



INSTRUCTIONS FOR THE RECRUITMENT TRACKING AND SCHEDULING (RTS12) FORM

I. General Instructions

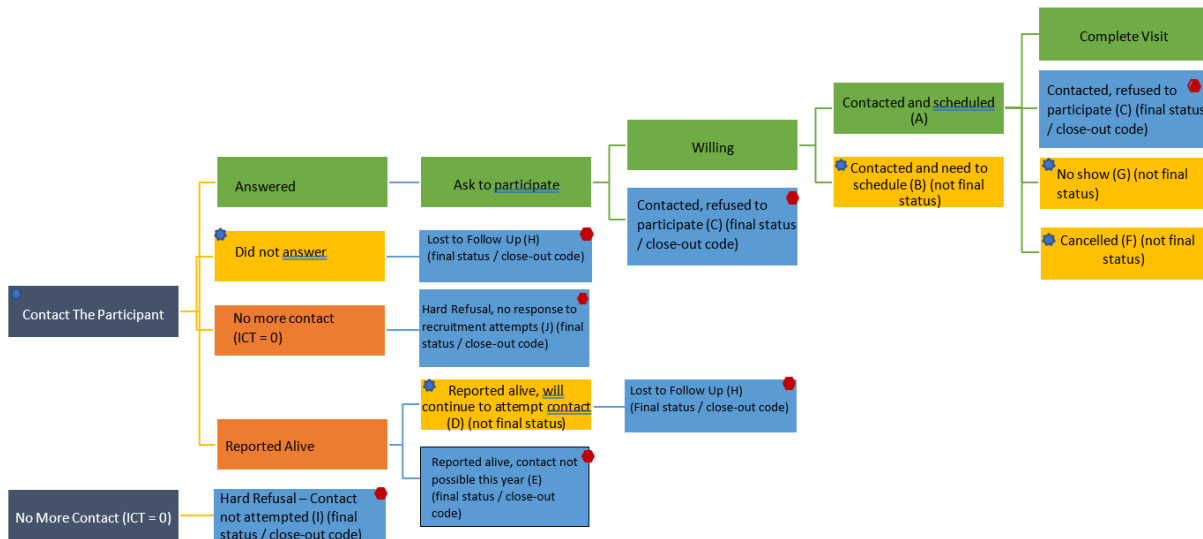
The Recruitment Tracking and Scheduling Form is completed by the Annual Follow-Up (AFU) Interviewer in conjunction with the Recruiters (if separate staff) to track and document the status of each ARIC participant who is eligible for the visit. Eligible is defined as living participants. An RTS form is not completed for deceased participants.

The form is opened and initiated when the recruitment process begins for a cohort participant. Ultimately, it is to be completed for ALL ARIC cohort participants who are eligible for the visit exam, even those who have previously refused clinic exams. Only one record per eligible participant is expected for this form.

The purpose of the RTS is to allow field centers to track the scheduling status of eligible participants. It is not intended to identify those who need to be recruited. Participants who need to be recruited are identified using the 'V12 Recruitment Report' available in CDART. The RTS form is intended to track the status of participants identified as eligible for the Visit, from the start of recruitment through the end of the visit (for those who come to the visit). This form serves as the basis for the real-time CDART 'V12 Scheduling Report'. The Scheduling Report provides real-time information on scheduled participants (based on Section C and Question 16 – appointment date) but who have not yet completed the visit. Each recruited participant's last status prints in the report.

The recruitment and scheduling calls for the visit exam can be made as part of the AFU call or performed separately. This form is updated as different steps to the recruitment process occur. Each time contact is made for recruitment, that contact is recorded in Section C of the form. Only one occurrence of this form is allowed in CDART, so the expectation is that no more than 10 contacts will need to be recorded for a given participant. If multiple contacts are made and recorded in site-specific tools other than the RTS form, record the result for at least the first call and for the final disposition of the visit.

