



The following is new guidance on the CSAT transition of clients from SOR III Grant to SOR IV Grant in SPARS:

The Center for Substance Abuse Treatment (CSAT) would like to offer the following guidance under the State Opioid Response (SOR) program. CSAT recognizes that substance use disorder treatment for individuals can be a life-long condition. Thus, clients served under the SOR program might span multiple grants. These grants require data collection and reporting to CSAT using the CSAT Government Performance and Results Act (GPRA) Client Outcome Measures for Discretionary Programs Tool (GPRA Client Level Tool). The guidance below, is designed to assist grantees with managing the transition of their clients' CSAT GPRA Client Level Tool data between the SOR III and SOR IV grants in SAMHSA's Performance Accountability and Reporting System (SPARS). Specifically, this guidance describes methods grantees can use to:

- Closeout clients who will no longer receive services under the SOR program.
- Report GPRA Client Level Tool data during their SOR III no-cost extension (NCE).
- Leverage SOR III GPRA Client Level Tool data to fulfill SOR IV reporting.

Additional information regarding the CSAT's GPRA Client Level Tool including frequently asked questions, question by question guides, codebooks, etc. can be found on the [SPARS Resources page](#). If you have questions regarding information in this document, please contact the SPARS helpdesk.

A. The SOR III grant ended, the grantee does not have an NCE, and the grantee will not transition SOR III clients to the SOR IV grant.

1. Grantees that do not need to transfer client data between the SOR III and SOR IV grants should follow standard GPRA Client Level Tool guidance that is currently available on the SPARS Resources page. The proceeding guidance in this document is not applicable to your program.

B. The SOR III grant is under an NCE and will continue to treat clients during the NCE. But the grantee will not transition clients to the SOR IV grant at the end of the NCE.

1. How do I submit an intake interview for new clients who receive services during the SOR III NCE?

A grantee must submit an intake interview for new clients who receive services during their SOR III grant NCE. The steps below outline how to enter an intake interview for new clients who receive services under the SOR III grant during the NCE period.

Required Action Steps

- a) If client intake/baseline is conducted during the NCE, enter into SPARS using online data entry, or upload using CSV batch upload.

Uploading via XML will be discontinued September 2024. Please refer to the Announcements on the SPARS Home page about XML Batch Upload Retirement. [August Reminder: SPARS XML Batch Upload Retirement | SPARS \(samhsa.gov\)](#)

2) How do I submit a six-month follow-up record for a SOR III client during my NCE?

Remember, grantees should continue to provide services to currently enrolled SOR III clients as usual (i.e., follow-ups, discharges) until the close of their NCE. Please consult your Grants Project Officer to confirm your NCE expiration date. Grantees must submit a six-month follow-up record for SOR III clients who have a follow-up due during their NCE. The guidance below, outlines how six-month follow-up information should be entered.

Required Action Steps

- a) If client's six-month follow-up window **CLOSES** during the NCE
 - Enter into SPARS using online data entry, or upload using CSV batch upload.
 - If it is not possible to contact the client to conduct the follow-up interview, submit an administrative follow-up record.
- b) If the six-month follow-up window is open **BEFORE** the end of the NCE, submit an administrative follow-up record within the follow-up window.

3) What should I do when my NCE ends and all SOR III clients will no longer receive services under the SOR program?

Grantees should submit a discharge record for each SOR III client who is no longer receiving SOR services as required by SAMHSA. If it is not possible to do the discharge interview with the client, submit an administrative discharge record. The guidance below, describes how to enter discharge records into SPARS.

Required Action Steps

- a) If client is being discharged, enter into SPARS using online data entry, or upload using CSV batch upload.

At the end of your grant, below are a few things to remember regarding your grant closeout.

Reminders

Remember, SOR III clients that will not continue to receive services under the SOR IV grant need to be discharged at the end of your grant.

- a) To discharge clients whose six-month follow-up window is **OPEN**, enter an administrative discharge and "close" that client in the SOR III grant into SPARS using online data entry, or upload using CSV batch upload.
- b) For clients with a six-month follow-up window that is **CLOSED**, no six-month record is required but you should enter an administrative discharge.

- c) If client is still enrolled and will be continuing with services using the SOR IV grant, consider the strategies in C section below.

C. Clients served under SOR III grant will continue to receive services under the SOR IV grant.

What should I do if I have clients that received services under the SOR III grant, and they will receive services under the SOR IV grant? Do I have to do a new intake or follow-up interview for everyone?

The steps necessary to transition a client from the SOR III grant to the SOR IV grant is contingent on where the client is in their treatment at the time of the transition. The guidance below, describes steps to address the following scenarios:

- 1) Six-month follow-up interview conducted under the SOR III grant before start of the SOR IV grant.
- 2) Six-month follow-up interview window is closed under the SOR III grant, but client will receive services under the SOR IV grant.
- 3) Six-month follow-up interview window is open under the SOR III grant, but client will receive services under the SOR IV grant

1. Required Action Steps – Scenario #1: Six-month follow-up interview conducted under the SOR III grant BEFORE the start of the SOR IV grant.

- a) If the client's SOR III six-month interview was conducted **BEFORE** the start of the SOR IV grant (before September 30, 2024)

- 1) Grantee needs to conduct a new intake/baseline at next client visit. Client ID can stay the same.
- 2) Enter or upload new baseline record in the SOR IV grant into SPARS using online data entry, or upload using CSV batch upload.
- 3) Enter a SOR III grant administrative discharge record with a status of "Terminated," and reason of "Referred to another program or other services with satisfactory progress."

2. Required Action Steps – Scenario #2: Client's six-month follow-up interview window is CLOSED under the SOR III grant, but the client will receive services under the SOR IV grant.

- a) If the client's SOR III six-month follow-up window is **CLOSED** under the SOR III grant, then the grantee must close out the client under the SOR III grant, specifically:

- 1) Grantee should conduct a client discharge for the SOR III grant.
- 2) Enter/upload discharge record in the SOR III grant in SPARS using online data entry, or upload using CSV batch upload.
- 3) Conduct a new baseline/intake interview for the SOR IV grant.
- 4) Enter/upload the new baseline/intake record in the SOR IV grant using online data entry, or upload using CSV batch upload. Client ID can stay the same.

3. Required Action Steps – Scenario #3: Client's six-month follow-up interview window is OPEN under the SOR III grant, but the client will receive services under the SOR IV grant.

- a) If the client's SOR III six-month follow-up window opens during the SOR IV grant or has not opened yet, then the grantee can use the six-month follow-up data when collected to populate the client's baseline/intake interview data under the SOR IV grant. However, the grantee would still need to conduct a six-month interview and discharge under the SOR III grant. Guidance below outlines how this can be accomplished.
- 1) Conduct the SOR III six-month follow-up using the entire tool (including demographics and Sections I, J, and K
 - 2) Enter six-month follow-up data for the SOR III grant into SPARS using online data entry, or upload using CSV batch upload.
 - 3) Use this follow-up interview as the baseline/intake for SOR IV using the tool.
 - 4) Conduct an administrative discharge for the client under the SOR III grant with a status of "Terminated," and reason of "Referred to another program or other services with satisfactory progress."