 15303 Andrews Road Kansas City, MO 64147-1207	8	U.S. Total Army Personnel Command 200 Stoval Street Alexandria, VA 22332-0400	12	Army National Guard Readiness Center NGB-ARP 111 S. George Mason Dr. Arlington, VA 22204-1382
2	Air Reserve Personnel Center/DSMR 6760 E. Irvington Pl. #4600 Denver, CO 80280-4600	6	National Archives & Records Admin. Old Military and Civil Records (NWCTB- Military), Textual Services Division 700 Pennsylvania Ave., N.W. Washington, DC 20408-0001	9	Commander USAEREC Attn: PCRE-F 8899 E. 56th St. Indianapolis, IN 46249-5301	13	The Adjutant General (of the appropriate state, DC, or Puerto Rico)
3	Commander CGPC-Adm-3 U.S. Coast Guard 2100 2nd Street, S.W. Washington, DC 20593-0001	7	Commander U.S. Army Reserve Personnel Command ATTN: ARPC-ALQ-B		Naval Personnel Command 5720 Integrity Drive Millington, TN 38055-3130	14	National Personnel Records Center (Military Personnel Records)
4	Headquarters U.S. Marine Corps Personnel Management Support Branch (MMSB-10) 2008 Elliot Road Quantico, VA 22134-5030	•	ATTA: ARC-ALG-D I Reserve Way St. Louis, MO 63132-5200	11	Department of Veterans Affairs Records Management Center P.O. Box 5020 St. Louis, MO 63115-5020	11	9700 Page Avenue St. Louis, MO 63132-5100

PRIVACY ACT OF 1974 COMPLIANCE INFORMATION

The following information is provided in accordance with 5 U.S.C. 552a(e)(3) and applies to this form. Authority for collection of the information is 44 U.S.C. 2907, 3101, and 3103, and E.O. 3937 of November 22, 1943. Disclosure of the information is voluntary. If the requested information is not provided, it may delay servicing your inquiry because the facility servicing the service member's record may not have all of the information needed to locate it. The purpose of the information on this form is to assist the facility service record(s) exercise the address list) in locating the correct military service record(s) or information to answer your inquiry. This form is then filed in the requested military service record as a record of disclosure. The form may also be disclosed to Department of Defense components, the Department of Veterans Affairs, the Department of Transportation (Coast Guard), or the National Archives and Records Administration when the original custodian of the military health and personnel records transfers all or part of those records to that agency. If the service member was a member of the National Guard, the form may also be disclosed to the Adjutant General of the appropriate state, District of Columbia, or Puerto Rico, where he or she served.

PAPERWORK REDUCTION ACT PUBLIC BURDEN STATEMENT

Public burden reporting for this collection of information is estimated to be five minutes per response, including time for reviewing instructions and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of the collection of information, including suggestions for reducing this burden, to National Archives and Records Administration (NHP), 8601 Adelphi Road, College Park, MD 20740-6001. DO NOT SEND COMPLETED FORMS TO THIS ADDRESS. SEND COMPLETED FORMS AS INDICATED IN THE ADDRESS LIST ABOVE.