Figure 1 shows the flow diagram for the recruitment process and how to record the appropriate RTS status. The red dot indicates no more recruitment attempts are required. The blue dot indicates continued contact attempts. If after 7 recruitment attempts with no contact, discontinue and record "H" as the final status. If after 7 attempts without being able to either schedule a willing participant or repeated cancellations, use "C" as the final status. **See details regarding specific recruitment result code options in a table at the end of this QxQ.**



- No more recruitment attempts are needed. Record final status / close-out code(s).
- For any not final contact status, continue recruitment attempts. If after 7 attempts, the only response is that the participant is reported alive, discontinue recruitment attempts and use "Lost to Follow Up (H)" as the final contact status. If after 7 attempts, the participant has agreed but was not able to be scheduled, or the participant cancelled, use "Contacted, refused to participate (C)" as the final contact status.

II. Detailed Instructions for Each Item

- 0a. Enter the date on which this form was last updated. Enter the date using either the calendar function or by keying the date with MM/DD/YYYY format. Leading zeroes are not necessary in CDART but are acceptable.
- 0b. The person who initially started the RTS form enters his/her code number in the boxes provided. The staff code of the person who makes a subsequent update to the form is recorded in Section C.

Section A. Completed by the AFU Interviewer or Recruiter. Please follow the scripts in Appendix 2 of the Recruitment MOP.

1. "Has contact been made with the participant or the proxy to invite them to the visit?" The purpose of this question is to either:
 - Record 'Yes' for all participants where phone contact is made (either with the participant, proxy or other contact person) regarding the Visit. Always record with whom you spoke in item 2, regardless of whether or not the participant is being scheduled for an appointment. For those who agree to come in to the visit, continue on to collect item 2, to indicate with whom you spoke, and then collect items 3 through 5 as appropriate. If the person is not ready to schedule yet, record item 2 and then items 3 through 5 can be left blank and record the appropriate status for that participant in Section C (most likely 'B – contacted and need to schedule'). For participants who are ready to schedule an appointment, collect items 2 through 5 and record the appropriate status in Section C (most likely 'A – contacted and scheduled'). For those contacts that are with the proxy or other person, indicate that accordingly in item 2, and proceed to answer items 3 through 5 (if they are ready to schedule; otherwise leave blank) and record the status in Section C. When speaking to a proxy or other person, options 'A', 'B', 'D' and 'E' are all possible responses. For participants or proxy or other who indicate 'not interested' in the study visit, record

with whom you are speaking in item 2, and refer to Appendix 3 in Manual 2 for 'Converting Reluctant Subjects' before recording 'C – Contacted, refused to participate' for the Result Code in Section C as well as the Reason for Refusal in Section C.

- Record 'No' for each attempt to contact the participant or proxy. When contact is attempted, but the participant or proxy is not reached, record 'D=Reported Alive, will continue to attempt contact' in section C. NOTE: if after 7 attempts to contact the participant or proxy you have not been able to reach them, recruitment attempts can be considered complete and the final row of the table in section C should have the status of 'H – Lost to Follow-up'. The other instance in which to record 'No' is for those participants who are eligible but not contacted because they have indicated they do not want further contact. For these participants, record either 'I' or 'J' in section C.

If a participant is lost to follow-up or is a hard refusal (options H, I or J for the Result Code column), then the answer to #1 must be 'No'. If a participant and/or proxy is scheduled, is going to be scheduled or refuses, the answer to #1 must be 'Yes'.

2. "Who was contacted to recruit/schedule the visit?" This question should be answered any time item #1 is 'Yes'. Options are "Participant", "Proxy" or "Other". If the answer is "Other", please specify the name of the contact. Either 'participant' or 'proxy' or the name of the 'other' contact will appear in the CDART Scheduling report.
3. For those participants who are ready to schedule the visit, determine and record the correct type of exam that is being scheduled. A full complete clinic visit is strongly preferred. If the participant is unwilling or unable to participate in the complete exam, but is able to come to the exam site, offer the possibility of conducting an abbreviated exam. If this is not possible, suggest the option of having a shorter, home visit. Also, for the participant who is clearly unable to come to the clinic (for example, those in LTCF), the home or LTCF visit will be offered. If the participant requires a home/LTCF exam, scheduling the exam directly with the participant may not be possible. Instead, contact the participant's proxy and request authorization to conduct the exam. If the participant/proxy/other is not yet ready to schedule the appointment, this can be left blank.

