

KORE GPRA 6-MONTH FOLLOW-UP NON-CASH INCENTIVE PROTOCOL

All KORE-funded programs are required to collect and report certain data so that SAMHSA can meet its obligations under the Government Performance and Results (GPRA) Modernization Act of 2010. Recipients are expected to complete a GPRA intake interview on all clients and are also expected to achieve a six-month follow-up rate of 80 percent.

Programs may provide up to a \$30 non-cash incentive to clients who participate in required 6-month GPRA follow-up. Please note though that SAMHSA does *not* require incentives for completion of the 6-month follow-up interview. However, no incentives can be provided for the baseline or discharge interviews.

The purpose of this protocol is to set forth guidelines and recommended procedures for the procurement and distribution of non-cash incentives purchased with KORE funds for completion of the 6-month follow-up GPRA. However, programs are responsible for adapting agency-specific procedures and policies to ensure that incentives are acquired, managed, and issued in a consistent and verifiable manner in accordance with the general guidance provided below.

NON-CASH INCENTIVE PURCHASE

1. What type of non-cash incentives can be purchased?

Programs may purchase a non-cash incentive (e.g., Visa, Mastercard, merchant gift card, bus pass) up to the amount of \$30. For consistency and ease, programs should aim to purchase the same brand of incentive every time (e.g., only Visa gift cards). Keep in mind that merchant-specific gift cards can only be redeemed at a particular merchant/store (e.g., a specific gas station, restaurant, or retailer) and may limit use.

2. Where can non-cash incentives be purchased?

Non-cash incentives can be purchased online or from a local retailer (e.g., Kroger or Walmart).

3. What if there is a purchase or activation fee?

Visa or MasterCard gift cards require a Purchase or Activation Fee, which can cost anywhere from \$3 to \$5 depending on where they are purchased. KORE will reimburse for the cost of both the gift card (up to \$30 per gift card) and purchase fee (up to \$5 per gift card).

4. How many non-cash incentives can be purchased at a time?

Programs should not purchase gift cards or other non-cash incentives in bulk because they are susceptible to theft, fraud, or misappropriation and lack the audit trail that exists with a check or other forms of payment. Given this, it is safer to purchase non-cash incentives in smaller quantities on a regular basis, depending on the frequency with which your program completes GPRA follow-ups. For example, if your program completes 50, 6-month follow-ups within 6 months, you could purchase 10 gift cards every month or 20 gift cards on a bi-monthly basis to ensure that you have an adequate supply on hand. Your agency should establish internal policies and procedures related to monitoring and maintaining inventory and secure storage.

NON-CASH INCENTIVE DISTRIBUTION & TRACKING

1. How should non-cash incentive distribution be tracked?

Upon purchase of the non-cash incentives, programs should log the following information in a spreadsheet (see example *KORE_followup_incentive_tracking.xlsx*):

- Assign an Internal Tracking Number (ITN) – This number can be used internally to identify the card without using the 16-digit card number. It should be written on the card in permanent ink.
- 16-digit card number on the front of the card
- Card expiration date
- Pin number (on the back)
- Purchase date
- The phone number for card services or customer service (in the event of lost or stolen cards)

Before issuing a non-cash incentive, programs should enter the following information about the recipient (client) to be able to track which incentive they received and how it was issued:

- Recipient information (e.g., Last Name, First Name)
- *optional* phone contact information
- Current Mailing Address (Street, City, State, Zip Code)
- GPRA follow-up interview completion status and date the interview was completed
- Date the incentive was issued to the client, who issued it, and how the incentive was issued (in-person or mailed)

It is recommended that column labels in red font within the example *KORE_followup_incentive_tracking.xlsx* spreadsheet not be changed. However, programs may add or revise any other fields within the spreadsheet that are deemed necessary for your specific program.

2. Is it required for clients to sign a receipt?

Clients who complete the 6-month follow-up in person should be required to sign a receipt indicating that they have received the \$30 non-cash incentive (see example *KORE_followup_incentive_receipt.docx*). Programs should retain a copy of this receipt for their records and offer a copy to the recipient.

Clients who complete the 6-month follow-up virtually or by telephone and who will be issued their non-cash incentive via US Mail should also sign a receipt for auditing purposes (see examples under #3 What if the 6-month follow-up is completed virtually or by telephone?).

3. What if the 6-month follow-up is completed virtually or by telephone?

Programs are allowed to mail the non-cash incentive directly to clients. The incentive should be sent along with an explanation of the reason they are receiving it (see example *KORE_followup_incentive_receipt.docx*). Programs will need to institute agency specific policies and procedures to verify whether clients receive their incentive or not.

For example, programs may keep a copy of the *GPRA Follow-Up Incentive Receipt* (not signed by the client) for their records and establish policies for staff follow-up by phone/text/email to ensure receipt of the incentive (can be documented in the *KORE_followup_incentive_tracking.xlsx spreadsheet*).

Alternatively, programs may establish a process by which the client is instructed to contact program staff upon receipt of the gift card or request that the client return a signed receipt form. The latter will require that the client be sent an agency-addressed, stamped envelope along with the gift card and receipt form.

MISSING/LOST/STOLEN GIFT CARDS

1. What if the client claims that they never received the gift card (via US mail)?

Programs should check the tracking spreadsheet to confirm the date the card was sent and verify that the incentive was sent to the correct address.

For Visa, Mastercard, or other gift cards:

- If the card was **not** sent to the correct address, contact Visa or MasterCard with the 16-digit card number, PIN number, and expiration date and ask them to cancel the card.
- If sent to the correct address but less than two weeks ago, ask the client to wait and reach out again if the card has not been received after that two-week post-mailing window.
- If sent to the correct address but longer than two weeks ago, check the balance on the gift card online or by phone. You will need the full card number, PIN number and expiration date to check the balance. Programs may inform the client of the balance (if spent down) and let them respond. If the client insists that they did not receive the card, you should ask Visa or MasterCard to cancel the card.

2. What if a client claims that their gift card was lost or stolen?

If the client acknowledges that they received the gift card but claims that it was lost or stolen, programs should check the balance on the gift card online or by phone. You will need the full 16-digit card number, PIN number and expiration date to check the balance. Programs may inform the client of the balance (if spent down) and let them respond. If the client insists that they lost the card or that the card was stolen, you should ask to cancel the card (if Visa or Mastercard).

3. Is it possible to issue a replacement incentive if it is never received, lost, or stolen?

Programs can choose to have the *option* of issuing a **maximum of one (1) replacement incentive** to a client. Programs should develop their own policies about whether to issue replacement incentives, under what circumstances, what conditions must be satisfied for a replacement incentive to be issued, and procedures for how the replacement incentive will be issued. For example, programs may opt to send the gift card via certified mail with a return receipt requested for added security, allow the client to pick up the card, or have staff deliver the card to the client, if feasible. If the replacement incentive is lost, stolen, or never received, the client should not be sent another.

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