In the case of participants offered a Mini Exam due to infirmity or inability to schedule a more extensive exam, record as "Clinic Exam – Abbreviated". If this Mini Exam ends up being conducted at home or at a long term care facility, that is recorded post-visit in question 17.

Section B. Completed by the Recruiter or AFU Interviewer

4. Record "Yes" if proxy is considered necessary for the exam by the recruiter (for example, the participant is not able to provide informed consent or accurate information) or if the participant is already established as needing a proxy as determined by dementia surveillance procedures (see Section C in the Follow-Up Manual 2 for more details). The CDART Recruitment Report has several indicators of cognitive and physical function that can also help determine the appropriate response to this question. Those indicators include:
 - **Last Follow-Up Status** is the most recent result from either the AFU or SAF. It will indicate if the interview was done with someone other than the participant.
 - **Last Cognitive Status** describes the participant's cognition as determined at the last visit they attended and has a value of either Dementia, MCI, Normal, or Unknown.
 - **Cognitive Problems** provides information about a dementia diagnosis determined at

a previous visit or cognitive problems recorded on the last CIU and has a value of Yes-DEM, Yes, or No.

- **Last Dementia Surveillance Test and Result** gives SIS or ADS results collected from the dementia surveillance interview. Recall ADS is collected from a proxy.
- **Last Frailty** describes the participant's physical function as determined at the last visit they attended and has a value of Frail, Pre-frail, Robust, or blank (frailty may not have been assessed).
- **Last 4-Meter Walk Status** provides information about the participant's ability to walk as determined at the last visit they attended and has a value of Unable to Walk or Able to Walk.
- **Hearing loss** – this is a Yes or No to the question on the Contact Information Update (CIU0c). The CIU, including this field, should be updated during each contact with the participant as needed.

Note that some of the above indicators may be blank if the information is not available for the participant, but recruiters should use all information available to determine whether a proxy or informant is needed for the exam.

Record “Yes” to RTS4 if the responses to these variables indicate that it is necessary to have a proxy/informant accompany the participant to the exam.

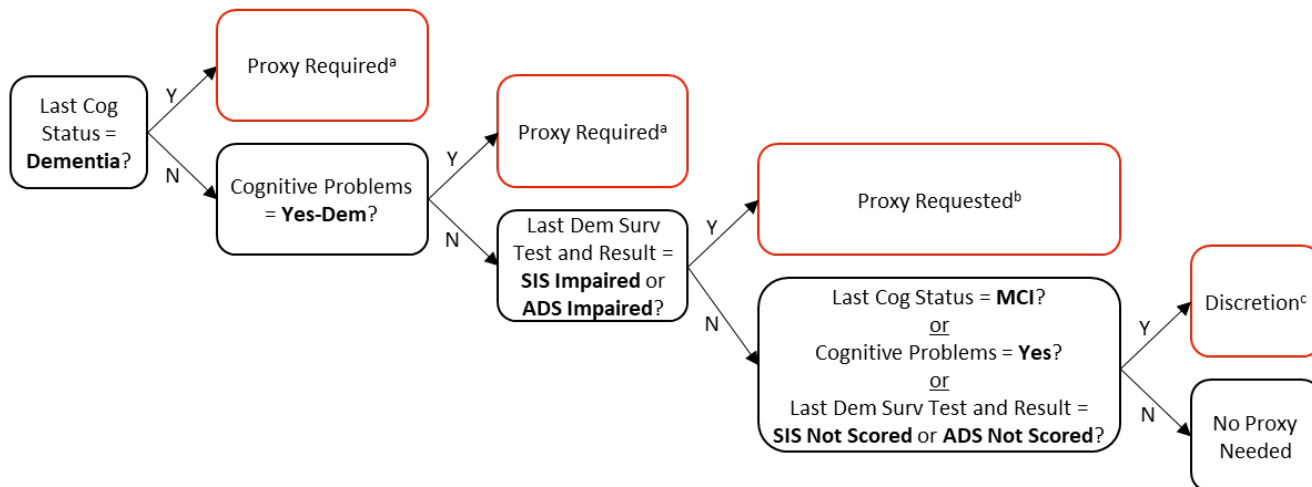
Record “No” if the participant has agreed to a clinic exam and the recruiter is reasonably certain that proxy is not necessary for the exam.

If it is difficult to ascertain from the data that is available in the Recruitment Report whether or not a proxy is recommended, then the Six Item Screener (SIX) is available in CDART to use as tool to make the determination. Please see the SIX QxQ for more information on administering and scoring this form. The CC recommends having a second CDART session tab open in your browser, with the Cohort ID pulled up, for ready access to the SIX. The 6-item screener should be introduced in a way that is not discourteous to the participant. The introductory script for the SIX is in the form, the SIX QxQ, and is on the CDART screen.

Use the result from the SIX to then answer RTS4 as either ‘Yes’ or ‘No’.

From Manual 2, Section 3.2 Recruitment of Proxies and Informants

Figure 3.1 Proxy Required or Requested Based on Cognition - Decision Chart



^a Proxy is required for Visit 8 if the participant has dementia

^b Proxy is not required, but may be helpful to the participant at the visit

^c Interviewers use discretion for requesting a proxy/informant based on information in the cognition columns in the Recruitment Report or their knowledge of the participant

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If recruitment of an exam proxy is necessary, request contact information for the proxy, include it in Contact Information Update (CIU) form [items 22 – 26], ask the ARIC participant to communicate this information to his/her proxy, and perform proxy/informant recruitment a few days after the participant recruitment.

In cases where a proxy is not required, only suggested, track the participant's status--if the participant agrees to the visit and completes the visit, then the RTS should reflect that, independently of whether the proxy agreed or not.

5. Record "Y" if the participant has any special needs to be considered when scheduling the exam, and specify the special needs. Otherwise, record "N".

Section C. Recruitment Attempts

- 6-15. For each recruitment attempt, regardless of whether successful or not, use a separate line in the table to record the date on which the recruitment call is made in MM/DD/YYYY format, the result code, the reason for refusal (if the result code is 'C') and the code number of the staff who made the contact attempt. A maximum of 10 recruitment attempts are available in this section of the form. The acceptable result codes are listed in the form and on the screen (letters A through J). A response of "C" to result code prompts the recruiter to inquire as to the reason they refuse to come to the visit. The Recruitment Scripts and various templates that are available to use for recruitment are located in the Appendix of Manual 2.

Because field centers also need to be able to modify the template letters, word versions of the recruitment letters are also located on the website under Cohort - Documents –Visit:

If an appointment is scheduled, record the expected appointment date in item 16.

If an appointment is canceled and then rescheduled, record the initial appointment in the first row with the initial recruitment date (Row 6 for example), using code 'A= Contacted and Scheduled' for the result code. Then, record the date in which the appointment was cancelled using code 'F=Cancelled' in the next row (Row 7 for example). Finally, record the

rescheduled appointment in the next row with the rescheduled recruitment date (Row 8 for example), again using 'A= Contacted and Scheduled' for the result code, and including the new appointment date in item 16. The process for recording 'no-shows' (missed appointments) is similar, but instead of using code 'F=Cancelled', the staff recording the missed appointment should use code 'G=No-show'.

Additional details about when to use each result code are included in a table at the end of this QxQ.

Section D. Appointment and Exam

16. Once an appointment has been scheduled, record the appointment date in this item using the format MM/DD/YYYY. If the participant cancels or misses this appointment and a new appointment date is arranged, record the new date in this item. If a new appointment is not scheduled, delete the original date recorded in this item.

Items 17, 18 and 18a are updated AFTER the exam has been completed. The Snapshot Report in CDART will display the information in these items, or will be blank if they have not been entered yet.

17. An abbreviated exam can also be defined as the "core" exam. Core components are all components included in the Home Visit Checklist EXCEPT any ancillary components. See MOP2 for more details. ACHIEVE participants' visits are considered a full visit if they complete the components listed in the Visit Exam Checklist (ACHIEVE enrolled). Please note that a home exam, LTCF exam, and an abbreviated visit share the same components.
18. Record if a proxy or informant joined the participant for the exam.
- 18a. If yes to 18, record whether or not the proxy/informant contributed to data collection for the participant. Again, this information may be used at analysis time to indicate from whom certain data were collected.

19-22. Use this section if additional appointments are required.

Day 2 Appointment Information

19. If an additional appointment is needed for data collection, indicate so in this item. If yes, proceed to item 20 to record the appointment date.
20. Once an appointment has been scheduled, record the appointment date in this item using the format MM/DD/YYYY. If the participant cancels or misses this appointment and a new appointment date is arranged, record the new date in this item. If a new appointment is not scheduled, delete the original date recorded in this item.

Device Touch Day Information (This section is disabled for Visit 12)

21. If an additional appointment is needed for device check-up, indicate so in this item. If yes, proceed to item 22 to record the appointment date. If no, end the form.
22. Once an appointment has been scheduled, record the appointment date in this item using the format MM/DD/YYYY. If the participant cancels or misses this appointment and a new appointment date is arranged, record the new date in this item. If a new appointment is not scheduled, delete the original date recorded in this item.

Summary of Recruitment Attempt Options

The following table defines each result code available in the RTS form, and situations where each result code is used.

Result Code	Use Case	At Visit Closeout
A – Contacted and scheduled	The recruiter has contacted the participant (Q1 is answered “Yes”), and a visit has been scheduled with the participant. Once this option is selected, ensure all of Section A and Section B are completed. The appointment date should be recorded in Q16 in Section D.	For all participants where this is the most recent result code the following should be confirmed: 1. Q1 should be answered “Yes”. 2. If the visit was completed, an SBP form should be entered for the participant and all information in section D of the RTS form should be completed (Appointment Date, clinic exam type, proxy/informant presence at the visit) 3. If the visit was unable to be completed before closeout, then a new recruitment attempt should be recorded and coded as “C – Contacted, refused to participate”. Reason for refusal should also be selected.
B – Contacted and need to schedule	The recruiter has contacted the participant (Q1 is answered “Yes”), and the participant is willing to complete the visit, but a visit was unable to be scheduled at the time of recruitment. Alternatively, this code may be used if a recruitment brochure has been sent to a participant and the recruiter needs to follow up with the participant to schedule the visit. Example language that a participant or proxy may use that would indicate this code would be “I’m busy right now, can you please call me back later.” Additional recruitment attempts are expected after this result code is selected. If 7 recruitment attempts have been made and the participant has not been able to be scheduled, then the last recruitment attempt for this participant should be coded as “C – Contacted, refused to participate”.	For all participants where this is the most recent result code the following should be confirmed: 1. Q1 should be answered “Yes”. 2. A new recruitment attempt should be recorded and coded as “C – Contacted, refused to participate”. Reason for refusal should also be selected.

Result Code	Use Case	At Visit Closeout
C – Contacted, refused to participate	The recruiter has contacted the participant (Q1 is answered “Yes”), and the participant is unwilling to complete the visit. Example language that a participant or proxy may use that would indicate this code would be “I’m not interested in completing the ARIC visit this year.” Alternatively, if the participant is willing to complete the visit but has been unable to be scheduled at visit closeout or after 7 recruitment attempts (previous recruitment codes include “<i>B – Contacted and need to schedule</i>”, “<i>F – Cancelled</i>”, or “<i>G – No show</i>”), then this result code should be used.	For all participants where this is the most recent result code the following should be confirmed: 1. Q1 should be answered “Yes”. Note: This is an appropriate final code for visit closeout.
D – Reported alive, will continue to attempt contact	The recruiter has attempted to contact the participant (Q1 is answered “No”), but the participant cannot be directly reached. Code “D” is used if the recruiter is unable to determine whether the participant is deceased. A situation where this code could apply would be reaching a participant’s voicemail. Additional recruitment attempts are expected after this result code is selected. If 7 recruitment attempts have been made and the participant has not been able to be reached, then the last recruitment attempt for this participant should be coded as “<i>H – Lost to follow-up</i>”.	For all participants where this is the most recent result code the following should be confirmed: 1. Q1 should be answered “No”. 2. A new recruitment attempt should be recorded and coded as “<i>H – Lost to follow up</i>”.

Result Code	Use Case	At Visit Closeout
E – Reported alive, contact not possible this year	If the recruiter can reach a family member of the participant and the family member states that the participant is ill or otherwise unable to complete the ARIC visit during the allocated timespan, then result code “E” may be used. An alternative use of result code “E” would be if the recruiter determines independently or with a proxy that a participant may withdraw from ARIC if visit recruitment is attempted. An explanation in the notelog about the specifics of the determination should be recorded if the code is used in this case. It is left to the recruiter to determine if a participant who has previously said they do not want to participate in any more clinic visits would be open to participating in a flexible visit option such as an abbreviated visit or a home visit. Whenever in question, the recruiter should always err on the side of participant retention.	For all participants where this is the most recent result code the following should be confirmed: 1. Q1 should be answered “No”. Note: This is an appropriate final code for visit closeout.
F – Cancelled	The recruiter has contacted the participant (Q1 is answered “Yes”), and a visit has been scheduled with the participant (a previous recruitment attempt is recorded as “A – Contacted and scheduled”), but the participant cancels their appointment before the visit can be completed. Additional recruitment attempts are expected after this result code is selected. If the visit can be rescheduled, this code can be used in conjunction with “A – Contacted and scheduled” to record the participant’s new appointment date. Confirm the response in RTS16 is correct. If a visit cannot be rescheduled, then this code can be used in conjunction with “C – Contacted and refused”.	For all participants where this is the most recent result code the following should be confirmed: 1. Q1 should be answered “Yes”. 2. A new recruitment attempt should be recorded and coded as “C – Contacted, refused to participate”. Reason for refusal should also be selected.

Result Code	Use Case	At Visit Closeout
G – No-show	The recruiter has contacted the participant (Q1 is answered “Yes”), and a visit has been scheduled with the participant (a previous recruitment attempt is recorded as “<i>A – Contacted and scheduled</i>”), but the participant does not attend the appointment. Additional recruitment attempts are expected after this result code is selected. If the visit can be rescheduled, this code can be used in conjunction with “<i>A – Contacted and scheduled</i>” to record the participant’s new appointment date. Confirm the response in RTS16 is correct. If a visit cannot be rescheduled, then this code can be used in conjunction with “<i>C – Contacted and refused</i>”.	For all participants where this is the most recent result code the following should be confirmed: 1. Q1 should be answered “Yes”. 2. A new recruitment attempt should be recorded and coded as “<i>C – Contacted, refused to participate</i>”. Reason for refusal should also be selected.
H – Lost to follow-up	This code is not expected to be the first recruitment attempt. This code should be used only after 7 recruitment attempts where contact is not made (Q1 is answered “No”). This result code is most commonly used in conjunction with “<i>D – Reported alive, will continue to attempt contact</i>”.	For all participants where this is the most recent result code the following should be confirmed: 1. Q1 should be answered “No”. Note: This is an appropriate final code for visit closeout.
I – Hard Refusal – Contact not attempted	If a participant has previously indicated that they are “not interested” in a recruitment call or indicate that they do not wish to be contacted again (ICT1=0), result code “<i>I- Hard Refusal- Contact Not Attempted</i>” should be used. Additional recruitment attempts are not expected if this recruitment code is used and Q1 should be answered “No”. A participant with this result code should not be contacted by any means about the Visit.	For all participants where this is the most recent result code the following should be confirmed: 1. Q1 should be answered “No”. Note: This is an appropriate final code for visit closeout.
J – Hard Refusal – no response to recruitment attempts	If a participant who has indicated “not interested” is contacted in some way (mail or email, for example), but has not responded in an appropriate amount of time, the RTS should be updated to show status “<i>J- Hard Refusal- No Response to Recruitment Attempts.</i>”	For all participants where this is the most recent result code the following should be confirmed: 1. Q1 should be answered “No”. Note: This is an appropriate final code for visit closeout.

